

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

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I. INTRODUCTION

1. This tenth progress report covers the period from 11 November 2008 to 18 February 2009. 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 no new application from an independent entity (IE) for the joint implementation (JI) accreditation process. 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 (AIEs) 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-01.¹

3. The JI-AP had already selected members of joint implementation assessment teams (JI-ATs) and agreed on the workplans for all 15 applications in former reporting periods. Of these, the JI-AP had decided to re-visit the workplan for one application and put on hold the start of JI-AT's assessment work for the application until the applicant IE submits additional documents relating to its application for additional sectoral scopes as reported in the sixth progress report. This applicant IE had not submitted the additional documents by the end of the present reporting period. Consequently, the assessment work is underway currently for 14 applications by respective JI-ATs.

4. **Desk reviews have been completed for 14 applications, for all of which the site visit of the on-site assessment has been conducted** during former reporting periods. Of these, **a letter indicating successful completion of the desk review and the on-site assessment (indicative letter) was issued to 11 applications by the JI-AP** in accordance with paragraph 45 of the "Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee (version 04)" (hereinafter referred to as JI accreditation procedure) during former reporting periods. For the remaining applications, desk review and/or on-site assessment is expected to be completed, or the JI-AP's consideration on issuing an indicative letter is expected to take place, in the coming months. The details of the applications and the status of processing them are presented in annex 1.

5. By the end of the present reporting period, **18 witnessing opportunities submitted from nine applicant IEs have been accepted by respective JI-AT leaders** in accordance with paragraphs 47 of the JI accreditation procedure. Corresponding PDDs or monitoring reports have been published on the UNFCCC website subsequently for all of these witnessing opportunities. Further, documentary evidence for the assessment by the respective JI-AT has been submitted from three applicant IEs for five witnessing opportunities. Of these, one witnessing activity has been completed by the respective JI-AT, and based on the JI-AT's work, the JI-AP considered the case and decided to make a recommendation to the JISC on the accreditation of this IE, as referred to in paragraph 6 below. Currently four witnessing activities are underway by the corresponding JI-ATs.

III. RECOMMENDATIONS FROM THE PANEL

6. The JI-AP considered the result of one witnessing activity during the present reporting period. The recommendation of the JI-AP on this case has been submitted for the consideration of the JISC under confidentiality in accordance with paragraph 60 of the JI accreditation procedure.

¹ Of the 13 IEs, one is currently suspended from acting provisionally as an AIE due to the suspension of its status as a designated operational entity under the CDM, as decided by the Executive Board of the CDM at its forty-fourth meeting.

7. Following the revision of the JI accreditation procedure to version 04 as adopted by the JISC at its thirteenth meeting, the JI-AP considered the necessity of clarifying the steps of ex-post witnessing activities for AIEs, and agreed to recommend to the JISC to revise the JISC clarification C-JI-ACCR-02, as contained in annex 2.

8. The JI-AP, having seen that there exist diverse organizational arrangements by different IEs, considered the necessity to further clarify the restrictions on the delegation of IEs' key functions to external personnel, and agreed to recommend to the JISC to revise the JISC clarification C-JI-ACCR-04, as contained in annex 3.

IV. STATUS OF ROSTER OF EXPERTS

9. Since the end of the previous reporting period, the JI-AP added five experts to the roster, selecting from the applications received for the latest call for experts. As a result, **there are currently 39 experts on the roster** selected from four calls for experts (opened from 9 October until 20 November 2006, from 13 December 2006 until 17 January 2007, from 28 February until 24 September 2007, and from 2 October until 1 November 2008).

V. OTHER OUTPUTS OF THE PANEL

10. There is no other output of the JI-AP during the present reporting period.

VI. ISSUES UNDER CONSIDERATION

11. The Chair of the JI-AP proposed to the Chair of the CDM accreditation panel (CDM-AP) possible areas of cooperation between the JI and CDM accreditation processes. The JI-AP is currently awaiting a response from the CDM-AP to the proposal.

12. The JI-AP is overseeing the development of an on-line training system for JI-AT experts, the process for which is being managed by the secretariat.

