 <b>REPORT ON DESK REVIEW AND ON-SITE ASSESSMENT</b>		
<b>Name and address of applicant independent entity (IE)</b>		
<b>UNFCCC ref. no. of IE</b>		
<b>JI-AT leader's name</b>		
<b>JI-AT member(s)'s name</b>		
<b>Initial checks</b>	<b>Yes/No</b>	<b>Comments</b>
<ul style="list-style-type: none"> <li>• Completeness of documentation:               <ul style="list-style-type: none"> <li>– Relevant application documents are attached</li> </ul> </li> <li>• The JI-AT has received the work plan for this assessment from the JI-AP</li> </ul>		

**INSTRUCTIONS:**

- The purpose of the desk review and on-site assessment is to assess whether the operational capability of the IE meets the JI accreditation requirements, inter alia, whether the IE has in place all required documented policies, procedures, systems and resources.
- This form is used for both the desk review and on-site assessment, but the outcomes of each step are recorded separately.
- The JI accreditation requirements are contained in the “Joint implementation accreditation standard (version 01)” (Standard) and other JISC documents as appropriate. While conducting the assessment and filling out the following table, the JI-AT shall refer to the Standard for the complete text of the requirements.
- With regard to compliance with the requirements, the JI-AT shall use one of the following options for the “Rating” column: S = Satisfactory, NS = Not satisfactory, NA = Not Applicable. If compliance with a requirement may not be verified during the desk review, the JI-AT shall indicate “TBD” (to be determined) in the “Rating” column and conclude its finding at the on-site assessment.
- The JI-AT shall substantiate, in the two “Comments” columns, whether the IE complies or does not comply with the requirements.
- If “NS” is chosen in the “Rating” column for the on-site assessment, the JI-AT shall raise a non-conformity (NC) and support its decision by providing relevant information in the form “F-JI-NC”.

Reference to section and paragraph in the Standard	Requirement	Desk review		On-site assessment	
		Rating	Comments	Rating	Comments
<b>II</b>	<b>Legal status</b>				
31	IE is registered under applicable national and/or international law Documentary evidence is provided				
<b>III</b>	<b>Financial stability and insurance</b>				
32	IE has identified and analysed the nature and scale of financial resources needed for determination and verification work and the legal and financial risks arising from such work IE periodically reviews this analysis				
33	IE has the financial resources and stability required for its determination and verification work				
34	IE has provided: <ul style="list-style-type: none"> <li>– Documentary evidence of financial resources, such as assets, savings and/or line of credit, etc.</li> <li>– 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</li> </ul>				
35	IE has sufficient arrangements to cover the legal and financial risks identified in accordance with paragraph 32 of the JI accreditation standard, including liability insurance				

IV	Management structure				
36	<p>IE has a documented organizational and management structure that includes:</p> <ul style="list-style-type: none"> <li>– 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</li> <li>– Names, qualifications, experience and terms of reference of top management and operational management</li> <li>– Organization chart showing top management and operational management and lines of authority</li> </ul>				
37	IE has established and implements a documented procedure for the allocation of responsibilities				
38	IE has made publicly available its allocation of responsibilities procedure				
39, 73	<p>Operational management performs the following functions:</p> <ul style="list-style-type: none"> <li>– Analysing financial resources needed for its determination and verification work</li> <li>– Implementing the impartiality procedure, including:                             <ul style="list-style-type: none"> <li>• Documenting and declaring JI activities</li> <li>• Identifying, analysing and declaring potential conflict of interest situations</li> </ul> </li> <li>– Defining the competence criteria required for performing determination and verification work</li> <li>– Implementing the qualification procedure</li> <li>– Implementing the performance monitoring procedure</li> </ul>				

