

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

CONTENTS

	<i>Page</i>
I. INTRODUCTION.....	2
II. STATUS OF APPLICATIONS FOR ACCREDITATION.....	2
III. RECOMMENDATIONS FROM THE PANEL.....	2
IV. STATUS OF ROSTER OF EXPERTS.....	2
V. OTHER OUTPUTS OF THE PANEL.....	2
VI. ISSUES UNDER CONSIDERATION.....	3
ANNEXES.....	4
Annex 1: Forms.....	4

I. INTRODUCTION

1. This first progress report covers the period from 16 September 2006 to 17 October 2006. During this period the accreditation panel (JI-AP) held one meeting.

II. STATUS OF APPLICATIONS FOR ACCREDITATION

2. The launch of the JI accreditation process being effective as of 15 November 2006 was announced on the UNFCCC JI website¹ on 6 October 2006 and the secretariat opened the process of receiving submissions of applications from independent entities at the same time. The announcement was also distributed through the UNFCCC JI News facility, the listserv for designated operational entities (DOEs) and applicant entities (AEs) under the clean development mechanism (CDM) shortly after. During the period for this reporting (i.e. first 12 days from the announcement) **no application had been received** by the secretariat.

III. RECOMMENDATIONS FROM THE PANEL

3. The JI-AP recommends the various forms for use by the JI-AP, joint implementation assessment teams (JI-ATs), applicant independent entities (IEs) or accredited IEs (AIEs) during the assessment of independent entities to the Joint Implementation Supervisory Committee for its consideration and adoption, as contained as annex 1.

4. The JI-AP draws the attention of the JISC to the issue whether or not to introduce a provision allowing partial payment (50%) of application fee by applicant IEs from non-Annex I Parties at the stage of application, as in the case of the CDM accreditation.

IV. STATUS OF ROSTER OF EXPERTS

5. The JI-AP agreed to make the initial call for experts for a period of six weeks. The secretariat made an announcement of the call on the UNFCCC JI website² and through the UNFCCC JI News facility that the call was open for the period of 9 October - 20 November 2006. The number of application is increasing day by day.

6. The JI-AP agreed on the procedure for the selection of applicants to be included in the rosters of experts, and appointed two JI-AP members as "evaluators". The JI-AP requested the secretariat to establish an on-line evaluation system for the evaluators for systematic and efficient evaluation of applicants. In this context, the JI-AP seeks the delegation of the function of establishment and maintenance of the rosters of experts from the JISC to the JI-AP, in order to allow the rosters to be updated in a timely manner, with a view to ensuring that necessary number/fields of experts ready to take part in new applications/assessment of IEs are always pooled in the rosters.

V. OTHER OUTPUTS OF THE PANEL

7. The JI-AP discussed and agreed on the guidelines for the selection of JI-AT team leader/members for each applicant IE. The guidelines indicate preferable competences of team leaders and composition of teams, which are additional to those set out in the terms of reference for JI-ATs, for the JI-AP to select a team leader and members of a JI-AT for each applicant IE. The JI-AP also agreed on briefing guide to JI-AT team leaders (model introductory letter by team leader to team members) to ensure the establishment of good communication between the team leader and team members of every JI-AT and to enhance an active, transparent and effective participation of all team members in the accreditation procedure.

¹ <<http://ji.unfccc.int/AIEs/ApplicAccr.html>>

² <http://ji.unfccc.int/CallForInputs/CallForExperts_JI-AT/callforexperts_accreditation.html>

8. Additionally, the JI-AP discussed and agreed on internal procedures on:
 - (a) Structure and modalities of preparation of the JI-AP progress report to the JISC;
 - (b) Modalities of task allocation and reporting within the JI-AP.

VI. ISSUES UNDER CONSIDERATION

9. The JI-AP briefly discussed the request of the JISC to seek measures to reduce cost and time needed for the accreditation of DOEs and agreed to discuss the issue further in future meetings. The measure may include the option of skipping the issuance of indicative letters to DOEs.
10. The JI-AP briefly discussed the issue of communication with independent entities and agreed to consider it in future meetings, including the possibility of activities such as a workshop/IE forum.

ANNEXES

Annex 1: Forms

Desk review

- List of additional documents/information to be submitted/prepared by applicant entity (F-JI-Addoc)

On-site assessment/witnessing activity

- On-site assessment/witnessing activity meeting agenda (F-JI-MA)
- Attendance register for opening and closing meetings at on-site assessment/witnessing activity (F-JI-MAR)
- Report form - desk and on-site assessment/On-site assessment report summary form (F-JI-DOR)
- Indicative letter (F-JI-IL)
- Witnessing opportunity identification form (F-JI-WOI)
- Report on witnessing activity - determination regarding PDD (F-JI-WRdppd)
- Report on witnessing activity - determination regarding emission reductions or enhancements of removals (F-JI-WRderu)
- Preliminary assessment report (F-JI-PR)
- Non-conformity, corrective action and clearance report (F-JI-NC)
- Final assessment report (F-JI-FR)

Management of JI-ATs

- Workplan for joint implementation assessment team (F-JI-W)
- Confidentiality and non-disclosure agreement (F-JI-CA)
- Fee agreement for joint implementation assessment team member (F-JI-FAat)
- Joint implementation assessment team evaluation report - team leader (F-JI-EVatl)
- Joint implementation assessment team evaluation report - team member (F-JI-EVatm)



