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**Item 6 of the provisional agenda
Issues relating to joint implementation**

Annual report of the Joint Implementation Supervisory Committee to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

Note by the secretariat

Part II

Joint implementation management plan 2008–2009 (version 02)[*]

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[*] This version of the joint implementation management plan differs slightly from the one agreed by the Joint Implementation Supervisory Committee at its twelfth meeting, as it reflects editorial changes.

JOINT IMPLEMENTATION MANAGEMENT PLAN
2008–2009

(Version 02)

I. Executive summary

A. Experience in 2006–2008

1.   Although the first year of operation of the Joint Implementation Supervisory Committee (JISC) was only in 2006, by mid-2008 considerable progress in the implementation of Article 6 of the Kyoto Protocol and related decisions[1] of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) had been made. In October 2006 the verification procedure under the JISC (hereinafter referred to as the Track 2 procedure) was officially launched. Following the operationalization of the procedure, the JISC was able to start receiving submissions of project design documents (PDDs) by applicant and accredited independent entities (IEs). As at 12 September 2008, 155 PDDs and six determination reports had been submitted. Although the project caseload over this period has been smaller than was initially estimated, this has been due to factors outside the direct control of the JISC.

2.   In the two years of its existence the JISC has developed procedures and guidance for joint implementation (JI), and issued clarifications on several matters. Experience so far has shown that the process is functioning well, and feedback received, including through workshops and round tables, indicates that stakeholders are satisfied with the performance of the JISC to date.

B. Key objectives of the joint implementation management plan 2008–2009

3.   Based on the project caseload expected in 2008–2009 and the ongoing work of accrediting applicant IEs, version 2 of the joint implementation management plan for 2008–2009 (JI-MAP, v02) foresees:

> (a)   An increase in the processing of project caseload;
>
> (b)   Continued review of procedures and methods of operation of the Track 2 procedure and the accreditation process;
>
> (c)   Continued interaction between the JISC and the IEs, to ensure that the IEs can provide adequate and timely service;
>
> (d)   Continued interaction between the JISC and designated focal points (DFPs);
>
> (e)   An increase in activities to provide information and raise awareness about JI;
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> (f)   Continued review of the resources needed to ensure that the JISC and the secretariat sustain their support to the JI process and implementation of decisions by the CMP.

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[1] Decisions 9/CMP.1 and 10/CMP.1.

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C. Key assumptions regarding project caseload and accreditation work in the 2008–2009 biennium

4.   For various reasons, including a delay in finalization of national guidelines and procedures for JI by some Parties included in Annex B to the Kyoto Protocol, the number of projects submitted in the first year of the operation of the Track 2 procedure (as at 26 October 2006, IEs have been able to submit PDDs) was lower than expected. However, with the start of the first commitment period under the Kyoto Protocol in 2008 and publication of national guidelines and procedures for JI by many Parties, the caseload assumption presented in version 1 of the joint implementation management plan 2008–2009 (JI-MAP, v01) was for submission of about 50–75 projects (PDDs and determinations) per year. Given the continued submission of PDDs in the first part of the biennium and on the basis of indications from IEs, the caseload assumption remains a reasonable estimate, at least for the short term (six to 12 months). It should be noted, however, that this estimate is subject to change owing to the uncertainty regarding the number and timing of JI projects that will be submitted under the Track 2 procedure. The assumption in the JI-MAP, v01 of up to five additional applications for accreditation under JI during the biennium has been revised downward to two in this version.

5.   The JI-MAP, v01 did not take into account the potential budget implications (in 2009) of changes in the key assumptions, notably the growth in project caseload and the additional caseload relating to verifications by 2009. The revisions in the JI-MAP, v02 therefore provide for an increase in resources to cover:

        (a)   An increase in the number of JISC meetings;

        (b)   An increase in staff by two professional and two general service staff;

        (c)   An increase in costs associated with the planed increase in activities and resources.[2]

