

**FOURTH PROGRESS REPORT  
OF THE  
JOINT IMPLEMENTATION ACCREDITATION PANEL (JI-AP)**

**CONTENTS**

	<i>Page</i>
<b>I. INTRODUCTION.....</b>	<b>2</b>
<b>II. STATUS OF APPLICATIONS FOR ACCREDITATION.....</b>	<b>2</b>
<b>III. RECOMMENDATIONS FROM THE PANEL.....</b>	<b>2</b>
<b>IV. STATUS OF ROSTER OF EXPERTS.....</b>	<b>3</b>
<b>V. OTHER OUTPUTS OF THE PANEL.....</b>	<b>3</b>
<b>VI. ISSUES UNDER CONSIDERATION.....</b>	<b>3</b>
<b>ANNEXES.....</b>	<b>4</b>
<b>Annex 1: Status of applications for accreditation.....</b>	<b>5</b>
<b>Annex 2: Draft terms of reference for joint implementation assessment teams (version 02)....</b>	<b>7</b>
<b>Annex 3: Draft indicative level of fees to be paid to joint implementation assessment team             by applicant independent entity or accredited independent entity (version 02).....</b>	<b>11</b>
<b>Annex 4: Draft clarification regarding utilization of laboratory services for monitoring             and determination of emission reductions or enhancements of removals.....</b>	<b>14</b>
<b>Annex 5: Forms.....</b>	<b>16</b>
<b>Witnessing opportunities identification form (version 02)</b>	
<b>Preliminary assessment report form (version 02)</b>	
<b>Final assessment report form (version 02)</b>	
<b>Observation report form (version 01)</b>	

## I. INTRODUCTION

1. This fourth progress report covers the period from 17 April 2007 to 23 September 2007. During this period the Joint Implementation Accreditation Panel (JI-AP) held two meetings.

## II. STATUS OF APPLICATIONS FOR ACCREDITATION

2. Since the opening of the process of receiving submissions of applications from independent entities (IEs) for the joint implementation (JI) accreditation process on 6 October 2006, **14 applications have been received** by the secretariat by the end of the present reporting period. All of these applications are from entities that also applied for accreditation under the clean development mechanism (CDM), of which 13 entities have already been designated for at least one function (validation or verification/certification) in at least one sectoral scope under the CDM. Of 14 applications, two applicant IEs notified the change of their names, including one that involved the replacement of the application by its group company due to the shift of its office in charge of JI functions to another country.

3. The JI-AP had already selected members of joint implementation assessment teams (JI-ATs) and agreed on the workplans for the JI-ATs for all 14 applications by the end of the previous reporting period. The workplan for the replaced application referred to in paragraph 2 above was agreed in the present reporting period. Following these, the assessment work is underway for all 14 applications by respective JI-ATs. **Desk review has been completed for 11 applications**, of which the site visit of the **on-site assessment has been conducted for five applications**. For the remaining applications the desk review and/or on-site assessment is expected to be completed and/or conducted in the coming weeks. The details of the applications and the status of processing them are presented in [annex 1](#).

## III. RECOMMENDATIONS FROM THE PANEL

4. Recognizing the need to strengthen the roster of experts for JI-ATs in terms of expertise in baseline setting and monitoring, the JI-AP considered appropriate requirements for experts who will participate in future JI-ATs as methodology experts, and agreed to recommend to the JISC the revised terms of reference for JI-ATs, as contained in [annex 2](#) to this report. The revised terms of reference require a methodology expert in a JI-AT to demonstrate relevant working experience of at least two years on methodological issues related to project-based mechanisms.

5. Responding to complaints received by the secretariat from some JI-AT members on the level of fees to be paid to the members, in particular for their work on desk review, the JI-AP reviewed the current fee structure and agreed to recommend a revised fee structure to the JISC, which better reflects the actual workload for JI-AT members, as contained in [annex 3](#).

6. Prompted by an enquiry to the secretariat from a project participant, and taking into account a related decision by the Executive Board of the clean development mechanism (CDM EB) at its 31st meeting, the JI-AP considered the issue regarding the use of laboratory services of an accredited independent entity (AIE) or its related bodies for project monitoring for the same project that the AIE conducts determination regarding emissions reduction or enhancements of removals and decided to recommend a clarification to the JISC that follows the approach taken by the CDM EB, as contained in [annex 4](#).