**LIST OF ADDITIONAL DOCUMENTS/INFORMATION
TO BE SUBMITTED/PREPARED BY APPLICANT ENTITY**

Name and address of applicant independent entity			
UNFCCC ref. no. of entity			
Jl-AT leader's name		Date of requesting documents	
<i>The Applicant independent entity is requested to provide documents/information listed below as category A within 10 working days from the date of receipt of this request. Category B documents/information shall be made available at the on-site assessment at the latest.</i>			
No.	Additional documents/information	Category*	Related requirement
<i>Example</i>	<i>Financial resources to ensure financial stability of the entity</i>	<i>B</i>	<i>F-JI-DR 1(c)</i>
* A: Additional documents to be submitted before the on-site assessment. B: Additional documents to be provided at the on-site assessment.			



**ON-SITE ASSESSMENT / WITNESSING ACTIVITY
MEETING AGENDA**

OPENING MEETING

Name of applicant or accredited independent entity: Date: Time:	UNFCCC ref. no. of entity:
--	-----------------------------------

Agenda

1. Opening and introduction
2. Purpose, scope and extent of visit
3. Confirmation of any changes within the entity since the last contact (e.g. organigram of the entity, personnel)
4. The functions and responsibilities of the JI-AT
5. Method and procedure used during the assessment
6. Review of the visit programme, inter alia:
 - a. Areas/activities to be covered
 - b. Access to selected documents, records and reports
 - c. Work schedule (days, hours)
7. Confirmation of resources and facilities needed by the JI-AT, including representatives of the entity to be assessed to work with the JI-AT
8. Confirmation of arrangements for the closing meeting and any interim meetings
9. Confidentiality
10. Questions
11. Closing



**ON-SITE ASSESSMENT / WITNESSING ACTIVITY
MEETING AGENDA**

INTERIM MEETING

Name of applicant or accredited independent entity:

UNFCCC ref. no. of entity:

Date:

Time:

Agenda

1. Opening
2. *(please fill as required)*



**ON-SITE ASSESSMENT / WITNESSING ACTIVITY
MEETING AGENDA**

CLOSING MEETING

Name of applicant or accredited independent entity:	UNFCCC ref. no. of entity:
Date:	
Time:	

Agenda

1. Opening and introduction
2. Waiver
3. Re-affirmation of confidentiality
4. Reporting sequence
5. Presentation of summary by JI-AT leader
6. Presentation of non-conformities identified by the time of the meeting, if any
7. Target date for submission of corrective action(s), if any
8. Questions
9. Close of meeting



ATTENDANCE REGISTER for opening and closing meetings at on-site assessment / witnessing activity

Name of applicant or accredited entity: Date/time of the opening meeting: Date/time of the closing meeting:	UNFCCC ref. no. of entity:
--	-----------------------------------

Name <i>(Please print)</i>	Signature	Position	Meeting attended <i>(Please check)</i>	
			Opening meeting	Closing meeting



REPORT FORM – DESK AND ONSITE ASSESSMENT

Name and address of applicant independent entity		
UNFCCC ref. no. of entity		
JI-AT leader's name		
Names of JI-AT members:		
Initial checks	Yes/No	Comments
<ul style="list-style-type: none"> • Completeness of documentation: <ul style="list-style-type: none"> – Relevant application documents are attached – Any additional information which is being sought from the applicant IE is attached • Has the applicant IE identified potential witnessing activity/ies? • The applicant IE has been informed about the composition of the JI-AT and objections, if any, have been taken into consideration • Documents received from the JI-AP are attached 		

In the following pages for the rows marked with ‘*’ the “comments” column must describe the details of how the applicant IE is complying/not complying with relevant requirements for JI accreditation. If “No” is chosen in the “Complies” column for the on-site assessment, support your decision by providing relevant information in the form “F-JI-NC”.

Para no. of appendix A of JI guidelines	Criteria requirement	Desk review		On-site assessment	
		Complies (Yes/No /tbv)	Comments	Complies (Yes/No)	Comments
1(a)*	<ul style="list-style-type: none"> • Is the applicant IE a legal entity? <ul style="list-style-type: none"> – Is it a domestic legal entity (government body/private entity)? – Is it an international organization with defined locations? – Supportive legal registration documentation submitted (including registration number if any)? 				
1(b)*	<ul style="list-style-type: none"> • Does the applicant IE employ sufficient and competent staff to perform functions as defined by the scope(s) of accreditation applied for and with respect to type, scope and volume of work? • Does the applicant IE have procedures and defined criteria to ensure the competency of the personnel involved in the determination regarding PDDs and the determination regarding emission reductions and/or enhancements of removals? • Do the organizational chart and lines of authority show which senior executive is responsible for the overall management of the applicant IE? • Are the requirements specified in “Competence criteria for an applicant independent entity and accredited independent entity under joint implementation” (appendix A to the “List of sectoral scopes”) met? 				
1(c)	<ul style="list-style-type: none"> • Do the financial resources demonstrated ensure financial stability of the applicant IE? • Does the applicant IE have externally audited financial figures on a regular basis? 				

1(d)	<ul style="list-style-type: none"> • Do the insurance coverage and other means sufficiently cover legal and financial liabilities potentially arising from its activities? • Has the applicant IE assessed its potential liabilities? 				
1(e)	<ul style="list-style-type: none"> • Does the applicant IE have documented procedures for: <ul style="list-style-type: none"> – Implementation of JI functions such as determining PDDs, assessing new methodologies, determining emission reductions and/or enhancements of removals? – Allocation of responsibilities within the applicant IE? – Handling complaints (including disputes and appeals): <ul style="list-style-type: none"> ▪ Are actions taken in each case as well as corrective and preventive measures implemented recorded? ▪ Are corrective actions assessed to determine their effectiveness? • Are all these procedures publicly available? 				
1(f)	<ul style="list-style-type: none"> • Does the applicant IE have, or have access to, the necessary expertise to carry out the functions related to the scope(s) it has applied for and specified in the JI guidelines and relevant decisions by the COP/MOP? 				
1(f) (i) to (v)*	<ul style="list-style-type: none"> • Does the applicant IE have responsible personnel having sufficient knowledge and understanding of: <ul style="list-style-type: none"> – The JI guidelines and other requirements for the operation of JI based on relevant decisions of the COP/MOP and of the Joint Implementation Supervisory Committee (JISC)? 				

	<ul style="list-style-type: none"> – Environmental issues relevant to the determination regarding PDDs and the determination regarding emission reductions and/or enhancements of removals by JI projects as appropriate? – The technical aspects of JI projects relevant to environmental issues, including expertise in the setting of baselines and monitoring of emission reductions and/or enhancements of removals? – Relevant environmental auditing requirements and methodologies and their recent developments in the scope of this application? – Methodologies for the estimation of anthropogenic emissions by sources and/or anthropogenic removals by sinks? – Have language capacity to communicate with local stakeholders in their local languages and in the working language of the JI-AP, JISC and the UNFCCC secretariat (English)? 				
1(g)*	<ul style="list-style-type: none"> • Does the applicant IE have a management structure that has overall responsibility for performance and implementation of the IE’s functions, including quality assurance procedures, and all relevant decisions relating to the determination regarding PDDs and the determination regarding emission reductions and/or enhancements of removals? • Does the applicant IE have documented quality assurance policy statement and quality assurance manual on JI determination activities, which include: <ul style="list-style-type: none"> – Objectives for quality? – Commitment to documented quality assurance policy and manual? • How is the commitment demonstrated? 				

	<ul style="list-style-type: none"> • How does the management structure ensure that the quality assurance system is understood, implemented and maintained at all levels of the applicant IE? • What are the defined intervals to conduct internal audits and management reviews to verify that the quality assurance system is operational and effective? Are the records of these reviews maintained? • Is there a person designated as quality assurance manager with a direct access to senior management personnel, such as the senior executive, board members, senior officers? 				
<p>1(g) (i) to (vi)</p>	<ul style="list-style-type: none"> • Has the applicant IE made available: <ul style="list-style-type: none"> – The names, qualifications, experience and terms of reference of the senior executive, board members, senior officers and other relevant personnel? – An organizational chart showing lines of authority, responsibility and allocation of functions stemming from the senior executive? – Documented procedures for document and data control? – Policy and procedure for the recruitment and training of personnel, for ensuring their competence for all necessary functions and for monitoring their performance? – Record of qualifications, training and experiences? Are these records updated? 				
<p>1(h)</p>	<ul style="list-style-type: none"> • Is there any pending judicial process against the applicant IE for malpractice, fraud and/or other activity? • If there is any pending judicial process against the applicant IE, is it incompatible with the functions as an accredited independent entity? 				

	<ul style="list-style-type: none"> • Does the applicant IE maintain the record of any judicial actions? 				
2(a)	<ul style="list-style-type: none"> • Does the applicant IE have an established policy to ensure its operations to be: <ul style="list-style-type: none"> – Credible; – Independent; – Non-discriminatory and transparent; and – Complying with the applicable national law? • Has the applicant IE identified, analyzed and declared any potential sources of threat against impartiality? • Is the policy made publicly available? 				
2(a)(i)*	<ul style="list-style-type: none"> • Has the applicant IE established a documented structure to safeguard its impartiality? • Does the documented structure ensure independence and impartiality of its operation as an accredited IE by means of: <ul style="list-style-type: none"> – General aspects; – Organizational aspects (including terms and membership criteria being defined for relevant committees); – Resource aspects; – Process aspects; and – Management system aspects? 				

	<ul style="list-style-type: none"> • Does the documented structure include the procedures of: <ul style="list-style-type: none"> – Identification of actual or potential conflict of interests situations? If no documented procedure exists, whether or how is it actually done? – Removing/minimizing actual or potential conflict of interests in a timely and responsible manner? If no documented procedure exists, whether or how is it actually done? – Maintaining records to demonstrate that its assessment personnel (including those contracted externally), staff and senior management are not involved in any commercial, financial or other processes which might influence their judgment 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? • Is the documented structure appropriate to implement the published policy? • If the applicant IE is part of a larger organization, has the applicant IE demonstrated its functional or structural link (e.g. common ownership, contractual arrangement, informal contract) with other parts of the larger organization? 				
2(a)(ii)*	<ul style="list-style-type: none"> • Is the applicant IE part of a larger organization involved in several activities and services? • If the applicant IE itself is, or if it is a part of a larger organization and parts of that organization are, or may become, involved in the identification, development or financing of any JI project: <ul style="list-style-type: none"> – Has the applicant IE identified and declared all the applicant IE's and/or the larger organization's actual and potential involvement in the identification, development or financing of JI projects including: 				

	<ul style="list-style-type: none"> ▪ Which parts of the applicant IE and/or larger organization are, or may become, involved in the identification, development and/or financing of any JI project? ▪ In which role(s) (identification, development and/or financing) and to what extent the applicant IE and/or larger organization is, or may become, involved in any JI project? <p>– Has the applicant IE clearly defined the links between its function as AIE with other part(s) of the applicant IE and/or larger organization that are, or may become, involved in identification, development and/or financing of JI projects?</p> <p>– Has the applicant IE demonstrated that no actual or potential conflict of interest exists between its function as AIE and any other functions that it or the larger organization may have?</p> <p>– Has the applicant IE demonstrated how business is managed to minimize any identified risk to impartiality, covering all potential sources of conflict of interest arising from within the applicant IE or from the larger organization?</p> <p>– Has the applicant IE demonstrated 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?</p>				
--	--	--	--	--	--

<p>2(b)*</p>	<ul style="list-style-type: none"> • To safeguard the confidentiality of the information obtained from JI project participants in accordance with provisions contained in the JI guidelines: <ul style="list-style-type: none"> – Does the applicant IE have documented policies and procedures and arrangements with regard to who has access to the information, in accordance with applicable provisions, obtained from JI project participants? – Does the applicant IE have arrangements to obtain written consent of the project participants for any information which may be made public prior to any such information being disclosed? – Has the applicant IE in its subcontracting policies and procedures, included necessary provisions ensuring the confidentiality of information in accordance with the applicable provisions? – Does the applicant IE impose confidentiality to its assessors (full, part time and/or subcontracted personnel) in an adequate manner (e.g. self declaration by the assessors)? 				
--------------	--	--	--	--	--

Result and recommendations	Yes/ No	Comments
<p>The JI-AT recommendations:</p> <ul style="list-style-type: none"> • The documentation is complete and adequate. • Number of witnessing activities required. (Please substantiate any proposals for changes to the revised draft work plan provided by the JI-AP and reflect it in the JI-AT’s draft work plan for the on-site review and witnessing activities, as appropriate, for approval by the JI-AP.) • Any additional information required at the on-site assessment (if not referred to under comments). • The JI-AT recommends to proceed with the on-site assessment. 		
<p>Any additional comments/observations:</p>		
<p>JI-AT leader’s signature:</p>	<p>Date:</p>	



ON-SITE ASSESSMENT REPORT SUMMARY FORM

Name of applicant independent entity and address of site(s) assessed					
UNFCCC ref no. of entity					
Witnessing activities identified	(Yes / no) <i>If yes, is the on-site assessment combined with one witnessing activity? (Yes / no)</i> <i>If yes, please attach corresponding report on witnessing activity.</i>				
JI-AT leader's name					
Names of the JI-AT members: 					
<i>Opening Meeting</i>					
Date and Time:					
Members of applicant IE's management present:					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%; text-align: center;">Name</th> <th style="width: 50%; text-align: center;">Functional title</th> </tr> </thead> <tbody> <tr> <td style="height: 100px;"></td> <td></td> </tr> </tbody> </table>	Name	Functional title			
Name	Functional title				
Comments on requirements related to the scope of accreditation: 					
General comments: 					
<i>Closing meeting</i>					
Date and time:					
Results and recommendations: 					
JI-AT leader's signature:	Date:				



INDICATIVE LETTER

Name and address of applicant independent entity	
UNFCCC ref. no. of entity	
<p>The Joint Implementation Accreditation Panel (JI-AP), at its _____ meeting held on _____ (Number) _____ (Date) agreed that the desk review and the on-site assessment for _____ (Applicant IE name) have been successfully completed.</p> <p>The JI-AP has, therefore, decided to issue this letter in accordance with the procedure for accrediting independent entities by the Joint Implementation Supervisory Committee.</p> <p>The JI-AP agreed that its recommendation to the Joint Implementation Supervisory Committee to accredit this applicant independent entity, for the sectoral scope(s) identified below, depends on the successful completion of the remaining witnessing activities.</p>	
Sectoral scope(s)	
Name of the Chair of the JI-AP	
Signature of the Chair of the JI-AP and date	




WITNESSING OPPORTUNITIES IDENTIFICATION FORM

Name of applicant or accredited entity:	UNFCCC ref. no. of entity:
---	----------------------------


WITNESSING OPPORTUNITIES
(Copy/delete blocks and lines as needed)

Witnessing activity no. (as per F-JI-W)		1	Sectoral scope(s) as per F-JI-W				
No.	Witnessing Opportunity	Sectoral scope group	Determination regarding PDDs (<i>pdd</i>) / Determination regarding emission reductions and/or enhancements of removals (<i>eru</i>)	Type of activity (large/small scale)	Location	Web address of information regarding the project activity/opportunity if information is not attached in electronic format to this form (<i>indicate login name and password if required</i>)	
1	<i>Opportunity 1</i>	1	<i>pdd</i>	<i>Large</i>	<i>Abc</i>	<i>http://www.</i>	Doc attached: yes/no
2	<i>Opportunity 1</i>	3	<i>eru</i>	<i>Small</i>	<i>Def</i>	<i>http://www.</i>	Doc attached: yes/no
						<i>http://www.</i>	Doc attached: yes/no
Witnessing activity no. (as per F-JI-W)		2	Sectoral scope(s) as per F-JI-W				
No.	Witnessing Opportunity	Sectoral scope group	Determination regarding PDDs (<i>pdd</i>) / Determination regarding emission reductions and/or enhancements of removals (<i>eru</i>)	Type of activity (Large/small scale)	Location	Web address of information regarding the project activity/opportunity if information is not attached in electronic format to this form (<i>indicate login name and password if required</i>)	
						<i>http://www.</i>	Doc attached: yes/no
						<i>http://www.</i>	Doc attached: yes/no
						<i>http://www.</i>	Doc attached: yes/no

Witnessing activity no. (as per F-JI-W)		3	Sectoral scope(s) as per F-JI-W			
No.	Witnessing Opportunity	Sectoral scope group	Determination regarding PDDs (pdd) / Determination regarding emission reductions and/or enhancements of removals (eru)	Type of activity (large/small scale)	Location	Web address of information regarding the project activity/opportunity if information is not attached in electronic format to this form (indicate login name and password if required)
						http://www. Doc attached: yes/no
						http://www. Doc attached: yes/no
						http://www. Doc attached: yes/no
Name of the authorized official of the applicant independent entity						
Date and signature of the authorized official						

 REPORT ON WITNESSING ACTIVITY DETERMINATION REGARDING PDD (Complete one form for each witnessing activity)		
Name of entity Address of site(s) assessed		
UNFCCC ref no. of entity		
Group of scope(s) covered (refer to WP grouping) and particular scope(s) of accreditation of the activity witnessed		
Methodology used	<input type="checkbox"/> Approved CDM methodology, Reference: <input type="checkbox"/> Other methodology (provide name):	
Activity (project) witnessed (describe in brief the nature of the activity witnessed e.g. single assessor, team, dates, duration, small/large-scale projects)		
JI-AT leader		
JI-AT members involved in the witnessing activity		
Evaluation		
<i>(Key : S = Satisfactory, NS = Not satisfactory , NA = Not Applicable)</i>		
Criteria (fill as applicable to the activity witnessed)	Rating	Comments
1. Assessment of effective planning by the entity witnessed 1.1. Does the applicant/accredited IE effectively apply its procedures to keep up-to-date with the decisions of the JISC related to criteria on baseline-setting and monitoring? 1.2. Is the allocation of the resources(s) appropriate to the scope of assessment by the applicant/accredited IE? 1.3. Has all the pertinent documentation been identified prior the assessment? 1.4. Does the applicant/accredited IE use checklists for performing validation activities (general or specific)? Are the Checklists or other means used comprehensive?		
2. Project assessment details for the determination regarding PDD 2.1. Has the applicant/accredited IE reviewed that: <ul style="list-style-type: none"> a) The project has been approved by the Parties involved? b) The project would result in emission reductions or enhancements of anthropogenic removals by sinks that are additional to any that would otherwise occur (Is there any checklist for the requirements)? 		

<p>c) The project has an appropriate baseline and monitoring plan in accordance with the criteria set out in appendix B to the JI guidelines?</p> <p>d) Project participants have submitted to the applicant/accredited IE documentation on analysis of the environmental impacts of the project activity, including transboundary impacts and have undertaken an environmental impact assessment in accordance with the procedures for the impacts that are considered significant?</p> <p>2.2. Has the applicant/accredited IE checked whether a valid PDD has been filled by project participants in accordance with applicable guidance by the JISC?</p> <p>2.3. Does the applicant/accredited IE follow the procedure for making its determination public in accordance with paragraph 34 of the JI guidelines and relevant procedures?</p>		
<p>3. General comments</p> <p>3.1. Was work systematically approached and implemented?</p> <p>3.2. Did the entity’s team provide the impression that is able to maintain a consistent quality standard in its work over time?</p> <p>3.3. In case the entity established a team, did the leader of the entity’s team control the determination activity?</p> <p>3.4. Was the entity’s assessor or its team leader sidetracked?</p> <p>3.5. How did the team perform under pressure?</p> <p>3.6. Did the entity team show the capacity to adapt to circumstances as necessary?</p>		
<p>General comments and recommendations:</p>		
<p>Name of JI-AT team member witnessing:</p>	<p>Date:</p>	
<p>Leader of the JI-AT (Signature):</p>	<p>Date:</p>	

 REPORT ON WITNESSING ACTIVITY DETERMINATION REGARDING EMISSION REDUCTIONS OR ENHANCEMENTS OF REMOVALS (Complete one form for each witnessing activity)		
Name of entity Address of site(s) assessed		
UNFCCC ref no. of entity		
Group of scope(s) covered (refer to WP grouping) and particular scope(s) of accreditation of the activity witnessed		
Methodology used	<input type="checkbox"/> Approved CDM methodology, Reference: <input type="checkbox"/> Other methodology (provide name):	
Activity (project) witnessed (describe in brief the nature of the activity witnessed e.g. single assessor, team, dates, duration, small/large-scale projects)		
JI-AT leader		
JI-AT members involved in the witnessing activity		
Evaluation		
<i>(Key : S = Satisfactory, NS = Not satisfactory , NA = Not Applicable)</i>		
Criteria (fill as applicable to the activity witnessed)	Rating	Comments
1. Assessment of effective planning by the entity witnessed <ul style="list-style-type: none"> - Does the applicant/accredited IE effectively apply its procedures to keep up-to-date with the decisions of the JISC regarding criteria on baseline setting and monitoring? - Is the allocation of the assessor(s) appropriate to the scope of assessment by the applicant/accredited IE? - Has all pertinent documentation been identified prior to the assessment? - Does the applicant/accredited IE use checklists for performing its activities (general or specific)? Are the checklists comprehensive? - Record the name of the applicant/accredited entity that has carried out the PDD determination and its date for the project in question - Does the applicant/accredited IE have a good record of determination activities regarding emission reductions or enhancements of removals? (Does the applicant/accredited IE use any generic/specific check lists to ensure that the determination regarding emission reductions or enhancements of removals is complete in all respects)? 		

<ul style="list-style-type: none"> - Has the applicant/accredited IE recorded any observation in an earlier verification report? If yes, how was the observation resolved? 		
<p>1a) Conduct of an opening meeting with project participants (on project site)</p> <ul style="list-style-type: none"> - Has the meeting been conducted effectively? 		
<p>1b) Skills and technique</p> <p>The (lead) assessor(s) of the entity:</p> <ul style="list-style-type: none"> - Remained within the scope of work defined? - Remained objective, unbiased? - Concluded based on objective evidence? - Showed knowledge of the project participants and the project? - Showed ability to identify instances of non-conformity of a project and/or submitted monitoring report? - Based all findings on adequate factual evidence and referenced where necessary? - Showed ability to make well substantiated decisions and justify them to the project participants and in the report in English? 		
<p>1c) Meeting(s) of entity assessment team witnessed</p> <ul style="list-style-type: none"> - Ability to consolidate findings? - Ability to ensure that scope of assessment was covered (verification and certification)? - Ability to discuss and conclude on contents and strategy of closing meeting with project participants? 		
<p>1d) Conducting closing meetings with project participants</p> <ul style="list-style-type: none"> - Has the meeting been conducted effectively? 		
<p>1e) Reporting by entity to project participants</p> <ul style="list-style-type: none"> - Clear and concise, orally and in writing (indicate if language other than English is used) 		
<p>1f) Entity's personnel skills</p> <ul style="list-style-type: none"> - Ability to understand complex projects? - Coverage and interpretation of the requirements? 		


<p>2. Determination regarding emission reductions or enhancements of removals</p> <p>Has the applicant/accredited IE:</p> <ul style="list-style-type: none"> - Made monitoring report publicly available through the secretariat together with the identification of the project which is listed with a positive determination regarding PDD and starting/ending dates of the monitoring period? - Made its verification report publicly available through the secretariat, including an explanation of its reasons, together with the identification of the project which is listed with a positive determination pursuant to paragraph 35 of the JI guidelines? - Determined the emission reductions or enhancements of removals reported by project participants in accordance with appendix B of the JI guidelines, provided that they were monitored and calculated in accordance with the project's PDD with a positive determination pursuant to paragraph 35 of the JI guidelines? 		
<p>3. General comments</p> <p>3.1. Was work systematically approached and implemented?</p> <p>3.2. Did the entity's team provide the impression that is able to maintain a consistent quality standard in its work over time?</p> <p>3.3. In case the entity established a team, did the leader of the entity's team control the determination activity regarding emission reductions or enhancements of removals?</p> <p>3.4. Was the entity's assessor or its team leader sidetracked?</p> <p>3.5. Was the body language of the entity's team members conducive to the determination activity regarding emission reductions or enhancements of removals?</p> <p>3.6. How did the team perform under pressure?</p> <p>3.7. Did the entity team show the capacity to adapt to circumstances as necessary?</p>		
<p>General comments and recommendations:</p>		
<p>JI-AT team member witnessing:</p>	<p>Date:</p>	
<p>Signature of JI-AT leader:</p>	<p>Date:</p>	



PRELIMINARY ASSESSMENT REPORT

Name of entity and address of site(s) assessed	
UNFCCC ref no. of entity	
Name(s) of the scope(s) assessed	
JI-AT leader	
<p style="text-align: center;">SUMMARY</p> <p><i>The summary should address the following aspects:</i></p> <ul style="list-style-type: none"> • <i>An assessment of the competence and experience of the entity within the scope of accreditation assessed. The names of key staff encountered and their qualifications, experience and authority shall be attached or alternatively a cross references to where information is identified may be provided;</i> • <i>The adequacy of the internal organization and procedures adopted by the applicant independent entity ensuring confidence in the quality of its services;</i> • <i>A description of the determination activities witnessed, as applicable;</i> • <i>A description of the conformity of the applicant independent entity with the accreditation requirements, in particular with regard to issues identified by the JI-AP and, where applicable, any useful comparisons with the results of previous assessments of the applicant independent entity;</i> • <i>An identification and description of non-conformities. One non-conformity form (F-JI-NC) is to be attached for each non-conformity.</i> • <i>The overall conclusion of the JI-AT</i> <p><i>Instead of repeating detailed information, cross-references to forms used in this assessment shall be provided, as applicable.</i></p>	
<p>Administration of assessment:</p> <ul style="list-style-type: none"> • <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> • <i>List the names of the JI-AT responsible for this report</i> • <i>List the names and address(es) of all the relevant entity sites assessed</i> 	

Documents supplied by the applicant and reviewed by the JI-AT		
Document	Copy available	Reviewed
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		
List of documents prepared in relation to this assessment (e.g. work plan, on-site assessment report, non-conformity forms):		
Signature by JI-AT team leader:	Date:	

		NON-CONFORMITY, CORRECTIVE ACTION AND CLEARANCE REPORT	
Name of reporting team member:		NC report no:	
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:			
PART 1: DETAILED DESCRIPTION OF NON-CONFORMITY:			
Relevant requirement:			
Signature of area/field representative:		Date:	Signed (JI-AT leader):
			Date:
PART 2: CORRECTIVE ACTION PROPOSED BY THE ENTITY:			
Proposed date for completion of proposed action:			
Name and signature of management representative:		Date:	
PART 3: CORRECTIVE ACTION COMPLETED: <i>(report by management representative, use separate sheet if necessary)</i>			
Name and signature of management representative:		Date:	
PART 4: CORRECTIVE ACTION VERIFIED AND CLEARED:			
Signature of JI-AT team leader/member:		Date:	



FINAL ASSESSMENT REPORT

Name of applicant independent entity and address of site(s) assessed			
UNFCCC ref. no. of entity			
Scope(s) assessed			
The preliminary report is attached (please checkmark)		Comments by the entity on the preliminary report are attached (please checkmark)	
Description on how comments by entity have been addressed, refer to non-conformity forms as applicable:			
JI-AT leader's name			
Conclusions regarding accreditation for consideration by the JI-AP:			
JI-AT leader's signature:			Date:



WORKPLAN FOR JOINT IMPLEMENTATION ASSESSMENT TEAM

Name of applicant or accredited entity:	UNFCCC ref. no. of entity:
Sectoral scope(s) applied for (<i>please indicate, if applicable, those for which re-accreditation is applied for</i>):	
Sectoral scope(s) already accredited for, if applicable:	
<i>Note: Appendix A of the JI guidelines contains the standards and procedures for the accreditation of independent entities. The list of sectoral scopes defines additional requirements and standards, as applicable. Each JI-AT member received a copy of the terms of reference of JI-ATs and a copy of the "Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee". All documents referred to are available on the UNFCCC JI website.</i>	
List of particular issues for the assessment identified by the JI-AP:	
DESK REVIEW	
<i>(The JI-AT leader shall make the final desk review report available to the applicant IE within 30 days from the receipt of documentation and information from the JI-AP.)</i>	
Tentative date(s):	
Actual date(s):	
Report (F-JI-DOR) deadline (tentative):	
Report (F-JI-DOR) completed on:	
Tentative date to inform the applicant independent entity of work plan:	
Actual date of informing the applicant independent entity of work plan:	
ON-SITE ASSESSMENT	
<i>(On average: two team days)</i>	
Tentative date(s):	
Actual date(s):	
Could be combined with witnessing activity no.:	
Report (F-JI-DOR) deadline (tentative):	
Report (F-JI-DOR) completed on:	
WITNESSING ACTIVITY	
<i>(Please copy and paste this row as many times as witnessing activities are required)</i>	
Witnessing No. X:	
Activity/task to be witnessed:	
Tentative date(s):	
Actual date(s):	
Report (F-JI-WR) deadline (tentative):	
Report (F-JI-WR) completed on:	
<i>This section of the plan shall be re-evaluated after the on-site assessment.</i>	

PREPARATION OF PRELIMINARY REPORT (F-JI-PR)
<p><i>(The JI-AT shall within 21 days after the completion of each witnessing activity prepare a draft preliminary assessment report.)</i></p> <p>Preparation of the draft preliminary assessment report (F-JI-PR):</p> <p style="padding-left: 40px;">Tentative date(s):</p> <p style="padding-left: 40px;">Actual date(s):</p> <p style="padding-left: 40px;">Deadline (tentative):</p> <p style="padding-left: 40px;">Draft preliminary assessment report completed on:</p>
IDENTIFICATION OF CORRECTIVE ACTIONS BY APPLICANT INDEPENDENT ENTITY (max 30 days)
CORRECTIVE ACTIONS BY APPLICANT INDEPENDENT ENTITY (max 6 months)
VERIFICATION OF CORRECTIVE ACTION BY JI-AT (completion of F-JI-NC forms)
FINALIZATION OF PRELIMINARY ASSESSMENT REPORT (F-JI-PR)
<p><i>(The JI-AT shall have 30 days from the receipt of information on corrective actions to finalize the preliminary assessment report.)</i></p> <p>Completion of updated preliminary assessment report (F-JI-PR):</p> <p style="padding-left: 40px;">Tentative date(s):</p> <p style="padding-left: 40px;">Actual date(s):</p> <p style="padding-left: 40px;">Deadline (tentative):</p> <p style="padding-left: 40px;">Updated preliminary assessment report completed on:</p>
PREPARATION OF FINAL ASSESSMENT REPORT (F-JI-FR)
<p><i>(The applicant IE shall have the opportunity to comment within 6 working days on the updated preliminary assessment report.)</i></p> <p><i>(The JI-AT shall prepare its final assessment report within 10 days after the deadline for commenting by the applicant IE.)</i></p> <p>Completion of the final assessment report (F-JI-FR):</p> <p style="padding-left: 40px;">Tentative date(s):</p> <p style="padding-left: 40px;">Actual date(s):</p> <p style="padding-left: 40px;">Final assessment report completed on:</p>
COMMENTS



CONFIDENTIALITY AND NON-DISCLOSURE AGREEMENT

This agreement must be completed and signed by JI-AT members prior to taking part in an assignment pertaining to the accreditation of independent entities under joint implementation.

Name of applicant or accredited entity:	UNFCCC ref. no. of entity:
---	----------------------------

I, _____
 (Print full name)

hereby agree that all information in relation to the entity, whether it was gained by myself prior to, during or after the assignment, will be treated by myself as confidential information and will not be reproduced or disclosed by me to any person or organization other than the Joint Implementation Supervisory Committee, the Joint Implementation Accreditation Panel and the UNFCCC secretariat.

I further agree that I will restrict the above-mentioned information exclusively for purpose directed by the Joint Implementation Supervisory Committee or the Joint Implementation Accreditation Panel in the context of accreditation of independent entities. Permission to disclose any information about an entity may only be deemed to have been granted once I have obtained unambiguous written permission from the Chair of the Joint Implementation Supervisory Committee to do so.

I also declare that, to the best of my knowledge, there is no possibility of any conflict of interest in accepting this assignment between myself, the Joint Implementation Supervisory Committee and its accreditation process, the Joint Implementation Accreditation Panel and/or the entity assessed.

I hereby declare all interests and associations I have/have had with the above mentioned entity and its personnel:

I further agree that I will abide by all the rules and regulations of the annex to decision 9/CMP.1 (JI guidelines) and any relevant decisions taken by the Joint Implementation Supervisory Committee and the Joint Implementation Accreditation Panel during this assignment.

Signed: _____ Date: _____



**FEE AGREEMENT
FOR JOINT IMPLEMENTATION ASSESSMENT TEAM MEMBER**

This agreement must be completed and signed by JI-AT members.

UNFCCC ref. no. of entity:

Name and address of the JI-AT member:

I, _____
(Print full name)

hereby accept to work as a member of the JI-AT-000XXX for a fee of USD 400 per day, paid in accordance with the procedure for accrediting independent entities by the Joint Implementation Supervisory Committee (JISC) and the relevant document on fees adopted by the JISC,

I **request** that all payments of fees be transferred to the following bank account:

- Name of account holder:
- Bank name:
- Address of the bank:
- Account no.:
- Swift code:
- IBAN no.:
- Any other information that will facilitate an international bank transfer to this account:

Signed: _____

Date: _____



JOINT IMPLEMENTATION ASSESSMENT TEAM LEADER EVALUATION REPORT

PART A: GENERAL INFORMATION

1. Name of JI-AT leader evaluated: _____
2. Type of assessment: On-site assessment Witnessing
3. Assessment date(s): _____ to _____
4. Applicant independent entity assessed: _____
5. Address of applicant independent entity: _____
6. UNFCCC reference number of entity: _____
7. Evaluator (JI-AP member)'s name: _____

PART B: EVALUATION REPORT

[Key: *E* = Excellent *S* = Satisfactory *NS* = Not satisfactory *NA* = Not observed]

Criteria	Rating	Observation/Comment <i>(including improvement opportunities)</i>
1. Effective planning and preparation		
2. Effective communication with AIE and JI-AT members		
3. Leadership		
4. Report preparation skills		
5. Conduct of opening/closing meetings		
6. Understanding of JI project cycle		
7. Understanding of processes involved		
8. Depth of assessment, cross-checks and verification		
9. Consolidation and conclusion based on objective evidence(s)		
10. Alertness/ethics/attitude		
11. Time management		

Overall Comments:
(State if the team leader is capable of continuing his/her role, and requires an observer.)

Evaluator's
Name: _____
Signature: _____

Date:



JOINT IMPLEMENTATION ASSESSMENT TEAM MEMBER EVALUATION REPORT

PART A: GENERAL INFORMATION

1. Name of JI-AT member evaluated: _____
2. Type of assessment: On-site assessment Witnessing
3. Assessment date(s): _____ to _____
4. Applicant independent entity assessed: _____
5. Address of applicant independent entity: _____
6. UNFCCC reference number of entity: _____
7. Evaluator (team leader)'s name: _____

PART B: EVALUATION REPORT

[Key: *E* = Excellent *S* = Satisfactory *NS* = Not satisfactory *NA* = Not observed]

Criteria	Rating	Observation/Comment <i>(including improvement opportunities)</i>
1. Effective participation in planning and preparation		
2. Timely and meaningful feedback to the team leader		
3. Team work		
4. Written communication skills		
5. Understanding of JI project cycle		
6. Understanding of processes involved		
7. Depth of assessment, cross-checks and verification		
8. Conclusion based on objective evidence(s)		
9. Alertness/ethics/attitude		
10. Time management		

Overall Comments:
(State if the member's performance is acceptable or not, and if the member can be considered to become a team leader.)

Evaluator's

Name: _____

Signature: _____

Date: