

# **REPORT OF THE JI ACCREDITATION PANEL (JI-AP)**

## **Twenty-fifth meeting of the JI-AP**

**26 - 27 May 2011**

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## **I. INTRODUCTION**

1. This progress report covers the period from 29 January 2011 to 27 May 2011. During this period the Joint Implementation Accreditation Panel (JI-AP) held one meeting (JI-AP 25), on 26-27 May 2011.

## **II. STATUS OF APPLICATIONS FOR ACCREDITATION**

2. Since the end of the previous reporting period, there were no new applications from independent entities (IEs) for the joint implementation (JI) accreditation process. Consequently, the number of applications under consideration by the JI-AP since the opening of the process of receiving submissions of applications on 6 October 2006 by the end of the present reporting period is 14 applications in total.

3. Of the 14 applications under consideration, the JI-AP had already selected members of joint implementation assessment teams (JI-ATs) and agreed on the workplans for all applications in previous reporting periods. Of these, the JI-AP had previously decided to put on hold the start of the JI-AT's assessment work for one 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 has started for 13 applications under consideration by respective JI-ATs.

4. Desk review and on-site assessment has been successfully completed for the 13 applications under consideration during former reporting periods. As a result, a letter indicating successful completion of desk review and on-site assessment (indicative letter) has been issued by the JI-AP to the 13 IEs under consideration in accordance with paragraph 68 of the "Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee (version 06)" (hereinafter referred to as JI accreditation procedure). For the present reporting period, no desk review or on-site assessment has been conducted by the JI-AT for the remaining one applicant IEs due to the reason described in paragraph 3 above. 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, 23 witnessing opportunities submitted from nine IEs under consideration and one AIE that withdrew its accreditation have been accepted by respective JI-AT leaders, in accordance with paragraph 75 of the JI accreditation procedure. Of these, six witnessing opportunities were withdrawn by the IEs under consideration and one AIE that withdrew its accreditation, all of them in former reporting periods, hence 17 witnessing activities were in the pipeline, underway or completed. Corresponding PDDs or monitoring reports have been published on the UNFCCC website subsequently.

6. Of these 17 witnessing activities, five have been completed in previous reporting periods, which subsequently led to the accreditation by the Joint Implementation Supervisory Committee (JISC) of four IEs, including one AIE that subsequently withdrew its accreditation as referred to in paragraph 5 above, by the end of the present reporting period. Two witnessing activities were in progress at the end of the period and one was completed in the period. Therefore, there is one recommendation from the JI-AP to the JISC on accreditation of an IE.

## **III. RECOMMENDATION FROM THE JI-AP**

7. During the present reporting period, the JI-AP considered the result of one witnessing activity. The JI-AP's recommendation on this case has been submitted for the consideration of the JISC under confidentiality in accordance with paragraph 98 of the JI accreditation procedure.

## **IV. REPORT ON THE PROGRESS OF WORK ON THE JISC REQUEST ON STREAMLINING OF THE JI ACCREDITATION PROCESS**

8. Following the request by the JISC at its twenty-fourth meeting, the JI-AP started its work on revising relevant regulatory documents to streamline the JI accreditation process.



9. Based on the JISC's decision on the options for the streamlining, and considering the impact on the streamlining, the JI-AP decided to firstly revise the JI accreditation procedure.

10. With regard to the revision of the JI accreditation procedure, the JI-AP is assessing the modalities for, inter alia:

- (a) Removing initial and ex-post witnessing activities;
- (b) Introducing "performance assessments" for all accredited independent entities (AIEs), which is an assessment of an AIE's competence in carrying out the determination or verification function regarding a specific JI project;
- (c) Aligning other areas of the JI accreditation procedure with the CDM accreditation procedure to the extent necessary;

11. In addition, the JI-AP developed "transitional measures" for accrediting independent entities that have not yet been accredited by the JISC at the time when the JISC adopts a revised JI accreditation procedure. The JI-AP recommends to the JISC the provisions contained in the annex 2 and to start implementing the provisions upon adoption by the JISC.

12. The rationale for the inclusion of a focused assessment in the transitional measures is:

- (a) The on-site assessments for the existing applicant IEs were conducted quite a long time ago (2007-2009);
- (b) With the proposed removal of initial witnessing activity, the focused assessment would allow in-depth assessment of competence and systems;
- (c) The JISC adopted the JI accreditation standard since the completion of these on-site assessments.

13. The JI-AP will continue to work on the revision of the JI accreditation procedure and plans to recommend a draft revised JI accreditation procedure reflecting paragraphs 10 (a)-(c) above to the JISC at its twenty-sixth meeting for consideration.

14. The JI-AP will further consider other areas for streamlining the JI accreditation process, inter alia:

- (a) Alignment of the JI accreditation standard with the CDM accreditation standard;
- (b) Use of experts in the roster of experts for the CDM accreditation process.

## **V. STATUS OF ROSTER OF EXPERTS**

15. During the present reporting period, no experts were added to or withdrawn from the roster. Consequently, the number of experts on the roster is 38 in total. Two experts were placed on standby within the roster of experts due to their appointment as JI-AP members.

16. No new evaluations of the performance of the JI-AT leaders and members were prepared in the reporting period.

17. The JI-AP took note of the report from the secretariat on the latest development of the JI online training course. The JI-AP agreed to give an additional 2 months to all the experts on the roster to conclude the training. The JI-AP agreed to consider the progress made by experts completing the training at its next meeting and to decide whether opening a call for new experts is needed.



## **VI. OTHER ISSUES UNDER CONSIDERATION**

18. The JI-AP discussed additional elements of Option 3 of the streamlining of the JI accreditation process, presented to the JISC at its twenty-fourth meeting, that were easily implementable, specifically with regard to the possible revision of the JI accreditation standard and the use of a common roster of experts with the CDM accreditation process. The JI-AP requested the secretariat to conduct an analysis to support its discussion of this item.

19. The JI-AP considered declarations of compliance with the JI accreditation standard, submitted by IEs.

20. The JI-AP also considered inputs provided by IEs on paragraph 39 of the JI accreditation standard. The JI-AP agreed to further consider these inputs in a future revision of the JI accreditation standard, in the context of the on-going streamlining of the JI accreditation process.

21. The JI-AP approved the revised non-conformity form (F-JI-NC) to be used in the accreditation-related assessments.

## **VII. NEXT MEETING OF THE JI-AP**

22. The next JI-AP meeting (JI-AP 26) will be held on 4-5 August 2011.



## 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	Accreditation <sup>1</sup>
JI-E-0001	DNV Climate Change Services AS (DNV)	1-15	✓	✓	✓	✓	✓	✓	✓	2 opportunities accepted 1 activity completed	✓ (III)
JI-E-0002	Japan Quality Assurance Organization (JQA)	1-15	✓	✓	✓	✓	✓	✓	✓	1 opportunity accepted (1 withdrawn)	
JI-E-0003	Deloitte Tohmatsu Evaluation and Certification Organization (Deloitte-TECO) <sup>2</sup>	1-10, 12-13, 15	✓	✓	✓	✓	✓	✓	✓		
JI-E-0004	Lloyd's Register Quality Assurance Ltd. (LRQA)	1-13	✓	✓	✓	✓	✓	✓	✓	1 opportunity accepted	
JI-E-0005	JACO CDM., LTD (JACO)	1-14	✓	✓	✓	✓	✓	✓	✓	1 opportunity accepted	
JI-E-0006	Japan Consulting Institute (JCI)	1-5, 8-11, 13	✓	✓	✓	✓	✓	✓	✓		
JI-E-0007	Bureau Veritas Certification Holding SAS (BVC Holding SAS) <sup>3</sup>	1-15	✓	✓	✓	✓	✓	✓	✓	5 opportunities accepted (2 withdrawn) 1 activity completed	✓ (II)
JI-E-0008	TÜV SÜD Industrie Service GmbH (TÜV- SÜD)	1-15	✓	✓	✓	✓	✓	✓	✓	4 opportunities accepted (2 withdrawn) 1 activity completed	✓ (III, VI)