6.   The JISC, with a view to ensuring the efficient and cost-effective functioning of the Track 2 procedure, and recognizing that to some extent the level of activities to be undertaken is not clear at present, continues to try to limit the resource requirements. In addition, the JISC notes that unless there were to be a large reduction in the expected number of PDDs and determinations per year, the resource requirements would not necessarily be reduced. In this regard, taking into account the issues indicated in paragraphs 4 and 5 above, in addition to the reduction of costs associated with the accreditation process and the use of general temporary assistance and consultancy, and the current UNFCCC core budget for the biennium 2008–2009, the JI-MAP, v02 does not result in an increase when compared to the second year of the last biennium (from USD 3,064,873 in 2007 to an annual average of USD 3,065,588 in 2008–09). Although recognizing that activities of the JISC need to continue to take into account the availability of resources, the JI-MAP, v02 reflects the following for the biennium 2008–09:

        (a)   Introduction of secretariat-wide support service costs (USD 208,000 per year);

        (b)   Establishment of three general service staff and two professional staff;

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

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[2] These costs comprise: shared costs contribution to the Sustainable Development Mechanisms programme; and an increase in cost recovery for activities not funded from the core budget.

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   (d) An increase in travel costs, in particular relating to accreditation assessment activities, and overtime;

   (e) An increase in costs paid towards legal, records management and managerial support provided by the Sustainable Development Mechanisms programme (SDM);

   (f) An increase of 28 per cent in the allocation in the UNFCCC core budget for JI-related work (USD 569,803 to USD 728,394 per year).

7. As indicated in paragraph 5 above, the JI-MAP, v02 budgets for additional resource needs that were not reflected in the JI-MAP, v01. Taking this into account, as well as revisions to the associated costs of activities in 2008, the total funding required for the biennium presented in the JI-MAP, v02 is slightly lower (by 1 per cent) than that of the JI-MAP, v01 (see tables 2 and 3 in chapter IV below for details).

Table 1. Key assumptions regarding the joint implementation management plan 2008–2009

	2007	**2008**	**2009**
Total annual budget (supplementary/core) (USD)	3 064 873	2 610 685	3 520 490
Professional (P) staff	7	7	9
General service (G) staff	2	3	5
Number of meetings (JISC / JI-AP / DFP and IE round table and/or workshop)	5 / 6 / 2	4 / 6 / 1	6 / 6 / 2

Abbreviations: DFP = designated focal point, IE = independent entity, JI-AP = joint implementation accreditation panel, JISC = Joint Implementation Supervisory Committee.

II. Introduction

8. The JI-MAP is intended to strengthen the capacity of the JISC and its support structure, including the joint implementation accreditation panel (JI-AP), accredited IEs and the secretariat, to address the requirements arising from CMP decisions and the challenges of the JI process.

9. The first version of the JI-MAP for 2008–2009 was presented as part of the report of the JISC to the CMP at its third session.[3] The present revision, JI-MAP, v02, reflects changes that have occurred since JI-MAP, v01 was developed. These are: new requirements and support needs identified by the JISC; and an increase in costs due to the introduction of a policy of cost recovery for activities not funded from the core budget.

10. The plan is based on a proposal made to the JISC by the Executive Secretary. It draws on the guidelines for the implementation of Article 6 of the Kyoto Protocol (hereinafter referred to as the JI guidelines),[4] as well as on subsequent decisions of the CMP concerning JI, and the experience of the JISC to date. It has been elaborated to provide the JISC, and all other actors working on JI, with complete information on what is required to deliver JI in terms of roles, functions, caseload and budget needs.

11. In accordance with decision 3/CMP.3, paragraph 6, the JISC will continue to review and assess the JI-MAP for 2008–2009 and adopt further revised versions as necessary. In line with the process and guidance adopted by the CMP in its decision 3/CMP.2, each new version of the JI-MAP will be published as an annex to the report of the JISC meeting at which it is adopted.

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[3] FCCC/KP/CMP/2007/4 (Part II).

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

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

III. Key lessons learned from 2006 to early 2008

13.   A highlight of the last two years was the submission of the first final determination under the Track 2 procedure. Through this and the submission of several PDDs, the JISC began to gain experience with the operation of the Track 2 procedure. Since the adoption of the JI-MAP, v01, further experience has been gained, with 155 submissions of PDDs and consideration of six determinations by the JISC as at 12 September. As the experience of the JISC grows during the biennium, the JISC will continue to consider ways to improve the functioning of the Track 2 procedure.

