

# **JI-AP: Thirteenth progress report**

## **Seventeenth meeting of the Joint Implementation Supervisory Committee**

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Kiev, Ukraine  
10-11 September 2009



## Reporting period

- 27 May to 15 August 2009 (incl. JI-AP 18)

## Applications for accreditation

- 15 applications
- JI-AT established for all applications
- Indicative letter issued to 14 applications

## Accreditation

- 3 accredited independent entities

## Roster of experts

- 41 experts on the roster (same as in the previous reporting period)

## Recommendation to the JISC

- New version of the JI accreditation procedure

## JI-AP: Thirteenth progress report | Applications for accreditation

- 15 applications, of which 13 are DOEs (No new application since the last reporting period)

Ref No.	Entity name	Sectoral scopes applied
0001	<b>Det Norske Veritas Certification AS (DNV)</b>	1-15 (all scopes)
0002	<b>Japan Quality Assurance Organization (JQA)</b>	1-15 (all scopes)
0003	<b>Deloitte Tohmatsu Evaluation and Certification Organization Co., Ltd (Deloitte-TECO)</b>	1-10, 12-13, 15
0004	<b>Lloyd's Register Quality Assurance Ltd. (LRQA)</b>	1-13
0005	<b>JACO CDM., LTD (JACO)</b>	1-14
0006	<b>Japan Consulting Institute (JCI)</b>	1-5, 8-11, 13
0007	<b>Bureau Veritas Certification Holding SAS (BVC Holding SAS)</b>	1-15 (all scopes)
0008	<b>TÜV SÜD Industrie Service GmbH (TÜV-SÜD)</b>	1-15 (all scopes)
0009	<b>Spanish Association for Standardisation and Certification (AENOR)</b>	1-15 (all scopes)
0010	<b>SGS United Kingdom Limited (SGS)</b>	1-15 (all scopes)
0011	<b>TÜV NORD CERT GmbH (TÜV NORD)</b>	1-15 (all scopes)
0012	<b>TÜV Rheinland Japan Ltd. (TÜV Rheinland)</b>	1-15 (all scopes)
0013	<b>Swiss Association for Quality and Management Systems (SQS)</b>	1-15 (all scopes)
0014	<b>KPMG Advisory N.V. (KPMG)</b>	1-4, 13
0015	<b>Germanischer Lloyd Certification GmbH (GLC)</b>	1-3, 7, 10, 13

# JI-AP: Thirteenth progress report | Progress of assessment

Ref No.	Entity name	Preliminary consideration	Desk review	On-site assessment	Indicative letter	Witnessing In the pipeline	Accreditation
0001	<b>DNV</b>	✓	✓	✓	✓	2	
0002	<b>JQA</b>	✓	✓	✓	✓		
0003	<b>TECO</b>	✓	✓	✓	✓		
0004	<b>LRQA</b>	✓	✓	✓	✓	1	
0005	<b>JACO</b>	✓	✓	✓	✓	1	
0006	<b>JCI</b>	✓	✓	✓	✓		
0007	<b>BVC Holding SAS</b>	✓	✓	✓	✓	1	✓
0008	<b>TÜV-SÜD</b>	✓	✓	✓	✓		✓
0009	<b>AENOR</b>	✓	✓	✓	✓		
0010	<b>SGS</b>	✓	✓	✓	✓	1	✓
0011	<b>TÜV NORD</b>	✓	✓	✓	✓	1	
0012	<b>TÜV Rheinland</b>	✓	✓	✓	✓	2	
0013	<b>SQS</b>	✓	✓	✓	✓		
0014	<b>KPMG</b>	✓	✓	✓	✓		
0015	<b>GLC</b>	✓					

Red indicates development since the last progress report



## **Draft JI accreditation procedure (version 05)**

- Based on the request at JISC 13 to strengthen the monitoring of accredited independent entities' performance

# **Revision of the JI accreditation procedure**

## **Seventeenth meeting of the Joint Implementation Supervisory Committee**

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UNFCCC secretariat

Kiev, Ukraine  
10-11 September 2009



## Latest chronology

- Current version (04) of the JI accreditation procedure was adopted at JISC-13 (November 2008)
- At JISC-13, the JISC also requested the JI-AP to consider measures to strengthen the monitoring of accredited independent entities' performance
- At JI-AP 19 (August 2009), the JI-AP agreed to recommend to the JISC the current draft for consideration by the JISC, as the version 05 of the JI accreditation procedure

## Main changes in the recommended draft

- Introduction of **regular on-site surveillance**
- Strengthening **spot-checks**, by allowing the JI-AP to recommend spot-checks to the JISC and clarifying some steps in this assessment
- Streamlining **the non-conformity raising/handling process**, by involving the JI-AP at earlier stages in the on-site assessment and the witnessing activities
- Streamlining **the JI-AT reporting process**, by removing the preliminary assessment report
- Reducing **the deadlines** of various steps
- Adding **a flowchart** as an annex that illustrates the detailed steps of the procedure for initial accreditation

## Regular on-site surveillance

- New type of assessment in the accreditation process
- Mandatory assessment of an accredited independent entity (AIE), during its accreditation term, to check whether the entity still meets the accreditation standards
- Carried out for all AIEs, once during their five-year accreditation term
- Include an assessment at the entity's office(s) and/or any other location(s) where JI functions are carried out
- Scope and focus of assessment: determined by the JI-AP in a work plan to be used by the JI-AT

## Regular on-site surveillance

- Scope based on the entity's past assessments:
  - on-site assessment
  - witnessing and ex-post witnessing activities

and information on past determinations and verifications submitted to the JISC

## Regular on-site surveillance

- Conduction process similar to on-site assessment and witnessing activities:
  - JI-AT conducts the assessment and identifies non-conformities (NCs), if any
  - AIE proposes correctives actions (CAs)
  - JI-AT accepts or requests new ones
  - JI-AT submits results to the JI-AP
  - JI-AP consider the case and may change NCs and/or CAs
  - AIE implements CAs
  - JI-AT verifies CAs' implementation
  - JI-AT prepares final assessment report
  - JI-AP reviews the assessment, and makes a decision
  - JISC decides to maintain or suspend AIE's accreditation

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## Spot-check

- Unscheduled assessment determined by the JISC and triggered by information that raises concerns over the AIE's compliance with accreditation standards
- Can be conducted at any time during the five-year accreditation term
- New trigger: JI-AP's recommendation, based on results of ex-post witnessing activities, or changes occurred within the entity
- Spot-check's scope is more elaborated; now includes modalities, possible location(s) and possible specific focus of the assessment

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## Non-conformity raising/handling process

- JI-AP involved earlier in the process
- In the past, it happened that JI-AP had to intervene at the end of the process and change non-conformities and/or corrective actions already implemented
- Now, JI-AT has to submit the accepted corrective actions before their implementation
- JI-AP may request JI-AT and/or entity to take any appropriate action
- Then the process goes on

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