	– Implementing the training plan				
	– Implementing the subcontracting procedure				
	– Implementing the proposal and contract review procedure				
	– Submitting PDDs, determination reports, monitoring reports or verification reports to the JISC				
	– Updating and disseminating the determination and verification procedure				
	– Selecting internal reviewers				
	– Implementing the determination/verification approval procedure				
	– Implementing the internal audit procedure				
	– Implementing the non-conformities handling procedure				
	– Implementing the preventive action procedure				
	– Implementing the appeals handling procedure				
	– Maintaining records of judicial processes				
<b>V</b>	<b>Impartiality</b>				
40	IE works in a credible, independent, non-discriminatory and transparent manner and complies with applicable national laws				
	IE avoids conflicts of interest situations and carries out its determination and verification work impartially				
41	IE has established and implements a documented impartiality policy				
42	IE has made publicly available its impartiality policy				

43	IE had documented and declared 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				
44	IE has identified, analyzed and declared, based on the information referred to in paragraph 43 of the JI accreditation standard, all potential conflict of interest situations that may threaten its impartiality in carrying out determination or verification work				
45	IE has established a structure that is separate from, and reports directly to, the top management, is independent from the IE's personnel performing determination and verification work, and ensures that its impartiality policy is effectively implemented				
46	IE has established and implements a documented impartiality procedure				
47	The impartiality procedure contains all required provisions				
<b>VI</b>	<b>Human resources and competence</b>				
48	IE has established and implements a documented expertise policy				
49	IE employs, or has access to, a sufficient number of competent personnel to perform determination or verification work in each technical area, within sectoral scopes, in which the IE operates				
50	IE has defined the competence criteria for each function of its personnel performing determination and verification work				
	IE periodically reviews these criteria				
51	The competence criteria include all required provisions				
52	IE has established and implements a documented procedure for analysing the competence of its personnel performing determination or verification work and qualifying them to perform such work				

53	Operational management has sufficient competence relevant to the sectoral scopes in which the IE operates				
54	Determiners, verifiers and determination or verification team leaders have sufficient knowledge and understanding of the JI guidelines, relevant decisions of the CMP and the JISC, including all determination or verification requirements, and the Determination and verification manual				
55	Determination or verification teams collectively have the required knowledge and understanding				
56	Determination teams have the competence for assessing application of baseline and monitoring methodologies				
57	Verification teams have the competence for assessing application of baseline and monitoring methodologies				
58	Determination teams, with technical experts if applicable, collectively have the sufficient competence for assessing process technologies, project design, environmental impacts, financial aspects and other technical aspects of the JI project relevant to determination				
59	Determination team leaders have the additional required competence				
60	Technical experts used in determinations or verifications have:				
	<ul style="list-style-type: none"> <li>– Specialized knowledge and sufficient expertise in technical aspects of the JI projects undergoing determination or verification</li> <li>– Sufficient understanding of determinations or verifications</li> </ul>				
61	Internal reviewers have the required knowledge				
62	Internal reviewers have the required competence				

63	IE has established and implements a documented procedure for recruitment of personnel				
64	IE has established and implements a documented procedure for monitoring the performance of personnel				
65-66	The performance monitoring procedure includes all required provisions				
67	IE has established, periodically updates and implements a documented training plan				
68-69	The training plan includes all required provisions				
70	If the IE uses external personnel, it has established and implements a documented procedure for using such external resources				
71	The external personnel utilization procedure includes all required provisions				
72	IE maintains up-to-date personnel records of its top management, operational management and its personnel performing determination or verification work				
	The records include relevant education, training, experience, performance monitoring, affiliations and professional status				
74	If the IE subcontracts determination or verification work, it has established and implements a documented procedure for using such subcontracting				
75	The subcontracting procedure includes all required provisions				
<b>VII</b>	<b>Determination and verification processes</b>				
76	IE has established and implements a documented procedure for proposal and contract reviews				
77-78	The procedure for proposal and contract reviews contains all required provisions				

79	IE has established and implements a documented procedure for the selection of determination and verification team members				
80	The team member selection procedure contains all required provisions				
81	IE has established and implements a documented procedure for carrying out its determination and verification work in accordance with all requirements				
82	The determination and verification procedure contains all required provisions				
83	IE carries out periodic updates of the determination and verification procedure and disseminates these updates to all its determination and verification personnel				
84	IE has established and implements a documented procedure for internal reviews				
85-86	The internal review procedure contains all required provisions				
87	IE has established and implements a documented procedure for approving final determination and verification opinions and reports				
88	The determination/verification approval procedure contains all required provisions				
<b>VIII</b>	<b>Quality management system</b>				
89	IE has established and implements a quality management system (QMS)				
90	Top management demonstrates its commitment to the development and implementation of the QMS				
91	The QMS includes:				
	– Documented quality policy				
	– Quality manual				
	– All required documented policies and procedures				