#### IV. STATUS OF ROSTER OF EXPERTS

7. Since the last reporting period, a few applications have been received by the secretariat for the third call for experts (28 February 2007 - open ended), but no new expert has been included yet, due to the need for clarifications from the experts. Therefore, the total number of experts remains the same as the last reporting period: **there are currently 37 experts in the roster**. The JI-AP decided to close the third call on 24 September 2007, as it perceived the existing experts in the roster to be sufficient to cover the expected workload of assessments by JI-ATs in the near future. The JI-AP agreed to revisit the evaluations of methodology experts and identify the sectoral scopes where the number of competent experts are insufficient. If found insufficient for some sectoral scopes, the JI-AP decided it will open a new call based on the finding.

8. The JI-AP organized the second training session for JI-AT experts on 20-21 September 2007 in Bonn, Germany, inviting all leaders of the existing JI-ATs and all methodology experts in the roster. This training session focused on the witnessing activity stage of the accreditation assessment process, as the JI-AP considered it was the most problematic stage. The training consisted of both presentations by JI-AP members and JI-AT experts with some assessment experiences, as well as hands-on exercises so as to provide participating JI-AT experts not only guidance, but also some practical exposure to the issue. Participants generally provided positive feedbacks at the end of the training session, and requested the secretariat to organize training sessions regularly or develop an on-line training course as appropriate, with a view to continually improving knowledge from shared experiences and training new experts as they enter the process.

#### V. OTHER OUTPUTS OF THE PANEL

9. The JI-AP agreed to revise the forms for witnessing opportunity identification (F-JI-WOI), preliminary assessment report (F-JI-PR) and final assessment report (F-JI-FR) to provide for clearer structures. Furthermore, the JI-AP adopted a new form for “observations” (F-JI-OBS) by which JI-ATs may inform applicant IEs of potential deficiencies as a part of their findings of on-site assessments or witnessing activities to applicant IEs. All these forms are found in annex 5 for information for the JISC.

10. The JI-AP developed a guidance document for JI-ATs for their undertaking on-site assessments. The document aims at enabling JI-ATs to undertake on-site assessments in a consistent manner, and elaborates the areas to be focused on and the modality to be followed during on-site assessments. It also includes guidance on how to reflect assessment findings in the reports to be prepared by JI-ATs after the on-site assessments.

#### VI. ISSUES UNDER CONSIDERATION

11. Following written exchanges between the JISC and the CDM EB on cooperation between the JI and CDM accreditation processes, the Chairs of the JI-AP and the CDM accreditation panel (CDM-AP) discussed the issue of cooperation between the two processes on 24 August 2007. Based on the outcome of this discussion, the JI-AP decided, following discussions at its next meeting, to propose to the Chair of the CDM-AP possible areas of cooperation with analysis on positive and negative implications of such cooperation.

12. The JI-AP is currently developing a guidance document for JI-ATs for their undertaking of witnessing activities.

13. Recognizing that the verification procedure under the JISC does not incorporate the step of approval of methodologies before using them in project design documents as opposed to the procedure under the CDM, the JI-AP considered measures to appropriately assess the competency of applicant IEs in methodological issues, and is currently revising witnessing report forms (F-JI-WRdpdd and F-JI-WRderu)

14. The JI-AP decided to put in abeyance the consideration of a “mentoring” system for experts in the roster, as it felt the urgency of introducing such a system was not high at the moment.

## ANNEXES

**Annex 1: Status of applications for accreditation**

**Annex 2: Draft terms of reference of joint implementation assessment teams (version 02)**

**Annex 3: Draft indicative level of fees to be paid to joint implementation assessment team by applicant independent entity or accredited independent entity (version 02)**

**Annex 4: Draft clarification regarding utilization of laboratory services for monitoring and determination of emission reductions or enhancements of removals**

**Annex 5: Forms**

- Witnessing opportunities identification form (version 02)
- Preliminary assessment report form (version 02)
- Final assessment report form (version 02)
- Observation report form (version 01)