14.   The JISC has noted, during its first two years of operation, the need to work towards good communication with the various stakeholders in JI so as to ensure that the quality standards expected of it in its work are upheld. In this regard, the JISC has developed and will continue to develop procedures for the operation of JI and to issue revisions or clarifications as appropriate.

15.   The JISC has also considered the extent of its interaction with DFPs and IEs, and understands the importance of clear communications and understanding of each others' roles in the process. The JISC looks forward to furthering this interaction as necessary to ensure smooth functioning of the Track 2 procedure.

16.   A well-established support structure is crucial to the functioning of the Track 2 procedure. This must provide institutional memory and impartial substantive support, elements that are fundamental to the success of the work of the JISC. Such a support structure has taken shape over the first biennium and is more or less in place, but needs to be strengthened, not only through interaction with IEs and DFPs, but also through secure funding and adequate human resources. The JI-MAP presents a plan and budget that would allow for the delivery of all tasks contained in the plan and in relevant CMP decisions, in particular the tasks given in decision 3/CMP.2, paragraphs 10 and 11, and decision 3/CMP.3, paragraph 6.

17.   As noted in the JI-MAP, v01, the level of human resources that was previously determined in the JI-MAP 2006–2007, while initially adequate for operation of the JI Track 2 procedure, will need to be revised over time. The JISC has made clear in its meetings its intention to keep this under review to take account of the evolution of the process, shifting from set-up to management of the caseload and related activities, and also to take into account the resource requirements of the clean development mechanism (CDM) in its early years of operation.

18.   The JISC is aware of the importance of adequate consideration and implementation of decisions taken by the Conference of the Parties (COP) and the CMP to provide legal protection to the JISC. Such protection is essential for members and alternates to assume their executive and supervisory roles within the context set by the JI guidelines.

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

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IV. Joint implementation management plan 2008–2009 by focal area

19.   This section of the JI-MAP 2008–2009 provides an overview of activities and caseload assumptions for the three focal areas of work (project cycle; accreditation; and management, information system and communication), and indicates differences both from activities carried out in these areas in 2007 and from the scenario envisaged in the JI-MAP, v01.

20.   The main changes in the focal areas since the previous biennium are as follows:

     (a)   More JI-AP meetings organized;

     (b)   More accreditation assessment activities;

     (c)   Fewer accreditation training activities;

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

     (e)   Provision of dedicated legal and management support, as needed;

     (f)   Increased information system support and services.

21.   There is no intention at this time to transfer any analytical preparatory work from the JISC and the JI-AP to the secretariat, as has been done by the Executive Board of the CDM. Thus, resource requirements for such work are not taken into account in this version of the JI-MAP.

A. Project cycle

22.   The Project Cycle unit of the JI sub-programme will continue to provide support to the JISC in 2008 and 2009 throughout the full project cycle of the Track 2 procedure. This will include, for example, managing the submission processes and associated communication, handling public calls for input on substantive matters and for expertise, preparing documentation for consideration by the JISC, and managing experts. The caseload is estimated at 50–75 projects (PDDs and determinations) per year, distributed equally throughout the period (estimates continue to be preliminary, as it is not possible to base estimates on past experience). This area of work is characterized by short process turnover times (requiring coordination of external experts and/or JISC members or alternates) and continuous, uninterrupted workflow throughout the year. This version of the JI-MAP contains no provision for a higher caseload than the 50–75 projects expected annually; an increased caseload over the course of the biennium would require further revision of the JI-MAP and reconsideration of the associated financial and human resources necessary.

23.   The Project Cycle unit also supports the JISC in its interaction with DFPs. In this capacity, in conjunction with the unit working on management and communication, the unit ensures that DFPs are provided with the necessary information and means to fulfil their roles.

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

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Table 2. Planned activities in the project cycle focal area

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
JISC	• Conduct appraisals/reviews of determinations by AIEs, as required • Make decisions with regard to determinations under review • Provide explanations for its decisions regarding determinations • Provide guidance and clarifications on the Track 2 procedure • Report to the CMP on outcomes of the Track 2 procedure • Ensure transparency of the process and adequacy of information available to stakeholders • Implement CMP decisions with regard to the Track 2 procedure	• 50–75 cases per year (PDDs and determinations)	• 47 PDD submissions • 4 determination submissions	• Conduct appraisals/reviews of verifications by AIEs, as required • Make decisions with regard to verifications under review • Provide explanations for its decisions regarding verifications	• 50–75 cases per year (PDDs and determinations)
Experts	• Prepare inputs to appraisals of determinations submitted • Participate in review teams as appropriate	• 2 experts per case for appraisal inputs (determinations) • No decision on number of experts or use of experts for review teams	• 10 experts engaged	• None	• 2 experts per case for appraisal inputs (determinations) • Use of experts for review teams
Secretariat	• Conduct completeness checks of PDDs submitted • Conduct completeness checks of determinations submitted • Prepare draft procedures and clarifications for the JISC, as requested • Provide support to the JISC in baseline setting and monitoring issues, as appropriate • Manage the operation of the project cycle workflow (including appraisals/reviews of determinations)	• Perform indicated activities and support to above caseload • 3 P staff • 1 G staff	• Activities performed and above caseload supported • 3 P staff • 1 G staff	• Conduct completeness checks of monitoring reports submitted	• Perform indicated activities and support to caseload assumptions above • 4 P staff • 2 G staff

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Table 2 (continued)

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
	• Manage public calls for input on substantive matters and for specific expertise • Maintain a publicly available list of JI projects (including their status) • Make publicly available relevant information on JI projects • Manage communication with stakeholders related to the project cycle workflow • Manage the collection of fees to cover administrative expenses of the JISC • Ensure accuracy and adequacy of information in the JI information system and on the UNFCCC JI website			• Conduct completeness checks of verifications submitted • Manage the operation of the project cycle workflow including verifications • Manage communication of project information from the JI information system to the international transaction log • Administration of the designated focal point interface	

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B. Accreditation

25. Experience from the first two years of work on accreditation has shown that the resources and time required are greater than was previously assumed. The amount of work by the secretariat and by the JI-AP was underestimated when the JI-MAP for 2006–2007 was developed. Furthermore, the continued pressure to move the accreditation process ahead as fast as possible, given the commencement of the first commitment period and thus the need to accredit IEs to verify emission reductions or enhancements of removals from JI projects, will require the JISC to maintain, if not increase, the support and resources for this work over time.

26. In addition, to ensure the credibility of the work of accredited independent entities (AIEs), which is vital for successful operation of the Track 2 procedure, the JISC will need to consider establishing a system to monitor the quality of performance of AIEs and to provide feedback and learning. Another element that the JISC will need to keep under careful review is the possible lack of expertise, quality and consistency in the assessment work that forms part of the accreditation process of IEs. This difficulty may prompt the need to consider modifications to the JI-MAP in future to ensure appropriate resources and support for this assessment work.

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Table 3. Planned activities in the accreditation focal area

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
JISC	• Decide on accreditation of entities • Review the accreditation procedure • Review accreditation standards and make recommendations to the CMP for consideration as appropriate • Report information to the CMP on the accreditation of IEs • Determine whether AIEs comply with accreditation standards • Implement CMP decisions with regard to accreditation • Provide guidance and clarifications on the accreditation process	• Up to 25 decisions on accreditation • 10 decisions related to clarifications and/or guidance	• No accreditation decisions • 3 decisions related to clarifications and/or guidance	None	• Up to 56 decisions on accreditation • 10 decisions related to clarifications and/or guidance
JI-AP	• Recommend accreditation decisions to the JISC • Draft documents prior to and at meetings • Participate in panel meetings and JISC workshops and/or round tables, as appropriate • Provide training and further guidance to assessment team experts • Prepare draft recommendations	• 2008: 7 meetings • 2009: 7 meetings	• 2008: 4 meetings • 1 recommendation/ decision	None	• 2008: 6 meetings • 2009: 6 meetings • Up to 70 recommendations/ decisions relating to initial application screening, on-site assessments and witnessing activities • Evaluation and selection of up to 20 new assessment team experts • 5 procedural documents • 5 clarification/ guidance documents • 2 training sessions for assessment team experts

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Table 3 (continued)

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
Joint implementation assessment team (JI-AT) experts	• Conduct desk reviews • On-site assessments and witnessing activities • Verification of implementation of corrective actions • Preparation of desk review, on-site assessment and witnessing reports • Preliminary and final assessment reports as recommendations to the JI-AP	• Desk reviews: 6 • On-site assessments : 6 • Witnessing: 75 • Verification of corrective actions: 295 • Reports: 92	• Desk reviews: 0 • On-site assessments: 1 • Witnessing: 1 • Verification of corrective actions: 25 • Reports: 24	• Increase in number of activities/ assessments	• Desk reviews 2008/9: 3 • On-site assessments 2008/9: 3 • Witnessing 2008/9: 51 • Verification of corrective actions 2008/9: 199 • Reports 2008/9: 195
Secretariat	• Procedural and process support to the JISC and the JI-AP • Undertake completeness check of the application documentation • Undertake administrative steps to establish JI-ATs • Provide support and facilitate other accreditation-related procedural steps • Prepare draft procedures and clarifications for the JISC or the JI-AP • Provide support and facilitate the meetings and communications of the JISC with AIEs, and as appropriate any forum associated with the work of AIEs • Manage public calls for specific accreditation-related expertise • Maintain publicly available information with regard to the accreditation process and accreditation status • Collect the application fees and oversee the implementation of the agreed fee structure for assessment activities	• Perform indicated activities and support to assumptions above • 2 P staff • 1 G staff	• Activities performed and above tasks supported • 2 P staff • 1 G staff	• Support to above increase	• Perform indicated activities and support to assumptions above • 2 P staff • 1 G staff

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Table 3 (continued)

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
	• Provide information for the JI information system and the UNFCCC JI website • Provide inputs and options, as required, on procedural steps • Provide draft recommendations on cases for phased accreditation to be considered by the JI-AP and recommended to the JISC • Provide support to improve quality of feedback from the JISC to AIEs				

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C. Management, information system and communication

27.   In addition to leading the substantive units referred to in sections A and B above, this unit:

   (a)   Prepares and organizes the meetings of the JISC (see chapter VI below for the tentative schedule of meetings in 2009);

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

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

   (d)   Identifies and coordinates special activities such as legal support or knowledge management;

   (e)   Takes overall responsibility for interactions of the JISC and the UNFCCC secretariat with relevant stakeholders (e.g. DFPs and AIEs), representation to and relations with other organizations.

28.   Together with team leaders for the other units, the unit provides or coordinates the support to the UNFCCC process on JI and relevant issues relating to the carbon market. It ensures cooperation with other secretariat programmes working on financial mechanisms, transfer of technology and capacity-building. The manager of the JI sub-programme is the secretary to the JISC and assists in the coordination and management of the SDM programme.

29.   The UNFCCC JI information system is based on open source software, which provides for sophisticated electronic workflows relating to the project cycle and procedures, integrating users with different access rights and roles within and outside the secretariat. The system stores documentation relating to the JI project cycle and displays information to users, including the public, according to their role. The development, programming and maintenance of the system is undertaken by a dedicated staff member within the JI sub-programme to ensure full control over priority setting, workload and quality. However, work is occasionally carried out on the system in collaboration with other staff in the secretariat, the costs of which are charged to the JI sub-programme. Because the JI processes and procedures are evolving, frequent redesign and reprogramming of the system are likely to be required. The management of change, quality and the forecasted continuous demand of new or modified features of the JI information system will require continuous attention. The system, which is to a large extent modelled on that of the CDM, should help to ensure cost-effective and timely implementation of the various elements of the JI process. This area of work also covers the technical support and administration of the various extranets and listservers supporting the JI process, and handles connectivity and data transmission to the international transaction log as necessary.

30.   The secretariat buys equipment for the JI information system and services. The cost of equipment, previously covered to a large extent by the secretariat's core budget, is reflected in the JI-MAP 2008–2009. In this biennium, services provided by other parts of the secretariat will also be reflected in the JI-MAP, in order to reveal the true cost of the JI mechanism. As in the past, the JI sub-programme will continue to explore ways to reduce costs by sharing resources with the Clean Development Mechanism sub-programme.

31.   With the assistance of team leaders from the other units, this unit plans and organizes outreach activities such as workshops, side events at sessions of the Convention bodies and question-and-answer sessions of the JISC. In 2008–2009, this unit will work to proactively engage the media and to improve communication with stakeholders, by improving the quality and timeliness of responses to queries and by

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improving the UNFCCC JI website. Over time, the unit will reach out to other target groups and stakeholders, and provide additional outreach support.

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

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
JISC	• Identify its process and information needs	-	-	None	-
Secretariat	• Identify its process and information needs • Design, develop, programme and maintain the UNFCCC JI information system • Manage the procurement of equipment • Provide for interaction between the JI information system and the international transaction log, and with the main UNFCCC website • Provide technical support for internal and external users • Maintain servers and specific hardware • Design and develop electronic workflows as needed • Conduct systems risk analysis and business continuity planning • Software re-development and improvement as needed • Analysis and input to the secretariat records management process and system implementation • System maintenance and technical support • Implement and oversee data/system quality assurance and quality control	• Perform indicated activities and support the JISC • 1 P staff • Supported by 1 G staff included in the Project Cycle unit (see table 2) • Use of external contractors • Use of other secretariat staff, charged against JI resources	• Activities performed and tasks supported • 1 P staff • Supported by 1 G staff included in the Project Cycle unit (see table 2) • Use of external contractors • Use of other secretariat staff, charged against JI resources	• Extension of JI information system • Development of designated focal point interface • Expansion of the tools for handling the roster of experts and the accreditation process	• Support activity • 1 P staff • 0.5 G staff • Use of external contractors • Use of other secretariat staff, charged against JI resources

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

Actor	Activities in JI-MAP 2008–2009 v01	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (as at 12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
JISC	• Provide guidance on issues relating to public information	-	-	-	-
Secretariat	• Review and improve the UNFCCC JI website, including design and content management • Develop and implement a media and communications strategiy for JI • Respond to public and media queries • Organize question-and-answer sessions, side events and other outreach activities • Develop and document communication procedures	• Perform indicated activities and support to the JISC • Staffing included in the Management unit (see below) and supported by other units	• Activities performed and tasks supported • Staffing included in the Management unit (see below) and supported by other units	• Regular review of JISC documentation for readability and impact • Design information and outreach materials	• Perform indicated activities and support to the JISC • Staffing included in the Management unit (see below) and supported by other units

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

Actor	Activities	JI-MAP 2008–2009 v01 assumptions	Actual situation in 2008 (12 September)	New activities in 2008–2009 not in JI-MAP v01	JI-MAP 2008–2009 v02 assumptions
Secretariat	• Manager of the JI sub-programme serves as Secretary to the JISC • Human and financial resource management of the JI sub-programme • Substantive management and coordination of JI-related work • Organize JISC meetings • Organize workshops and round-table interactions • Support work under the COP, CMP or other UNFCCC bodies relevant to the Kyoto Protocol mechanisms • Managerial support to the SDM programme	• Perform indicated activities and support to the JISC • 10 JISC meetings • 2 workshops and/or round tables • 1 P staff • 1 G staff	• Activities performed and tasks supported • 2 JISC meetings • 1 P staff • 1 G staff	• Serve as lead for JI-related knowledge/ record management • Provide increased support (analytical/ process) to relevant COP/CMP and UNFCCC cross cutting issues • Provide increased managerial support to the SDM programme	• Perform indicated activities and support to the JISC • 11 JISC meetings • 2 workshops and/or round tables • 2 P staff • 1.5 G staff

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V. Budget 2008–2009

A. Summary of the budget for 2008–2009

32.   Chapter III above has defined the areas of work and nature of services to be provided by the secretariat in the 2008–2009 biennium for JI. The assumptions underlying the budgetary requirements will require continued review and consideration over the course of the biennium in accordance with decision 3/CMP.2. Table 2 indicates the budgetary needs by focal area and by year, split between supplementary and core funding.[6]

Table 5. Budget summary, 2008–2009
(*United States dollars*)

Focal area	2008		2009		2008–2009
	Core budget	Supplementary funding	Core budget	Supplementary funding	Total
Project cycle	373 907	122 100	373 907	312 500	1 182 413
Accreditation	40 307	798 675	40 307	749 675	1 628 963
Management, information system and communication	230 383	744 969	230 383	1 408 707	2 614 442
Subtotal	644 597	1 665 744	644 597	2 470 882	5 425 819
13% overhead	83 798	216 547	83 798	321 215	705 356
Total by source	**728 394**	**1 882 291**	**728 394**	**2 792 096**	**6 131 175**[a]
Total of core and supplementary funding	**2 610 685**		**3 520 490**		**-**
Percentage of core and supplementary funding of total	**28%**	**72%**	**21%**	**79%**	**-**

[a] The total budget in version 1 of the JI-MAP 2008–2009 was USD 6,182,089. Table 6 provides the budget summary by activity area for the biennium 2008–2009.

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

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Table 6. Budget summary by activity area, 2008–2009

Activity area	2008 (USD)	2009 (USD)	Change between 2008 and 2009 (%)
1. Meetings and activities of the JISC	125 000	266 000	113[a]
2. Activities relating to accreditation of IEs and review of determinations	430 400	380 800	–12[b]
3. Technical workshops and round tables (AIEs, DFPs)	52 500	150 000	186
4. Structure and support to activity areas 1–3	1 057 844	1 674 082	58[c]
Total (1–4)	**1 665 744**	**2 470 882**	**48**
Overhead	216 547	321 215	48
Supplementary funding total	1 882 291	2 792 096	48
UNFCCC core budget funding total	**728 394**	**728 394**	**0**
Total	**2 610 685**	**3 520 490**	**35**

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

[a] Increase due to increase in the cost of meetings and the number of meetings.

[b] The overall decrease takes into account an increase in the number of accreditation meetings, a decrease in costs needed for specialized expertise and a decrease in the number of JI-AT training activities.

[c] The overall increase is due to the introduction of a policy on cost recovery for activities not funded from the core budget, an increased contribution to the Sustainable Development Mechanisms programme costs and the establishment of additional posts.

33.   Table 7 provides a breakdown of the planned activities by source of funding for the biennium 2008–2009.

Table 7. Budget allocation by activity (total for biennium 2008–2009)

Activity area	Activity	Source of funding		Total
		Core budget	**Supplementary funding**	
I. Meetings and activities of the Joint Implementation Supervisory Committee	JISC meetings	4 meetings	6 meetings	10 meetings
II. Activities relating to accreditation of IEs and review of determinations	JI-AP meetings	2 meetings	10 meetings	12 meetings
	Accreditation case processing	-	2 new applications	2 new applications
	Caseload processing	-	100–150 cases	100–150 cases
III. Technical workshops and round tables	Workshops	-	3 workshops	3 workshops
IV. Structure and support to activity areas 1–3	Staffing	4 officials plus GTA	10 officials plus GTA	14 officials[a] plus GTA

Abbreviations: GTA = general temporary assistance; JISC = Joint Implementation Supervisory Committee; JI-AP = Joint Implementation Accreditation Panel.

[a] Level of staffing at the end of the biennium (10 in 2008, 14 in 2009).

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B. Detail of the budget for 2008–2009

34. This section provides details of the JI budget for the year 2008–2009 by focal area and by source (split between supplementary and core funding).

1. Project cycle

Table 8. Budget for the project cycle focal area in 2008–2009, by source of funding
(*United States dollars*)

Project cycle costs	Core budget	Supplementary funding
Appraisals and review expertise	-	81 600
Further specialized expertise	-	6 000
Staff	746 000	344 000
Overtime	1 813	3 000
13% overhead	97 216	56 498
Total	**845 029**	**491 098**

2. Accreditation

Table 9. Budget for the accreditation focal area 2008–2009, by source of funding
(*United States dollars*)

Accreditation costs	Core budget	Supplementary funding
Two-day meetings of the joint implementation accreditation panel	78 800	394 000
Specialized expertise relating to accreditation	-	24 000
Travel related to on-site assessments and witnessing activities	-	75 000
JI-AT expert training (20–30 participants, 32 over two years) plus online training system	-	296 000
Staff	-	746 000
Overtime	1 813	3 750
13% overhead	10 480	200 038
Total	**91 093**	**1 538 788**

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3.   Management, information system and communication

**Table 10. Budget for management, information system and communication focal area
2008–2009, by source of funding**
(*United States dollars*)

Management, information system and communication costs	Core budget	Supplementary funding
JISC meetings (venue, webcast and attendance of 14 members)	250 000	391 000
Technical workshops		167 500
Hardware/software for web interface	-	40 000
UNFCCC shared cost and services		
IT support (software/hardware)	-	180 061
Staff training	-	17 740
Office space for non-core staff in the JI sub-programme	-	75 395
Services provided by the Intergovernmental Conference Affairs (ICA) programme	-	46 900
Telecommunications	-	23 880
Consultancy and/or temporary assistance	18 953	97 420
16% share of SDM shared staff costs: knowledge management, legal and administrative	-	229 280
Travel	30 000	190 000
Staff	160 000	652 000
Overtime	1 813	7 500
13% overhead	59 900	275 428
Total	**520 666**	**2 394 104**

VI. Resources in support of joint implementation in 2007–2009

A. Sources of funding

35. The sources of funding in support of JI for the period 2008–2009 are:

(a)   The contributions by Parties to the UNFCCC core budget (growth of 28 per cent from 2006–2007 to 2008–2009):

Table 11. Indicative contribution of the UNFCCC core budget to joint implementation, 2006–2009
(*United States dollars*)

	2006–2007	2008–2009
UNFCCC core budget	1 139 605	1 456 788

(b)   Supplementary resources, to be generated by:

Table 12. Sources of supplementary funding for joint implementation, 2006–2010

Source of supplementary funding	2006–2007	2008–2009	As of beginning of 2010
Party contributions	Yes	Yes	No
Accreditation fees	Yes	Yes	Yes
Fees for administrative expenses	No	Collected, but only for use as of 2010	Yes

B. Status of resources

36. Table 13 gives the status of the sources of supplementary funding for JI as at 12 September 2008. It shows a shortfall at this stage of USD 1,827,530.

Table 13. Shortfall in supplementary funding for joint implementation as of 12 September 2008
(*United States dollars*)

	2008	2009	2008–2009
Project budget	1 882 291	2 792 096	4 674 387
Carry-over from 2007	2 037 958	-	2 037 958
Voluntary contributions by Parties (income available)[a]	808 899	-	808 899
Fees from accreditation applications	-	-	-
Shortfall or surplus	**964 566**	**–2 792 096**	**–1 827 530**

[a] Includes only those received (i.e. funds pledged but not transferred are not included).

37. Decision 3/CMP.3 recalls the need for contributions by Parties included in Annex I to the Convention to the Trust Fund for Supplementary Activities in order to fund administrative expenses from implementing Article 6 of the Kyoto Protocol. Although contributions have been received in 2008, the existing shortfall for the biennium would not be covered even with the receipt of the presently outstanding pledges (USD 148,300).

38. It should be noted that although JI-related work will continue to require supplementary funding in 2009, as indicated in previous reports of the JISC to the CMP and as noted by the CMP in its adoption

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of the UNFCCC core budget for the 2008–2009 biennium,[7] from 2010 onwards it may be possible, with an adequate build-up of resources received from administrative fees during the biennium 2008–2009, that the cost of JI-related work will be covered by administrative fees. However, at present only 7 per cent of the approximately USD 8 million that would be required is available.

VII. Schedule of meetings of the Joint Implementation Supervisory Committee in 2009

Tentative schedule of meetings for 2009[a]

[a] Dates include informal consultations.

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[7] Decision 13/CP.13.