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	Accreditation 1
JI-E-0009	Spanish Association for Standardisation and Certification (AENOR)	1-15	✓	✓	✓	✓	✓	✓	✓	1 opportunity accepted	
JI-E-0010	SGS United Kingdom Ltd. (SGS)	1-15	✓	✓	✓	✓	✓	✓	✓	4 opportunities accepted (1 withdrawn) 2 activities completed	✓ (II, III) Accreditation withdrawn upon request of the entity
JI-E-0011	TÜV NORD CERT GmbH (TÜV NORD)	1-15	✓	✓	✓	✓	✓	✓	✓	1 opportunity accepted 1 activity on-going	
JI-E-0012	TÜV Rheinland Japan Ltd. (TÜV Rheinland) <sup>4</sup>	1-15	✓	✓	✓	✓	✓	✓	✓	2 opportunities accepted 1 activity on-going	
JI-E-0013	Swiss Association for Quality and Management Systems (SQS)	1-15	✓	✓	✓	✓	✓	✓	✓		
JI-E-0014	KPMG Advisory N.V. (KPMG)	1-4, 13	✓	✓	✓	✓	✓	✓	✓		
JI-E-0015	Germanischer Lloyd Certification GmbH (GLC)	1-3, 7, 10, 13	✓	✓	✓ <sup>5</sup>	✓					

**Legend:**

✓ = stage completed

1) Accreditation is granted for all sectoral scopes applied for. Roman numbers in brackets indicate the sectoral groups for which witnessing activities have been successful to date. For more details on how accreditation is granted, confirmed or suspended with regard to sectoral groups, see section B.3 and annex 2 of the JI accreditation procedure (version 05).

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

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.

6) Formerly named as “KPMG Sustainability B.V.”.



## ANNEX 2

### **TRANSITIONAL MEASURES FOR ACCREDITING APPLICANT INDEPENDENT ENTITIES THAT HAVE BEEN ISSUED AN INDICATIVE LETTER IN ACCORDANCE WITH THE JI ACCREDITATION PROCEDURE**

1. For independent entities that have applied for accreditation (hereinafter referred to as “applicant IE”) in accordance with the “Procedure for accrediting independent entities by the Joint Implementation Supervisory Committee” (JI accreditation procedure), but have not been accredited as of 22 June 2011, the following provisions shall apply for processing their applications.
2. An applicant IE that has been issued an indicative letter in accordance with the JI accreditation procedure and has not initiated an initial witnessing activity in accordance with provisions contained in section C.4.3 “Witnessing activity” of the procedure as of 22 June 2011 shall not undergo an initial witnessing activity but be subject to an additional assessment (hereinafter referred to as “focused assessment”) in accordance with paragraphs 4-5 below.
3. An applicant IE that has been issued an indicative letter in accordance with the JI accreditation procedure and has initiated an initial witnessing activity as of 22 June 2011 shall decide to:
  - (a) Continue the initial witnessing activity, in accordance with provisions contained in section C.4.3 of version 06 of the JI accreditation procedure; or
  - (b) Terminate the initial witnessing activity and undergo a focused assessment in accordance with paragraphs 4-5 below.
4. A focused assessment shall be conducted in accordance with provisions contained in section C.4.2 “On-site assessment”, excluding its paragraphs 68-73, of version 06 of the JI accreditation procedure.
5. The scope of a focused assessment shall be the applicant IE’s compliance with the “JI accreditation standard” (ver.01), with a particular focus on JI specific areas in performing determinations and verifications regarding joint implementation projects (e.g. competence in conducting determinations and verifications, implementation of systems) and changes that have occurred since the last on-site assessment conducted prior to the issuance of the indicative letter.
6. For both assessments referred to in paragraphs 3 (a) and 4 above, the JI-AP shall process the case in accordance with section C.5 “Review and recommendation by the JI-AP” and the JISC shall process the case in accordance with section C.6 “Accreditation decision by the JISC” of version 06 of the JI accreditation procedure, as applicable. In doing so:
  - (a) If the result of the JISC’s consideration of the case is positive, the JISC shall grant accreditation to the applicant IE for all sectoral scopes in which it applied for and for both the determination and verification functions;
  - (b) If the result of the JISC’s consideration of the case as per paragraph 3 (a) above is negative, the applicant IE shall undergo a focused assessment;
  - (c) If the result of the JISC’s consideration of the case as per paragraph 4 above is negative, the JISC shall reject the applicant IE’s application.
7. An applicant IE that has not been issued an indicative letter in accordance with the JI accreditation procedure as of 22 June 2011 shall undergo a desk review and on-site assessment in accordance with sections C.4.1 and C.4.2 respectively of version 06 of the JI accreditation procedure. In this case, the scope of the on-site assessment shall cover all JI accreditation requirements including competence and implementation of systems.

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