13. The JI-AP is considering the necessity and areas of further revision and/or development of JI accreditation-related documents with a view to improving their consistency and clarity in totality.

ANNEXES

Annex 1: Status of applications for accreditation

Annex 2: Draft “Clarification regarding scopes and steps of witnessing activities under the joint implementation accreditation procedure (version 03)”

Annex 3: Draft “Clarification regarding responsibility of accredited premises of 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	Indicative letter	Witnessing activity	Phased accreditation
JI-E-0001	Det Norske Veritas Certification AS (DNV)	1-15	✓	✓	✓	✓	✓	✓	✓	2 witnessing opportunities accepted	
JI-E-0002	Japan Quality Assurance Organization (JQA)	1-15	✓	✓	✓	✓	✓	✓		1 witnessing opportunities accepted	
JI-E-0003	Deloitte Tohmatsu Evaluation and Certification Organization (Deloitte-TECO) ¹	1-10, 12-13, 15	✓	✓	✓	✓	✓	✓	✓		
JI-E-0004	Lloyd's Register Quality Assurance Ltd. (LRQA)	1-13	✓	✓	✓	✓	✓	✓	✓	1 witnessing opportunities accepted	
JI-E-0005	JACO CDM., LTD (JACO)	1-15	✓	✓	✓	✓	✓	Site visit done ²		1 witnessing opportunities accepted	
JI-E-0006	Japan Consulting Institute (JCI)	1-5, 8-11, 13	✓	✓	✓	✓	✓	✓	✓		
JI-E-0007	Bureau Veritas Certification Holding SAS (BVC Holding SAS) ³	1-15	✓	✓	✓	✓	✓	✓	✓	3 witnessing opportunities accepted	
JI-E-0008	TÜV SÜD Industrie Service GmbH (TÜV- SÜD)	1-15	✓	✓	✓	✓	✓	✓	✓	3 witnessing opportunities accepted	

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-0009	Spanish Association for Standardisation and Certification (AENOR)	1-15	✓	✓	✓	✓	✓	✓	✓		
JI-E-0010	SGS United Kingdom Ltd. (SGS)	1-15	✓	✓	✓	✓	✓	✓	✓	4 witnessing opportunities accepted	
JI-E-0011	TÜV NORD CERT GmbH (TÜV NORD)	1-15	✓	✓	✓	✓	✓	✓	✓	1 witnessing opportunities accepted	
JI-E-0012	TÜV Rheinland Japan Ltd. (TÜV Rheinland) ⁴	1-15	✓	✓	✓	✓	✓	✓	✓	2 witnessing opportunities accepted	
JI-E-0013	Swiss Association for Quality and Management Systems (SQS)	1-15	✓	✓	✓	✓	✓	✓	✓		
JI-E-0014	KPMG Sustainability B.V. (KPMG)	1-4, 13	✓	✓	✓	✓	✓	Site visit done ²			
JI-E-0015	Germanischer Lloyd Certification GmbH (GLC)	1-3, 7, 10, 13	✓	✓	✓ ⁵	✓					

Legend:

✓ = stage completed

1) Formerly named as “Tohmatsu Evaluation and Certification Organization Co., Ltd”.

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

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

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

5) 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: Draft “Clarification regarding scopes and steps of witnessing activities under the joint implementation accreditation procedure (version 03)”



CLARIFICATION REGARDING SCOPES AND STEPS OF WITNESSING ACTIVITIES UNDER THE JOINT IMPLEMENTATION ACCREDITATION PROCEDURE

(Version **02.103**)

1. Witnessing concerning the function “determination regarding a project design document (PDD)” **(hereinafter referred to as determination)** referred to in the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (JI accreditation procedure) shall cover the steps from making a PDD publicly available through the secretariat in accordance with paragraph 32 of the annex to decision 9/CMP.1 (JI guidelines) up to immediately before making the determination regarding the PDD publicly available through the secretariat in accordance with paragraph 34 of the JI guidelines.
2. Witnessing concerning the function “determination of emission reductions or enhancements of removals” **(hereinafter referred to as verification)** referred to in the JI accreditation procedure shall cover the steps from making a monitoring report publicly available through the secretariat in accordance with paragraph 36 of the JI guidelines up to immediately before making the determination based on the monitoring report publicly available through the secretariat in accordance with paragraph 38 of the JI guidelines.
3. An applicant independent entity (IE) **or accredited independent entity (AIE)** ~~can~~**may** make a PDD or monitoring report publicly available through the secretariat in the context of a witnessing activity only after the joint implementation assessment team (JI-AT) has accepted the corresponding project as a witnessing opportunity.
4. In the course of a witnessing activity the applicant IE **or AIE** shall submit the determination **or verification** to the JI-AT through the secretariat.
5. The secretariat shall, subject to confidentiality provisions, transfer to the (leader of the) JI-AT any information it has received within the scope of its mandate and with respect to a particular (proposed) witnessing opportunity and/or activity.
6. The JI-AT shall consider the determination **or verification** referred to in paragraph 4 above as part of the witnessing evidence that is to be reported to the Joint Implementation Accreditation Panel.
7. An applicant IE ~~has to be accredited for the corresponding sectoral scope(s) and function(s) before making the determination publicly available through the secretariat in accordance with paragraphs 34 or 38 of the JI guidelines.~~ **or AIE may make the report for a determination or verification undergoing witnessing publicly available through the secretariat in accordance with paragraphs 34 or 38 of the JI guidelines only after the Joint Implementation Supervisory Committee has informed the applicant IE or the AIE of its decision regarding witnessing (for an applicant IE) or ex-post witnessing (for an AIE)¹ with respect to that determination or verification.**
8. Paragraphs 3-7 above apply to designated operational entities under the clean development mechanism acting provisionally as accredited independent entities in accordance with paragraph 3 of decision 10/CMP.1 only for any project chosen as a witnessing opportunity.

¹ For details of “ex-post witnessing” for an AIE, see section B.2 of the JI accreditation procedure.

Annex 3: Draft “Clarification regarding responsibility of accredited premises of accredited independent entities (version 02)”

Annex 3: Draft “Clarification regarding responsibility of accredited premises of accredited independent entities (version 02)”



**CLARIFICATION REGARDING RESPONSIBILITY OF ACCREDITED PREMISES
OF ACCREDITED INDEPENDENT ENTITIES**

(Version 02)

I. BACKGROUND

1. Paragraph 4.2 of the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” states that the accreditation of an independent entity (IE) “shall be granted only to those premises where the on-site assessment took place. Any other part of that IE is not accredited.”

II. CLARIFICATION

2. With regard to determinations in accordance with paragraphs 33 or 37 of the annex to decision 9/CMP.1 (JI guidelines), the decision-making shall remain the responsibility of the accredited premises of the accredited independent entity (AIE). The same applies to the responsibility for the following ~~actions~~**functions**:

- (a) Management review;
- (b) Review and signing of determination-related contractual arrangements;
- (c) Maintaining the documents and records on joint implementation activities by the AIE related to determination function;
- (d) Preparation and signing of determination and verification reports prepared in accordance with paragraphs 33 and 37, respectively, of the JI guidelines, and other related documents;
- (e) Submission of project design documents, determination reports, monitoring reports or verification reports to the secretariat for publication on the UNFCCC JI website in accordance with paragraphs 32, 34, 36 and 38, respectively, of the JI guidelines;
- (f) Any actions undertaken by the AIE during reviews in accordance with paragraphs 35 or 39 of the JI guidelines;
- (g) Actions with regard to paragraph 43 of the JI guidelines;
- (h) Allocation of resources.

3. ~~Provisions contained~~**The AIE shall not delegate the functions listed** in paragraph 2 above ~~do not exclude utilization of external resources by the AIE under contractual arrangements to external personnel except under one or both of the following circumstances:~~

- (a) **The AIE provides specific qualified individuals limited powers of attorney specifying the functions and time period for which the power of attorney is granted, thus making clear that legal responsibility for the performance of the functions rests solely with the AIE;**
- (b) **The AIE is a wholly owned subsidiary and another wholly owned subsidiary of the same parent entity allocates personnel to the AIE, while making clear that legal responsibility for the performance of the functions rests solely with the AIE.**



4. The AIE also may utilize external personnel for functions not listed in paragraph 2 above.
