

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

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I. INTRODUCTION

1. This sixth progress report covers the period from 6 November 2007 to 1 February 2008. During this period the Joint Implementation Accreditation Panel (JI-AP) held one meeting.

II. STATUS OF APPLICATIONS FOR ACCREDITATION

2. Since the end of the previous reporting period, there was one new application from an independent entity (IE) for the joint implementation (JI) accreditation process. This application was to apply for additional sectoral scopes from an IE that had already applied for JI accreditation in the previous reporting period, and the IE requested to process the two applications as one package. Therefore, the number of applications since the opening of the process of receiving submissions of applications on 6 October 2006 by the end of the present reporting period remains the same as in the previous reporting period, i.e. **15 applications in total**. All of these applications are from IEs that also applied for accreditation under the clean development mechanism (CDM). Of these, 13 IEs may act provisionally as accredited independent entities under JI for at least one function (determination regarding a project design document (PDD) or determination of emission reductions or enhancements of removals) in at least one sectoral scope, in accordance with paragraph 3 of decision 10/CMP.1 and Joint Implementation Supervisory Committee (JISC)'s clarification C-JI-ACCR-01.

3. The JI-AP had already selected members of joint implementation assessment teams (JI-ATs) and agreed on the workplans for all 15 applications by the end of the previous reporting period. Of these, the JI-AP decided to re-visit the workplan for one application and put on hold the start of JI-AT's assessment work until the applicant IE submits additional documents relating to its application for additional sectoral scopes as referred to in paragraph 2 above. Following these, the assessment work is underway for 14 applications by respective JI-ATs. **Desk reviews have been completed for 14 applications**, of which the site visit of the **on-site assessment has been conducted for 13 applications**. For the remaining applications, desk review and/or on-site assessment is expected to be conducted in the coming months. The details of the applications and the status of processing them are presented in [annex 1](#).

III. RECOMMENDATIONS FROM THE PANEL

4. In the present reporting period there is no recommendation on either procedural issues or application specific cases from the JI-AP to the JISC for its consideration.

IV. STATUS OF ROSTER OF EXPERTS

5. Since the end of the previous reporting period, one expert resigned from the roster. As a result, **there are currently 39 experts in the roster** selected from three calls for experts (opened from 9 October until 20 November 2006, from 13 December 2006 until 17 January 2007, and from 28 February until 24 September 2007). The JI-AP has started the evaluation of methodology experts in the roster with a view to identifying the sectoral scopes where the number of competent experts are insufficient for witnessing activities. If found insufficient for some sectoral scopes, the JI-AP will open a new call based on the finding. In this context, the JI-AP developed criteria for assigning methodology experts in the roster to specific sectoral scope expertise.

V. OTHER OUTPUTS OF THE PANEL

6. The JI-AP agreed to revise the forms for witnessing activity report for the function of determination regarding emission reductions or enhancements of removals (F-JI-WRderu), for preliminary assessment report (F-JI-PR) and for final assessment report (F-JI-FR) to make them more effective and/or to be in line with relevant provisions of the version 03 of the JI accreditation procedure, which was adopted at the ninth meeting of the JISC. All these forms are found in [annex 2](#) for information for the JISC.

7. The JI-AP revised a guidance document for JI-ATs for their undertaking on-site assessment, mainly to reflect the revision of the JI accreditation procedure to version 03.

VI. ISSUES UNDER CONSIDERATION

8. Based on the outcome of the discussion on 24 August 2007 between the Chairs of the JI-AP and the CDM accreditation panel (CDM-AP) on the issue of cooperation between the JI and CDM accreditation processes, the JI-AP is considering the issue with a view to proposing to the Chair of the CDM-AP possible areas of cooperation with analysis on positive and negative implications of such cooperation.

9. The JI-AP decided to postpone the third training session for JI-AT experts, previously planned to be held on 14-15 March 2008, due to difficulties in preparing training materials in time. At the same time, the JI-AP decided to develop an on-line training system for experts on the roster for JI-ATs as a cost effective means of training, which is to complement in-person training sessions.

10. The JI-AP is considering appropriate grouping of sectoral scopes in the context of “phasing of accreditation” in accordance with relevant provisions of the JI accreditation procedure.

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ANNEXES

Annex 1: Status of applications for accreditation

Annex 2: Forms

- Report on witnessing activity - determination regarding emission reductions or enhancements of removals (F-JI-WRderu) (version 02)
- Preliminary assessment report (F-JI-PR) (version 03)
- Final assessment report (F-JI-FR) (version 03)

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	Indicative letter	Witnessing activity	Phased accreditation	
JI-E-0001	Det Norske Veritas Certification Ltd	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹			
JI-E-0002	Japan Quality Assurance Organization	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹		1 witnessing opportunity accepted	
JI-E-0003	Deloitte Tohmatsu Evaluation and Certification Organization Co., Ltd ²	1-10, 12-13, 15	✓	✓	✓	✓	✓	✓	Site visit done ¹			
JI-E-0004	Lloyd's Register Quality Assurance Ltd.	1-13	✓	✓	✓	✓	✓	✓	Site visit done ¹		1 witnessing opportunity accepted	
JI-E-0005	JACO CDM., LTD	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹		1 witnessing opportunity accepted	
JI-E-0006	Japan Consulting Institute	1-5, 8-11, 13	✓	✓	✓	✓	✓	✓	Site visit done ¹			
JI-E-0007	Bureau Veritas Certification Holding SAS ³	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹			
JI-E-0008	TÜV SÜD Industrie Service GmbH	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹		2 witnessing opportunities accepted	
JI-E-0009	Spanish Association for Standardisation and Certification	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹			
JI-E-0010	SGS United Kingdom Limited	1-15	✓	✓	✓	✓	✓	✓	Non-conformities closed ⁴		1 witnessing opportunity accepted	
JI-E-0011	TÜV NORD CERT GmbH	1-15	✓	✓	✓	✓	✓	✓	Non-conformities closed ⁴			

UNFCCC Ref. No.	Entity name	Sectoral scopes applied	Accreditation steps									
			Completeness check	Preliminary consideration	Workplan	JI-AT establishment	Desk review	On-site assessment	Indicative letter	Witnessing activity	Phased accreditation	
JI-E-0012	TÜV Rheinland Japan Ltd. ⁵	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹		1 witnessing opportunity accepted	
JI-E-0013	SQS, Swiss Association for Quality and Management Systems	1-15	✓	✓	✓	✓	✓	✓	Site visit done ¹			
JI-E-0014	KPMG Sustainability B.V.	1-4, 13	✓	✓	✓	✓	✓	✓				
JI-E-0015	Germanischer Lloyd Certification GmbH	1-3, 7, 10, 13	✓	✓	✓ ⁶	✓						

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) JI-AT has cleared all non-conformities and is preparing assessment reports.

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

6) The JI-AP decided to re-visit the workplan once the applicant IE has submitted documents relating to its application for additional sectoral scopes.

Annex 2: Forms

- Report on witnessing activity - determination regarding emission reductions or enhancements of removals (F-JI-WRderu) (version 02)
- Preliminary assessment report (F-JI-PR) (version 03)
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**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		
Title and reference number of the JI project under witnessing		
Sectoral scope(s) of accreditation of the activity witnessed		
Methodology used	<input type="checkbox"/> Approved CDM methodology, Reference: <input type="checkbox"/> Other methodology	
Activity (project) witnessed <i>(describe in brief the nature of the activity witnessed e.g. single assessor, team, dates, duration, small/large-scale projects)</i>		
Name of JI-AT leader		
Names of JI-AT members involved in the witnessing activity, indicating the expert on baseline setting and monitoring		
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 entity effectively apply its procedures to keep up-to-date with the decisions of the JISC related to determination activities, including criteria on baseline setting and monitoring? 1.2. Is the allocation of the resources appropriate to the scope of determination by the entity? 1.3. Has all pertinent documentation been identified prior to the assessment? 1.4. Does the entity use checklists for performing determination activities regarding emission reductions or enhancements of removals (general or specific)? Are the checklists or other means used comprehensive? 1.5. Does the entity record the name of the entity that has carried out the PDD determination and its date for the project in question? 1.6. Does the entity have a proper record keeping of previous determination activities regarding emission reductions or enhancements of removals concerning the project under witnessing?		

1.7. Has the entity recorded any findings in an earlier verification report? If yes, how was the findings accounted for?		
1a) Conduct of an opening meeting with project participants (on project site) 1.8. Has the meeting been conducted effectively?		
1b) Skills and technique Did the (lead) assessor(s) of the entity: 1.9. Remained within the scope of work defined? 1.10. Remained objective, unbiased? 1.11. Concluded based on objective evidence? 1.12. Showed knowledge of the project participants and the project? 1.13. Showed ability to identify instances of non-conformity of a project and/or submitted monitoring report? 1.14. Based all findings on adequate factual evidence and referenced where necessary? 1.15. Showed ability to make well substantiated decisions and justify them to the project participants and is the report in English?		
1c) Meeting(s) of entity assessment team witnessed Did the entity assessment team demonstrate: 1.16. Ability to consolidate findings? 1.17. Ability to ensure that scope of assessment was covered? 1.18. Ability to discuss and conclude on contents and strategy of closing meeting with project participants?		
1d) Conducting closing meetings with project participants 1.19. Has the meeting been conducted effectively?		
1e) Reporting by entity to project participants 1.20. Clear and concise, orally and in writing (indicate if language other than English is used)		
1f) Entity's personnel skills 1.21. Ability to understand complex projects? 1.22. Coverage and interpretation of the requirements?		

<p>2. Determination regarding emission reductions or enhancements of removals</p> <p>Has the entity:</p> <p>2.1. Followed its procedure effectively to Make the monitoring report publicly available in accordance with paragraph 36 of the JI guidelines and relevant procedures developed by the JISC?</p> <p>2.2. Followed its procedure effectively to determine the emission reductions or enhancements of removals reported by project participants in accordance with appendix B of the JI guidelines and relevant decisions and procedures developed by the JISC, 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>		
<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 the entity will be able to maintain a consistent quality level 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>3.3.1. Was the entity’s assessor or its team leader sidetracked?</p> <p>3.3.2. How did the team perform under pressure?</p> <p>3.3.3. Did the entity team show the capacity to adapt to circumstances as necessary?</p>		
<p>General comments and recommendations:</p>		
<p>JI-AT leader’s signature:</p>	<p>Date:</p>	



PRELIMINARY ASSESSMENT REPORT

Name of applicant independent entity and address of site(s) assessed	
UNFCCC ref no. of entity	
Type of assessment (please tick appropriate box(es))	On-site assessment <input type="checkbox"/> Witnessing activity <input type="checkbox"/> Function assessed in the case of witnessing activity: Determination¹ <input type="checkbox"/> Verification² <input type="checkbox"/>
Sectoral scope(s) assessed	
Date(s) of assessment	
JI-AT leader's name	
JI-AT member(s)' name(s)	

SUMMARY

The summary should address the following aspects and should be formulated with the indicated headings:

Determination/verification activity witnessed *(witnessing activity only)*

A description of the determination/verification activity witnessed, as applicable.

Operational capability *(on-site assessment only)*

A summary of the outcome of the assessment of the applicant independent entity's operational capability against the requirements contained in the JI guidelines and other relevant decisions and clarifications adopted by the CMP, JISC or the JI-AP.

Competence, experience and substantive decision-making capacity *(witnessing activity only)*

A summary of the outcome of the assessment of the competence, experience, and substantive decision-making capacity of the applicant independent entity in the sectoral scope(s) assessed, including the names of key staff involved and their qualifications, experience and authority.

Internal organization and procedures *(witnessing activity only)*

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.

Non-conformities and corrective actions

A summary of non-conformities and corrective actions implemented, as applicable.

Findings on issues identified by the JI-AP

A description of findings regarding key issues identified by the JI-AP in the workplan, where applicable.

Comparisons with previous on-site assessment *(on-site assessment only)*

Any useful comparisons with the results of the previous on-site assessment of the applicant IE, as applicable.

Conclusion

The overall conclusion by the JI-AT.

Instead of repeating detailed information, cross-references to forms used in this assessment shall be provided, as applicable.

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

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

Documents supplied by the applicant independent entity and reviewed by the JI-AT	
Document	Reviewed
<i>On-site assessment</i>	
Application for accreditation	
Documentation on its legal status	
Particular documents relating to the sectoral scopes applied for accreditation	
A declaration of all the organization's actual and potential involvement in identification, development or financing of JI projects	
A declaration that the applicant independent entity does not have pending any judicial process for malpractice, fraud and/or other activity incompatible with its functions as accredited independent entity	
Documentation on its quality assurance policy and procedures, including a procedures manual for performing determinations within the sectoral scopes applied for	
Documentation on administrative procedures including document control	
Documentation on policy and procedures for the recruitment and training of personnel	
An organizational chart showing lines of authority, responsibility and allocation of functions	
Documentation on its procedures for handling complaints, appeals and disputes	
A statement that its operations are in compliance with applicable national laws	
Other documents (<i>please list below</i>):	
<i>Witnessing activity</i>	
Assessment plan	
Determination reports (draft and final) (<i>witnessing of determination only</i>)	
Verification report (<i>witnessing of verification only</i>)	
Corresponding PDD	
Monitoring report (<i>witnessing of verification only</i>)	
Evidence of the applicant independent entity's team competence involved in the determination/verification	
Contract review report	
Internal technical review report	
Other documents (<i>please list below</i>):	
List of documents prepared in relation to this assessment (e.g. on-site assessment report, witnessing report, non-conformity, corrective actions and clearance reports):	
Signature by JI-AT leader:	Date:



FINAL ASSESSMENT REPORT

Name of applicant independent entity and address of site(s) assessed		
UNFCCC ref. no. of entity		
Type of assessment (please tick appropriate box(es))	On-site assessment <input type="checkbox"/>	Witnessing activity <input type="checkbox"/>
	Function assessed in the case of witnessing activity: Determination ¹ <input type="checkbox"/> Verification ² <input type="checkbox"/>	
Sectoral scope(s) assessed		
JI-AT leader's name		
JI-AT member(s)' name(s)		
Preliminary assessment report is attached (please tick box) <input type="checkbox"/>		Comments by the entity on the preliminary report are attached (please tick box) <input type="checkbox"/>
Executive summary of JI-AT's evaluation regarding the applicant independent entity's conformance to the requirements (incl. non-conformities and corrective actions implemented, as applicable):		
Description on how comments by entity have been addressed, refer to non-conformity forms as applicable:		
Recommendation regarding issuance of indicative letter or accreditation for consideration by the JI-AP:		
JI-AT leader's signature:		Date:

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

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