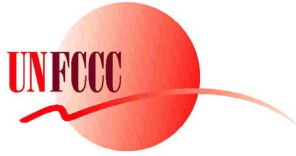


92	Top management ensures that the QMS quality policy is communicated, understood and implemented at all levels of the IE				
93	IE has appointed a JI quality manager who, regardless of other responsibilities, is responsible for:				
	<ul style="list-style-type: none"> <li>– Ensuring that the IE establishes and implements procedures for its QMS</li> <li>– Reporting the performance of the QMS to the top management and proposing improvement</li> </ul>				
94	IE has established and implements a documented procedure for controlling all required documents				
95	IE has established and implements a documented procedure for controlling its determination and verification records				
96	The records control procedure contains all required provisions				
97	IE has established and implement a documented procedure for conducting internal audits of its determination and verification work				
98	The internal audits procedure contains all required provisions				
99	IE has established and implements a documented procedure for eliminating the non-conformities and the causes of the non-conformities				
100	The non-conformities handling procedure contains all required provisions				
101	IE has established and implements a documented procedure for identifying, in a proactive manner, potential sources of non-conformities and opportunities for improvement, and for implementing preventive actions to prevent the occurrence of non-conformities				

102	IE has established and implements a documented procedure for conducting management reviews of its QMS				
103	The management review procedure contains all required provisions				
<b>IX</b>	<b>Confidentiality</b>				
104	IE has established and implements a documented procedure for safeguarding the confidentiality of client information				
105	The confidentiality procedure contains all required provisions				
<b>X</b>	<b>Complaints, disputes and appeals handling processes</b>				
106	IE has established and implements a documented procedure for handling complaints				
107	The complaints handling procedure contains all required provisions				
108	IE has made its complaints handling procedure publicly available				
109	IE has established and implements a documented procedure for handling disputes				
110	IE makes its disputes handling procedure available to the client if a dispute occurs				
111	IE has established and implements a documented procedure for handling appeals				
112-114	The appeals handling procedure contains all required provisions				
115	IE makes its appeals handling procedure available to the client if the client submits an appeal				
<b>XI</b>	<b>Pending judicial processes</b>				
116	IE does not have pending judicial processes for malpractice, fraud or other activity incompatible with its determination or verification work				

117	IE provides a declaration that it does not have pending any judicial process for malpractice, fraud or other activity incompatible with its determination or verification work				
118	IE maintains a record of all past and pending judicial processes for malpractice, fraud or other activity incompatible with its determination or verification work				
119	In case of initiation of any judicial process for malpractice, fraud or other activity incompatible with its determination or verification work, IE immediately informs the JISC of such process				

<b>DESK REVIEW OUTCOMES</b>		
<b>Result and recommendations</b>	<b>Yes/No</b>	<b>Comments</b>
<ul style="list-style-type: none"><li>• The documentation is complete and adequate</li><li>• Any additional information required at the on-site assessment (if not referred to under “Comments” in the previous table)</li></ul>		
<b>Any additional comments/observations:</b>		
<b>JI-AT leader’s signature:</b>		<b>Date:</b>



## ON-SITE ASSESSMENT REPORT SUMMARY FORM

<b>Name of IE and address of site(s) assessed</b>	
<b>UNFCCC ref no. of IE</b>	
<b>Opening meeting (date and time)</b>	
<b>Closing meeting (date and time)</b>	
<b>Members of IE's top management and operational management present:</b>	
<b>Name</b>	<b>Function</b>
<b>General comments on IE's compliance with accreditation:</b>	
<b>List of non-conformity and observation reports prepared as part of this assessment:</b>	
<b>Results and recommendations:</b>	
<b>JI-AT leader's signature:</b>	<b>Date:</b>