## Annex 1: Status of applications for accreditation

UNFCCC Ref. No.	Entity name	Sectoral scopes applied	Accreditation steps									
			Completeness check	Preliminary consideration	Workplan	JI-AT establishment	Desk review	On-site assessment	Witnessing activity	Indicative letter	Phased accreditation	
JI-E-0001	Det Norske Veritas Certification Ltd (DNVcert)	1-15	✓	✓	✓	✓	✓	✓	Site visit done <sup>1</sup>			
JI-E-0002	Japan Quality Assurance Organization (JQA)	1-15	✓	✓	✓	✓	✓	✓		1 witnessing opportunity proposed		
JI-E-0003	Deloitte Tohmatsu Evaluation and Certification Organization Co., Ltd <sup>2</sup>	1-10, 12-13, 15	✓	✓	✓	✓	✓	✓				
JI-E-0004	Lloyd's Register Quality Assurance Ltd. (LRQA)	1-13	✓	✓	✓	✓	✓	✓	Site visit done <sup>1</sup>			
JI-E-0005	JACO CDM., Ltd.	1-15	✓	✓	✓	✓	✓	✓		1 witnessing opportunity accepted		
JI-E-0006	Japan Consulting Institute (JCI)	1-5, 8-11, 13	✓	✓	✓	✓	✓	✓				
JI-E-0007	Bureau Veritas Certification Holding SAS <sup>3</sup>	1-15	✓	✓	✓	✓	✓	On-going				
JI-E-0008	TÜV SÜD Industrie Service GmbH (TÜV-SÜD)	1-15	✓	✓	✓	✓	✓	✓	Site visit done <sup>1</sup>			
JI-E-0009	Spanish Association for Standardisation and Certification (AENOR)	1-15	✓	✓	✓	✓	✓	✓				
JI-E-0010	SGS United Kingdom Limited	1-15	✓	✓	✓	✓	✓	✓				
JI-E-0011	TÜV NORD CERT GmbH	1-15	✓	✓	✓	✓	✓	✓	Site visit done <sup>1</sup>			

UNFCCC Ref. No.	Entity name	Sectoral scopes applied	Accreditation steps								
			Completeness check	Preliminary consideration	Workplan	JI-AT establishment	Desk review	On-site assessment	Witnessing activity	Indicative letter	Phased accreditation
JI-E-0012	TÜV Rheinland Japan Ltd. <sup>4</sup>	1-15	✓	✓	✓	✓	On-going				
JI-E-0013	SQS, Swiss Association for Quality and Management Systems	1-15	✓	✓	✓	✓	✓	Site visit done <sup>1</sup>			
JI-E-0014	KPMG Sustainability B.V.	1-4, 13	✓	✓	✓	✓	On-going				

**Legend:**

✓ = stage completed

1) Corrective actions being identified or underway by applicant IE.

2) Formerly named as “Tohatsu Evaluation and Certification Organization Co., Ltd”.

3) Formerly named as “Bureau Veritas Certification Holding S.A.”.

4) Formerly applied from “TÜV Industrie Service GmbH, TÜV Rheinland Group (TÜV Rheinland)”.

**Annex 2: Draft terms of reference for joint implementation assessment teams (version 02)**



**TERMS OF REFERENCE FOR  
JOINT IMPLEMENTATION ASSESSMENT TEAMS**

**(Version 02)**

**I. INTRODUCTION**

1. At its second meeting, the Joint Implementation Supervisory Committee (JISC) agreed to launch the accreditation process for independent entities under joint implementation (JI) by establishing a Joint Implementation Accreditation Panel (JI-AP). The JISC agreed on the institutional set-up of the JI accreditation process including the establishment of joint implementation assessment teams (JI-ATs) that support the activities of JI-AP.

2. These terms of reference are based on the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (hereinafter referred to as JI accreditation procedure) and provide details on the following: (a) areas of work of JI-ATs (see II.A.), (b) modalities of work (see II.B.), and (c) membership in the teams including competence requirements (see II.C.).

**II. TERMS OF REFERENCE**

**A. Areas of work**

3. In accordance with the JI accreditation procedure, a JI-AT shall undertake an assessment of an applicant independent entity (IE) and/or accredited IE (AIE) and prepare an assessment report to the JI-AP. A JI-AT is established based on the characteristics of the applicant IE or AIE and the sectoral scopes that the applicant IE is applying for or AIE is accredited. The team members are drawn from a roster of experts. The experts shall fulfil the minimum requirements identified herein; any additional competence relevant to a particular assessment shall be taken into account in the selection of team members.

4. The tasks identified in paragraph 2 imply that, inter alia, the following activities are carried out by a JI-AT:

- (a) A desktop review of the application and relevant documentation of an applicant IE;
- (b) Deciding on number of witnessing activities required and finalizing its work plan, in particular, for the witnessing activities with regard to the scope(s) and detail of the on-site assessment of the applicant IE;
- (c) On-site assessment of the office(s) managing the operations of the applicant IE;
- (d) Witnessing of the activities performed by the applicant IE;
- (e) Verification of the implementation of corrective actions to address non-conformities;
- (f) Preparation of a preliminary report on the assessment of the applicant IE;
- (g) Preparation of a final report;
- (h) To conduct a spot-check assessment of an AIE as mandated by the JI-AP;
- (i) Making recommendations to the JI-AP on the above issues, as applicable, in accordance with the JI accreditation procedure.



**B. Modalities of work**

5. The secretariat shall conduct (a) call(s) for experts to establish rosters of experts (in accreditation and in baseline setting and monitoring) for this purpose and update it constantly. The secretariat shall maintain a database of experts containing personal and contact details as well as a record of educational qualifications, professional status and experience and training in the fields relevant to the sectoral scope(s) of accreditation.
6. A JI-AT shall be an ad-hoc team chosen by the JI-AP relevant to the scope(s) of an assignment and taking into consideration the issues of consistency of the assessment.
7. A JI-AT shall operate under the guidance of the JI-AP.

**C. Membership in the team**

8. A JI-AT shall be composed of a team leader and team members as required, chosen by the JI-AP to serve in a team for an assessment at a time. A team leader and a team member may be chosen again for another assessment and/or witnessing activity. An observer may be attached to the team, in accordance with the JI accreditation procedure.

**Competence requirements:**

9. A JI-AT member and team leader shall:
  - (a) Have (i) demonstrated relevant working experience of at least two (2) years in accreditation and/or (ii) had a training in and worked on management system auditing for at least twenty (20) working days within a period of three years and/or (iii) scientific/technical background relevant to the scope(s) of the assignment with at least two (2) years of relevant experience;
  - (b) Be familiar with the JI guidelines<sup>1</sup> and relevant decisions of the Conference of the Parties and/or Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol;
  - (c) Have recognized experience and/or knowledge relevant to the JI project cycle;
  - (d) Be able to communicate fluently, in writing and orally, in English. A working knowledge of other United Nations languages desirable;
  - (e) Have excellent drafting skills, strong operational and analytical skills, and the ability to work as a member of a team;
  - (f) Possess a university degree in economics, environmental studies, natural sciences, engineering, development studies, or any related discipline;
  - (g) Be free from any interest that may cause the JI-AT to act in other than an impartial and non-discriminatory manner;
  - (h) Commit in writing that he/she will not disclose any confidential or proprietary information coming to his/her knowledge by reason of his/her duties for the JI-AT.

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<sup>1</sup> Annex to decision 9/CMP.1 on guidelines for the implementation of Article 6 of the Kyoto Protocol.



10. A methodology expert in a JI-AT, regardless of whether the expert meets the requirements referred in paragraph 9 (a) above, shall demonstrate relevant working experience, of at least two years on methodological issues related to project-based mechanisms.

11. A JI-AT leader shall have, in addition to paragraph 9 above, the following competencies:

- (a) Ability to lead an JI-AT;
- (b) Ability to manage the assessment process;
- (c) Having experience as a lead assessor with an accreditation body and/or acquired sufficient accreditation experience;
- (d) Being familiar with the JI accreditation procedures.

12. A JI-AT shall have collectively the team competencies stated in (a) to (e) below. When experts submit their application for inclusion in the roster of experts, they shall indicate the area(s) of competence to which they are able to contribute:

- (a) Being familiar with relevant legal regulations, procedures and requirements related to accreditation, spot-check/surveillance, re-accreditation, suspension or withdrawal, as applicable, of the IE or AIE under assessment and have a thorough knowledge of the relevant methods and documents;
- (b) Having appropriate technical knowledge of the specific sectoral scope for which accreditation is sought and, where appropriate, the associated procedures and potential for failure;
- (c) Having a degree of understanding sufficient to make a reliable assessment of the competence of the applicant IE or AIE under assessment to operate within its requested scope(s);
- (d) Being able to communicate, if possible, the operating language of the IE or AIE under assessment;
- (e) For witnessing activity at least one member shall be an expert in baseline setting and monitoring.

**Size and composition:**

13. The size and composition of the JI-AT shall depend upon the nature, scope(s) and detail of the assessment assignment.

14. The secretariat, after an initial review of the documents shall identify possible candidates for a JI-AT including a proposed team leader. The JI-AP shall select members and the team leader of the JI-AT.

**Compensation:**

15. Travel costs and daily subsistence allowance will be paid to the team members and team leader of JI-ATs attending a meeting or undertaking assignments of assessment in accordance with the UN rules and regulations and the JI accreditation procedure. JI-AT members and team leaders shall be paid fees as determined by the JISC.

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**Annex 3: Draft indicative level of fees to be paid to joint implementation assessment team by applicant independent entity or accredited independent entity (version 02)**



**INDICATIVE LEVEL OF FEES  
TO BE PAID TO JOINT IMPLEMENTATION ASSESSMENT TEAM  
BY APPLICANT INDEPENDENT ENTITY OR ACCREDITED INDEPENDENT ENTITY**

**(Version 02)**

1. The Joint Implementation Accreditation Panel (JI-AP) agreed the indicative levels of fees, presented in the table below, to be paid by applicant independent entity (IE) or accredited IE (AIE) to joint implementation assessment team (JI-AT) members at steps of the accreditation process. The table has been developed bearing in mind the need to keep the costs of accreditation as low as possible while ensuring high quality of work and commitment of team members.
  
2. The table below indicates anticipated standard numbers of work days and total fee payment to team leader and team members for the tasks associated to their roles in each procedural step. The fees indicated 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 a 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. In addition to these fees, the applicant IE or AIE shall also pay travel-related costs (for transportation, accommodation and daily subsistence allowance etc.) associated with on-site assessment, as well as witnessing activity and “spot check” if the on-site visit is included in these steps, in accordance with the procedure for accrediting independent entities by the Joint Implementation Supervisory Committee. Applicant IE or AIE will have to bear the costs in order to proceed with their accreditation application.
  
3. The applicant IE or AIE shall pay the fees directly and individually to the relevant team members (including the team leader) based on the information provided by the secretariat. The secretariat shall forward to the applicant IE or AIE, copy to the team members, a request for payment together with a pre-filled receipt form for each team member. The applicant IE or AIE shall ensure that the secretariat receives the original signed receipts from the respective team member. The application process will be halted in case these payments are not done by the applicant IE or AIE within deadlines indicated.

Task	Number of days		Total cost (No. of days × daily fee <sup>1</sup> ) (USD)
	Team leader	Team member	
<b><i>Desk review</i></b>			
Preparation of desk review report (F-JI-DOR)	2	2 (1 day × 2 members)	Included in application fee <sup>2</sup>
<b><i>On-site assessment</i></b>			
On-site assessment <sup>3</sup>	2	4 (2 days × 2 members)	2,400
Verification of implementation of actions to address non-conformities <sup>4</sup>	1	1 (0.5 day × 2 members)	800
Preparation of preliminary report (F-JI-PR) and final report (F-JI-FR)	1	1 (0.5 day × 2 members)	800



<i>Witnessing activity</i>			
Witnessing activity <sup>5</sup>	2.5 (per activity)	2.5 (2.5 day × 1 member) (per activity)	2,000 (per activity)
Verification of implementation of actions to address non-conformities <sup>4</sup>	1 (per activity)	0.5 (0.5 day × 1 member) (per activity)	600 (per activity)
Preparation of preliminary report (F-JI-PR) and final report (F-JI-FR)	1 (per activity)	0.5 (0.5 day × 1 member) (per activity)	600 (per activity)

- 1) The level of fee is determined by the Joint Implementation Supervisory Committee and presently set to be USD 400 per day.
- 2) The non-reimbursable application fee is presently set to be USD 15,000 per application.
- 3) The on-site assessment is typically undertaken by three AT members including the team leader. The on-site assessment may be combined with witnessing activities, in which case the on-site assessment may be extended to three days.
- 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 (about 4-5 if all 15 scope(s) are being assessed). As a default, only two members including the team leader of the AT are typically expected to work per witnessing activity.

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**Annex 4: Draft clarification regarding utilization of laboratory services for monitoring and determination of emission reductions or enhancements of removals**



**CLARIFICATION REGARDING UTILIZATION OF LABORATORY SERVICES  
FOR MONITORING AND DETERMINATION OF EMISSION REDUCTIONS OR  
ENHANCEMENTS OF REMOVALS**

**I. BACKGROUND**

1. Paragraph 2 of appendix A to the annex to decision 9/CMP.1 stipulates the following operational requirements as a part of the requirements for an independent entity (IE) to be accredited by the Joint Implementation Supervisory Committee (JISC):

- (a) Work in a credible, independent, non-discriminatory and transparent manner, complying with applicable national law and meeting, in particular, the following requirements:
  - (i) An applicant independent entity shall have a documented structure, which safeguards impartiality, including provisions to ensure the impartiality of its operations
  - (ii) If it is part of a larger organization, and where parts of that organization are, or may become, involved in the identification, development or financing of any Article 6 project, the applicant independent entity shall:
    - Make a declaration of all the organization’s actual and potential Article 6 activities;
    - Clearly define the links with other parts of the organization, demonstrating that no conflicts of interest exist;
    - Demonstrate that no actual or potential conflict of interest exists between its functions as an accredited independent entity and any other functions that it may have, and demonstrate how business is managed to minimize any identified risk to impartiality. The demonstration shall cover all potential sources of conflict of interest, whether they arise from within the applicant independent entity or from the activities of related bodies;
    - Demonstrate that it, together with its senior executive and staff, is not involved in any commercial, financial or other processes which might influence its judgement or endanger trust in its independence of judgement and integrity in relation to its activities, and that it complies with any rules applicable in this respect.

**CLARIFICATION**

2. If a laboratory related to an accredited IE (AIE) has provided services for the monitoring of a project implemented under the verification procedure under the JISC, the same AIE cannot provide services of determination regarding emission reductions or enhancement of removals (hereinafter referred to as verification) for the same project. In the same context, for a given project an AIE performing the verification function cannot use services of a laboratory involved in the monitoring activity. Only in exceptional cases these combinations may be accepted by the JISC taking into consideration the specific nature and requirements of the project.

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## **Annex 5: Forms**

- **Witnessing opportunities identification form (version 02)**
- **Preliminary assessment report form (version 02)**
- **Final assessment report form (version 02)**
- **Observation report form (version 01)**



**WITNESSING OPPORTUNITIES IDENTIFICATION FORM**

<b>Name of applicant or accredited entity:</b>	<b>UNFCCC ref. no. of entity:</b>
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**WITNESSING OPPORTUNITIES**  
*(Copy/delete blocks and lines as needed)*

No.	Project name for witnessing opportunity	Sectoral scope	Determination regarding a PDD ( <i>pdd</i> ) / Determination regarding emission reductions or enhancements of removals ( <i>eru</i> )	Type of activity (large/small scale)	Location	Web address of information regarding the project if information is not attached in electronic format to this form (indicate login name and password if required)	
1	<i>Project name 1</i>	1	<i>pdd</i>	<i>Large</i>	<i>Abc</i>	<i>http://www.</i>	Doc attached: yes/no
2	<i>Project name 2</i>	3	<i>pdd</i>	<i>Small</i>	<i>Def</i>	<i>http://www.</i>	Doc attached: yes/no
3	<i>Project name 3</i>	5	<i>pdd</i>	<i>Small</i>	<i>Ghi</i>	<i>http://www.</i>	Doc attached: yes/no
4	<i>Project name 4</i>	13	<i>eru</i>	<i>Large</i>	<i>Jkl</i>	<i>http://www.</i>	Doc attached: yes/no
	.....						

<b>Name of the authorized official of the applicant independent entity</b>	
<b>Date and signature of the authorized official</b>	

Note: Examples given in the table ("Project name 1", "Project name 2"... ) should be deleted when submitting the form.



## PRELIMINARY ASSESSMENT REPORT

<b>Name of entity and address of site(s) assessed</b>	
<b>UNFCCC ref no. of entity</b>	
<b>Type of assessment (please tick one)</b>	<b>On-site assessment</b> <input type="checkbox"/> <b>Witnessing activity</b> <input type="checkbox"/> <b>Function assessed in the case of witnessing activity:</b> <b>Determination<sup>1</sup></b> <input type="checkbox"/> <b>Verification<sup>2</sup></b> <input type="checkbox"/>
<b>Sectoral scope(s) assessed</b>	
<b>JI-AT leader's name</b>	
<b>JI-AT member(s)' name(s)</b>	
<b>Summary</b>	
<p><i>The summary should address the following aspects:</i></p> <ul style="list-style-type: none"> <li>• <i>An assessment of the competence, experience and substantive decision making capacity of the applicant independent entity in the sectoral scope(s) assessed. The names of key staff involved and their qualifications, experience and authority shall be attached or alternatively a cross references to where information is identified may be provided;</i></li> <li>• <i>An assessment of the adequacy of the internal organization and procedures adopted by the applicant independent entity ensuring confidence in the quality of its services;</i></li> <li>• <i>A description of the determination activities witnessed, as applicable;</i></li> <li>• <i>An assessment of the conformity of the applicant independent entity with the accreditation requirements, in particular with regard to key issues identified by the JI-AP and, where applicable, any useful comparisons with the results of previous assessments of the applicant independent entity;</i></li> <li>• <i>A description of non-conformities and corrective actions implemented by the applicant independent entity. One non-conformity form (F-JI-NC) is to be attached for each non-conformity;</i></li> <li>• <i>The overall conclusion of the JI-AT.</i></li> </ul> <p><i>Instead of repeating detailed information, cross-references to forms used in this assessment shall be provided, as applicable.</i></p>	
<b>Administration of assessment:</b>	
<ul style="list-style-type: none"> <li>• <i>State the date(s) (DD/MM/YYYY) of the assessment(s): Indicate the type of assessment i.e. whether an on-site assessment, witnessing or other activity was carried.</i></li> <li>• <i>List the names of the JI-AT responsible for this report</i></li> <li>• <i>List the names and address(es) of all the relevant entity sites assessed</i></li> </ul>	

<sup>1</sup> Determination regarding project design document in accordance with paragraph 33 of the JI guidelines.

<sup>2</sup> Determination regarding emission reductions or enhancements of removals in accordance with paragraph 37 of the JI guidelines.

<b>Documents supplied by the applicant independent entity and reviewed by the JI-AT</b>		
<b>Document</b>	<b>Copy available</b>	<b>Reviewed</b>
Application for accreditation		
Documentation on its legal status		
Specific documents related to a scope of accreditation (see description of scope)		
A declaration of all the organization's actual and planned involvement in JI projects		
A declaration that the applicant independent entity has not pending any judicial process for malpractice, fraud and/or other activity incompatible with its functions		
Documentation on its quality assurance policy and procedures		
Documentation on administrative procedures including document control		
Organizational chart showing lines of authority, responsibility and allocation of functions		
Documentation on its procedures for handling complaints, appeals and disputes		
<b>List of documents prepared in relation to this assessment (e.g. work plan, on-site assessment report, non-conformity forms):</b>		
<b>Signature by JI-AT leader:</b>	<b>Date:</b>	



## FINAL ASSESSMENT REPORT

<b>Name of applicant independent entity and address of site(s) assessed</b>			
<b>UNFCCC ref. no. of entity</b>			
<b>Type of assessment</b> <i>(please tick appropriate boxes)</i>	<b>On-site assessment</b> <input type="checkbox"/>	<b>Witnessing activity</b> <input type="checkbox"/>	
	<b>Function assessed in the case of witnessing activity:</b>		
	<b>Determination<sup>1</sup></b> <input type="checkbox"/>	<b>Verification<sup>2</sup></b>	<input type="checkbox"/>
<b>Sectoral scope(s) assessed</b>			
<b>JI-AT leader's name</b>			
<b>JI-AT member(s)' name(s)</b>			
<b>The preliminary report is attached</b> <i>(please checkmark)</i>		<b>Comments by the entity on the preliminary report are attached</b> <i>(please checkmark)</i>	
<b>Description on how comments by entity have been addressed, refer to non-conformity forms as applicable:</b>			
<b>Recommendation regarding accreditation for consideration by the JI-AP:</b>			
<b>JI-AT leader's signature:</b>			<b>Date:</b>

<sup>1</sup> Determination regarding project design document in accordance with paragraph 33 of the JI guidelines.

<sup>2</sup> Determination regarding emission reductions or enhancements of removals in accordance with paragraph 37 of the JI guidelines.



**OBSERVATION REPORT**

Name of reporting team member:

Name of applicant or accredited entity:

UNFCCC ref. no. of entity:

Area/field of entity assessed:

Name of the entity representative for this area/field:

**DESCRIPTION OF OBSERVATION:**

**RELEVANT REQUIREMENT:**


Signature of area/field representative:

Date:

Signature of JI-AT leader:

Date: