

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

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## I. INTRODUCTION

1. This third progress report covers the period from 27 January 2007 to 16 April 2007. During this period the Joint Implementation Accreditation Panel (JI-AP) held one meeting.

## 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, **13 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 12 entities have already been designated for at least one function (validation or verification/certification) in at least one sectoral scope under the CDM.

3. Of the 13 applications referred to in paragraph 2 above, the JI-AP had already selected members of joint implementation assessment teams (JI-ATs) and agreed on the workplans for the JI-ATs for 12 applications by the end of the previous reporting period. Following this, **the assessment work has been started for eight applications by corresponding JI-ATs**, all of which are currently in the stage of desk review. For the remaining four applications the assessment work have not started yet due to various reasons, i.e. i) replacement of JI-AT members (two applications); ii) pending clarification on legal status (one application); and iii) notified shift of premises for accreditation and replacement of JI-AT member (one application). Regarding the applications where the replacement of JI-AT members were found necessary, the JI-AP eventually selected the replacement members.

4. The JI-AP had the initial considerations of the remaining one application after receiving further documents/information requested by the secretariat after its completeness/adequacy check, as well as the application for additional sectoral scopes, and agreed on the initial workplan identifying particular issues for attention by JI-AT and selected members of JI-AT for this application. The details of the applications and the status of processing the applications are presented in [annex 1](#).

## III. RECOMMENDATIONS FROM THE PANEL

5. Responding to the request from the Joint Implementation Supervisory Committee (JISC) at its sixth meeting, the JI-AP considered options for accreditation of the function of determination of emission reductions or enhancements of removals (hereinafter referred to as verification function), taking into consideration, inter alia, the detailed actions required to implement the options, the effects on the timely accreditation of IEs for the verification function and the integrity of the JI accreditation process. The JI-AP consequently agreed to recommend to the JISC the combination of the following two options:

- (a) Follow the current accreditation procedure, providing a clarification that the witnessing of the verification function may be based on a project monitoring emission reductions or enhancements of removals before the beginning of the first commitment period (1 January 2008), as contained in [annex 2](#);
- (b) Follow the current accreditation procedure, communicating to applicant IEs, inter alia, through the JISC meeting report, that the witnessing of the verification function may be based on a project reporting monitored emission reductions or enhancements of removals for a period of any reasonable length of time.

6. The JI-AP identified an issue to be clarified with regard to the JI accreditation procedure. The issue relates to the conditions for designated operational entities (DOEs) to act provisionally as accredited IEs under JI. The JI-AP considered it is most appropriate to revise the existing clarification by the JISC on the same subject (C-JI-ACCR-01), prepared a draft revision of the clarification as contained in [annex 2](#), and agreed to recommend it to the JISC for its adoption.

#### IV. STATUS OF ROSTER OF EXPERTS

7. Since the last reporting period, the JI-AP agreed to include an additional five experts from the applications for the first call for experts (9 October - 20 November 2006), and an additional one expert from the applications for the second call for experts (13 December 2006 - 17 January 2007) in the roster. This led to a total of 34 experts (out of 43 applications) being included in the roster from the first and second calls. For future reserve, the JI-AP launched a third call for experts as an open-ended call starting on 28 February 2007. Seven applications have been received by the secretariat for the third call by the end of the present reporting period, and the JI-AP agreed to include three from the applications so far. As a result, **there are currently 37 experts in the roster.**

8. The JI-AP organized the first training session for experts on the rosters on 12 February 2007, Bonn, Germany. In the training session, JI-AP members and the secretariat staff provided a general introduction to the JI accreditation process, management systems auditing and some practical information on the assessment work of JI-ATs. Participants of the training session were also invited to the UNFCCC technical workshop on JI held in conjunction with the training session. The JI-AP was satisfied with positive feedbacks from the participants and agreed, provided resource availability, to organize a second training session in September 2007.

#### V. OTHER OUTPUTS OF THE PANEL

9. The JI-AP developed a handbook on JI accreditation for use not only by experts participating in JI-ATs, but also by any stakeholders interested in the JI accreditation process. The handbook is made publicly available on the UNFCCC JI website.

10. The JI-AP discussed possible modalities of communication with IEs, and agreed to seek the utilization, as appropriate, of the channel between the JISC and the DOE/AE Forum, which has decided to cover JI accreditation issues.

#### VI. ISSUES UNDER CONSIDERATION

11. Responding to the request by the JISC at its sixth meeting, the JI-AP considered measures to reduce cost and time for accreditation of applicant IEs that are DOEs, and decided to continue to discuss the subject in its future meetings. In this context, the JI-AP indicated that the establishment of an official channel for communication between the JI and CDM accreditation processes may help consideration of such measures.

12. The JI-AP decided to develop a guidance document for JI-ATs on the preparation of witnessing activity reports. As a further effort to ensure the consistency and quality of the assessment work of JI-ATs, the JI-AP decided to firstly identify all steps/elements in the assessment work of JI-ATs that require guidance from the JI-AP, then develop relevant guidance one by one according to the priority, to supplement the guidance documents for JI-ATs already developed by the JI-AP.

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 decided to revise witnessing report forms or prepare a supplementary checklist to the forms. Furthermore, the JI-AP decided to develop selection criteria for methodological experts to be included in JI-ATs.

14. The JI-AP agreed to establish a “mentoring” system for experts in the roster to allow them to gain experience in the assessment work of JI-ATs as quickly as possible.

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## ANNEXES

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

### **Annex 2: Draft clarifications**

- Clarification regarding monitoring period of joint implementation project for witnessing of verification function of accredited independent entities
- Clarification regarding conditions for designated operational entities for acting provisionally as accredited independent entities (version 02)

## 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	✓	✓	✓	✓	On-going				
JI-E-0002	Japan Quality Assurance Organization (JQA)	1-15	✓	✓	✓	✓	On-going		1 witnessing opportunity proposed		
JI-E-0003	Tohatsu Evaluation and Certification Organization Co., Ltd	1-10, 12-13, 15	✓	✓	✓	Members selected					
JI-E-0004	Lloyd's Register Quality Assurance Ltd. (LRQA)	1-13	✓	✓	✓	✓	On-going				
JI-E-0005	JACO CDM., Ltd.	1-15	✓	✓	✓	✓	On-going		1 witnessing opportunity accepted		
JI-E-0006	Japan Consulting Institute (JCI)	1-5, 8-11, 13	✓	✓	✓	✓	On-going				
JI-E-0007	Bureau Veritas Certification Holding S.A.	1-15	✓	✓	✓	Members selected					
JI-E-0008	TÜV SÜD Industrie Service GmbH (TÜV-SÜD)	1-15	✓	✓	✓	✓	On-going				
JI-E-0009	Spanish Association for Standardisation and Certification (AENOR)	1-15	✓	✓	✓	✓	On-going				
JI-E-0010	SGS United Kingdom Limited	1-15	✓	✓	✓	Members selected					
JI-E-0011	TÜV NORD CERT GmbH	1-15	✓	✓	✓	✓	On-going				

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 Industrie Service GmbH, TÜV Rheinland Group (TÜV Rheinland)	1-15	✓	✓	✓	Members selected					
JI-E-0013	SQS, Swiss Association for Quality and Management Systems	1-15	✓	✓	✓	Members selected					

**Legend:**

✓ = stage completed

**Annex 2: Draft clarifications**



**CLARIFICATION REGARDING MONITORING PERIOD OF JOINT IMPLEMENTATION  
PROJECT FOR WITNESSING OF VERIFICATION FUNCTION  
OF APPLICANT INDEPENDENT ENTITIES**

**I. BACKGROUND**

1. Paragraph 4.3 of the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (herein after referred to as JI accreditation procedure) explains that the purpose of a witnessing activity is to assess whether an applicant independent entity (IE) is implementing its tasks in line with its documented policy and procedures, including its procedures for performing determinations regarding project design documents (PDDs) and determinations of emission reductions or enhancements of removals (hereinafter referred to as verification).
2. Paragraph 4.3 of the JI accreditation procedure also states that witnessing activities shall be required for both functions: determination regarding a PDD and verification. In this context, the same paragraph further clarifies that witnessing of tasks done by applicant IEs shall be carried out on proposed JI projects in the case of accreditation for determination regarding a PDD, and on JI projects with final positive determinations regarding PDDs in the case of accreditation for verification.
3. In accordance with paragraph 5 of decision 9/CMP.1, emission reduction units (ERUs) shall only be issued for a crediting period starting after the beginning of the year 2008.

**II. CLARIFICATION**

4. Witnessing of the verification function may also be based on a project with its monitoring of emission reductions or enhancements of removals before the beginning of the year 2008. In this case:
  - (a) Emission reductions or enhancements of removals shall be monitored according to a PDD for which a determination by an accredited IE (AIE) (including designated operational entity under the clean development mechanism acting provisionally as an AIE in accordance with paragraph 3 of decision 10/CMP.1) has been deemed final;
  - (b) Upon acceptance of the witnessing activity by the joint implementation assessment team leader, the applicant IE shall make the corresponding monitoring report publicly available through its own channels, informing the secretariat of the publication accordingly. After this the applicant IE may start the verification;
  - (c) The determination of emission reductions or enhancements of removals before the beginning of the year 2008 for the purpose of a witnessing cannot be the basis for the issuance of ERUs by the host Party(ies).

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**CLARIFICATION REGARDING CONDITIONS FOR DESIGNATED OPERATIONAL ENTITIES FOR ACTING PROVISIONALLY AS ACCREDITED INDEPENDENT ENTITIES**

**(Version 02)**

**I. BACKGROUND**

1. Paragraph 3 of decision 10/CMP.1 stipulates:
  - “(a) Designated operational entities under the clean development mechanism may act provisionally as accredited independent entities under Article 6 until the Joint Implementation Supervisory Committee has approved its procedures for accreditation;
  - (b) Those designated operational entities that apply for accreditation under the approved procedures for accreditation may continue to act provisionally as accredited independent entities until a final accreditation decision is taken;
  - (c) The determinations and relevant activities undertaken under these provisions shall be valid only after the accreditation of the independent entity is finalized”.
2. The Joint Implementation Supervisory Committee (JISC), at its fourth meeting, agreed on the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (JI accreditation procedure) and decided to start the joint implementation (JI) accreditation process on 15 November 2006.
3. Taking into account the provisions referred to in paragraph 1 above, the JISC also agreed that the JI accreditation procedure would be effective as of 15 November 2006 to allow sufficient time for designated operational entities (DOEs) to prepare their applications for the JI accreditation process and to enable them to continue to act provisionally as accredited independent entities (AIEs) in the meantime.

**II. CLARIFICATION**

4. DOEs may act provisionally as AIEs within the corresponding sectoral scope(s) and function(s) for which they had been designated under the clean development mechanism (CDM) (including provisional designation by the Executive Board of the CDM) before 15 November 2006 and for which they have applied for JI accreditation.
5. DOEs that did not apply for accreditation by the JISC before 15 November 2006 may resume their status as provisional AIEs from the date they apply for JI accreditation.

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