A Experiência da ANSI na realização de projeto piloto para o Processo de Acreditação de GEE

June 12th, Rio de Janeiro - RJ

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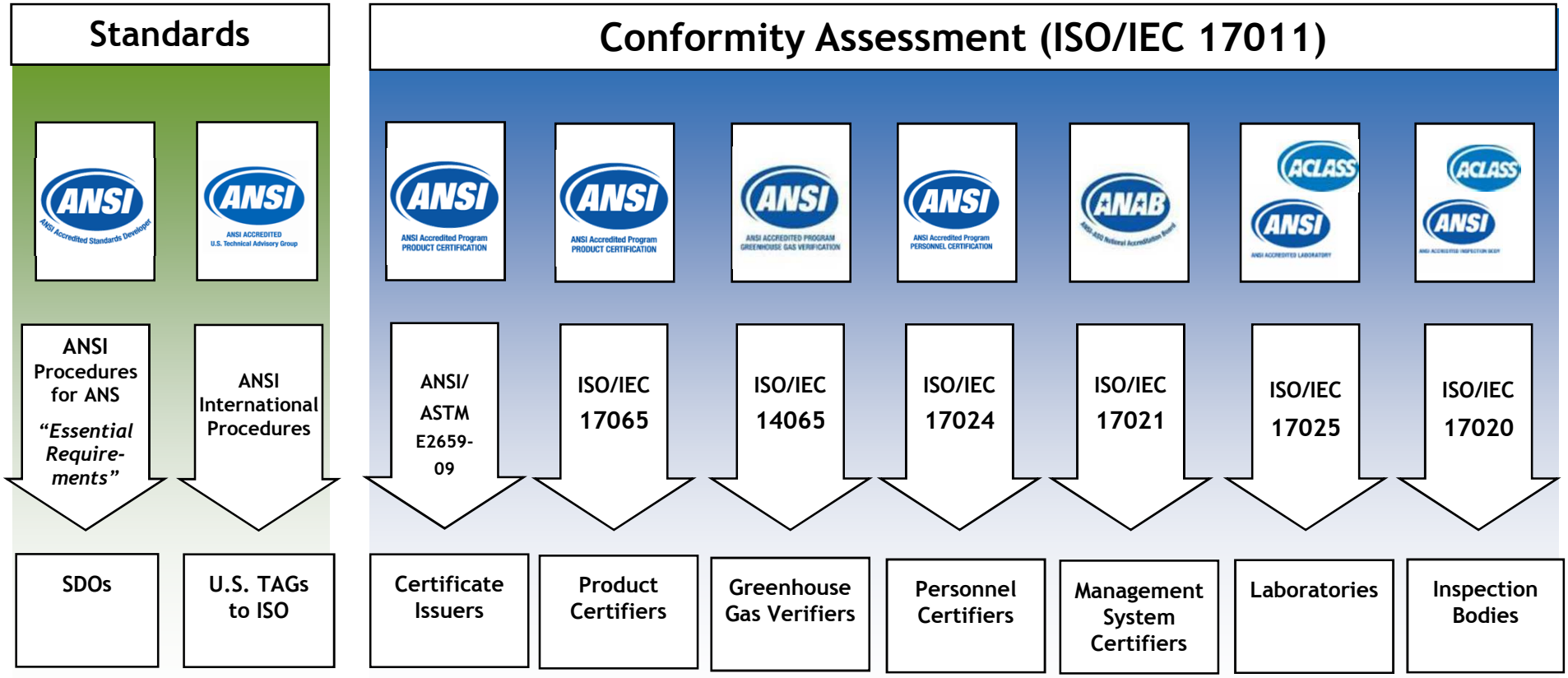
- liaison with groups in Europe,
  Africa and the Middle East
- bilateral agreements with
  other national standards bodies

ANSI's Accreditation Roles



Survey of Stakeholders Regarding ANSI accreditation program for Validation and Verification Bodies of Greenhouse Gas Emissions and Emissions Reductions From Organizations and Projects

Purpose of the Survey

The survey was conducted to obtain input from stakeholders regarding ANSI's implementation of this ANSI accreditation program for Validation and Verification Bodies of GHG emissions

Five groups of Stakeholders

1. GHG Programs and GHG Market Experts
2. Government Agencies
3. Environmental and other Non-Government Organizations
4. Industrial and Commercial Companies
5. Validation and Verification Bodies

Survey Recommendations

The survey concluded with 23 recommendations

1. There not be strict prohibition but be a minimum time period between the providing of GHG consultancy services that support or may have supported the GHG assertion and V/V services after which the V/V body may validate or verify a GHG assertion
2. V/V bodies be accredited within the scopes of a particular GHG program
3. The V/V body shall demonstrate that it has evaluated financial risks associated with its activities and has arrangements (e.g. insurance, reserves) sufficient to cover liabilities arising from the activities and areas in which it operates

Why Accredit GHG Validation/Verification Bodies?

- Harmonize the V/VB accreditation criteria amongst the different GHG programs
- Establish greater trust and transparency in voluntary/mandatory markets
- Ensure impartiality, credibility and competence
- Promote best practices in validation and verification of GHG assertions

Pilot Accreditation Program Procedure – PR-101

- **1 Objective**

The objective of this procedure is to define the process, develop the criteria, and develop the terms of reference, for the evaluation and implementation of any new ANSI Accreditation Program.

- PILOT ACCREDITATION PROGRAM: an accreditation of applicants processed as a group planned as a test or trial within a specified timeframe with the objective of launching a future program offering.

- SCHEME / PROGRAM: a conformity assessment system related to specified objects of conformity assessment, to which the same specified requirements, specific rules and procedures apply
- SCHEME / PROGRAM OWNER: organization or group of principals who develop a proprietary, recognized scheme (or system) that governs a defined area of activity or industry.

- The objectives of the Pilot Accreditation Program are to:

a) develop the necessary procedures and competence to enable ANSI to offer initial accreditation to CABs applying for accreditation related to a new field or new certification program(s). A Pilot Accreditation Program is NOT established for a single CAB;

(Use ISO 9001 - Some Clauses)

- The objectives of the Pilot Accreditation Program are to:

b) determine the criteria and process for granting accreditation

c) define the processes that applicants will follow in applying for the pilot program accreditation

d) develop specific procedures that will be followed by ANSI staff, assessment teams, and the Accreditation Committee

- The objectives of the Pilot Accreditation Program are to:

e) identify, recruit, and train ANSI staff and contracted Lead Assessors/Technical Assessors for assessment and accreditation committee members of specific pilot program(s);

f) identify consultants to support ANSI staff as needed;

- The objectives of the Pilot Accreditation Program are to:

g) request the accreditation committee to create a task group to support ANSI staff

h) determine the most challenging issues encountered by applicants in completing the application (both in terms of content, organization of tasks, and logistics), by assessors, and by Accreditation C. members in reviewing applications and making accreditation decisions;

Pilot Accreditation Program

- ANSI shall define an initial date and a completion date
- Scopes of the Pilot Accreditation Program
- These dates shall be defined by ANSI in consultation with the scheme owner, if applicable
- ANSI reserves the right to change the initial date and the completion date of the pilot phase

Pilot Accreditation Program

- ANSI will make a public announcement of the Pilot Accreditation Program

1. Standards Actions
2. Website

Terms and Conditions of Pilot Accreditation Programs

- **Applicant**
  - Submit application with documents
  - Sign Agreement
  - Participate in the meeting with ANSI Staff Prior to start the Assessment process

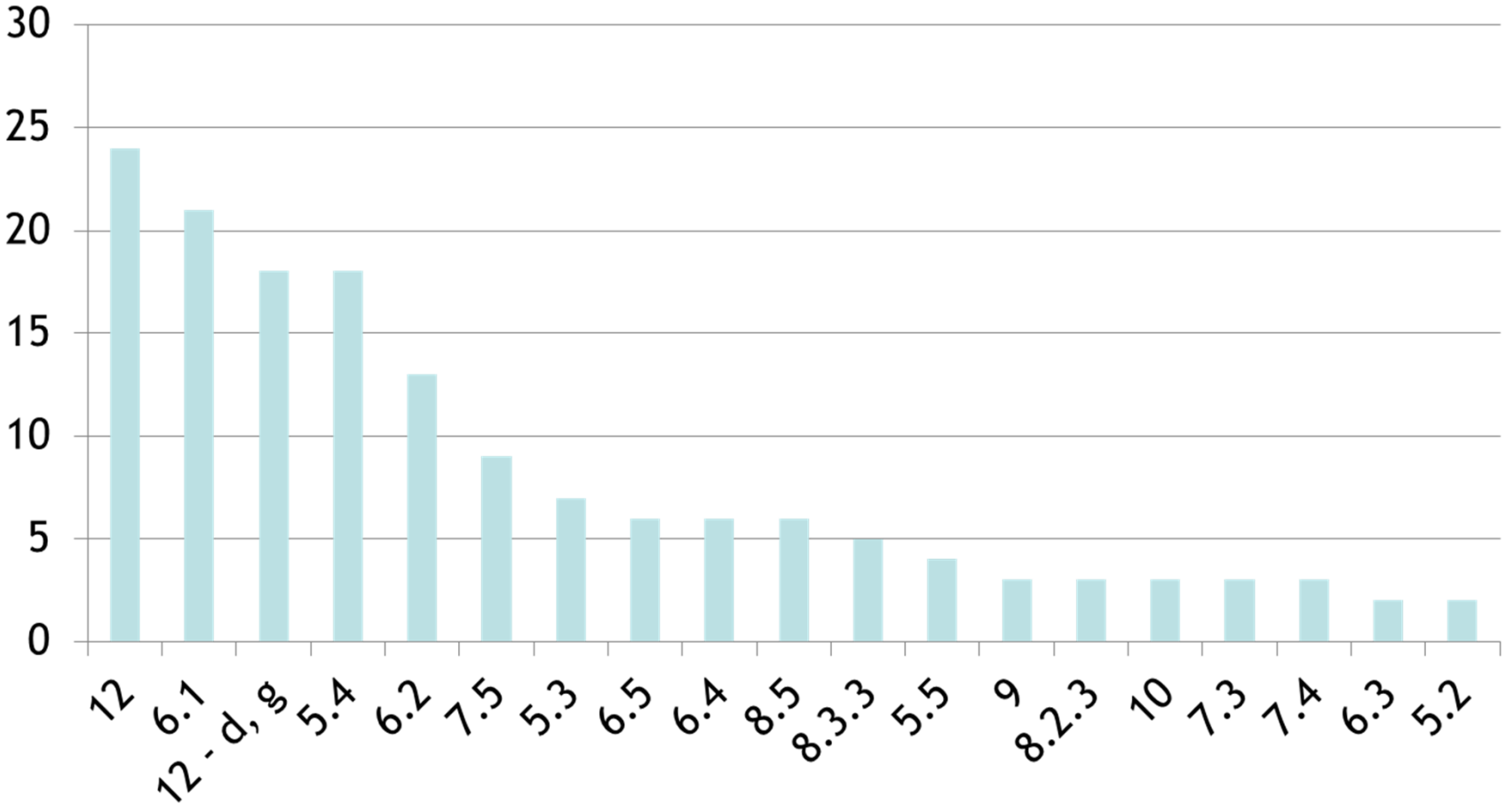
Personal

- Identify Consultant
- Train Lead and Technical Assessors
- Accreditation Committee members

Problem Areas for Applicants

- Management System
- Personnel Competency
- Duties, responsibilities, and authorities have not been documented
- Management of impartiality and COI
- Communication with clients
- Elements of 14064-3 in the verification and Validation plan

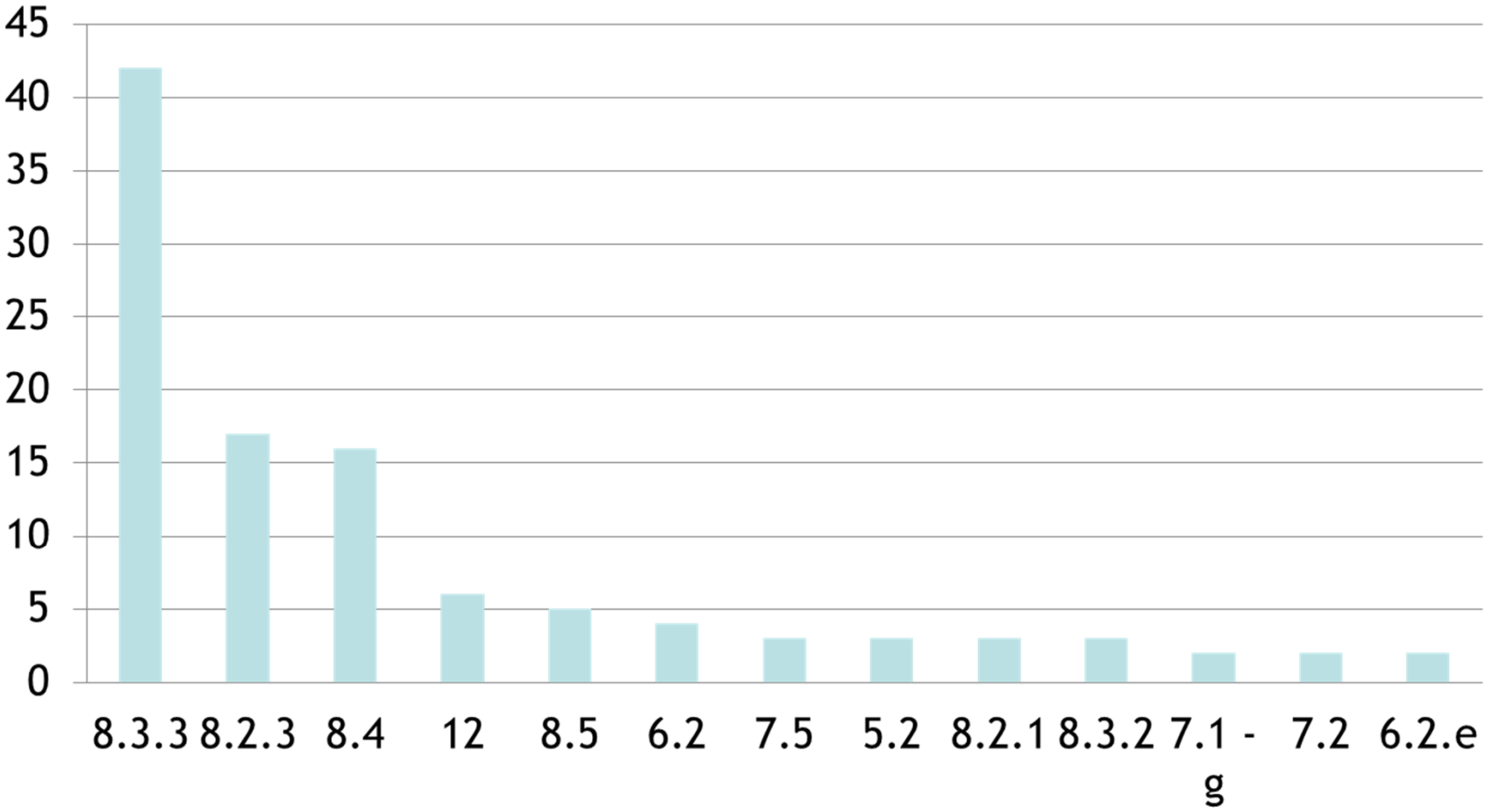
NCRs – Initial Assessment



NCRs – Initial Assessment

- Section 12 – especially clause d and g
- Section 6
  - no procedure for determining the required competencies for each sector in which it operates (6.1, a)
  - No documentation of competence as per written procedure (6.5)
- Section 5.4 – process as defined is not implemented; process as defined is insufficient as per 5.4.1 d
- Section 8 – especially 8.3.3

NCRs – Witness Assessments



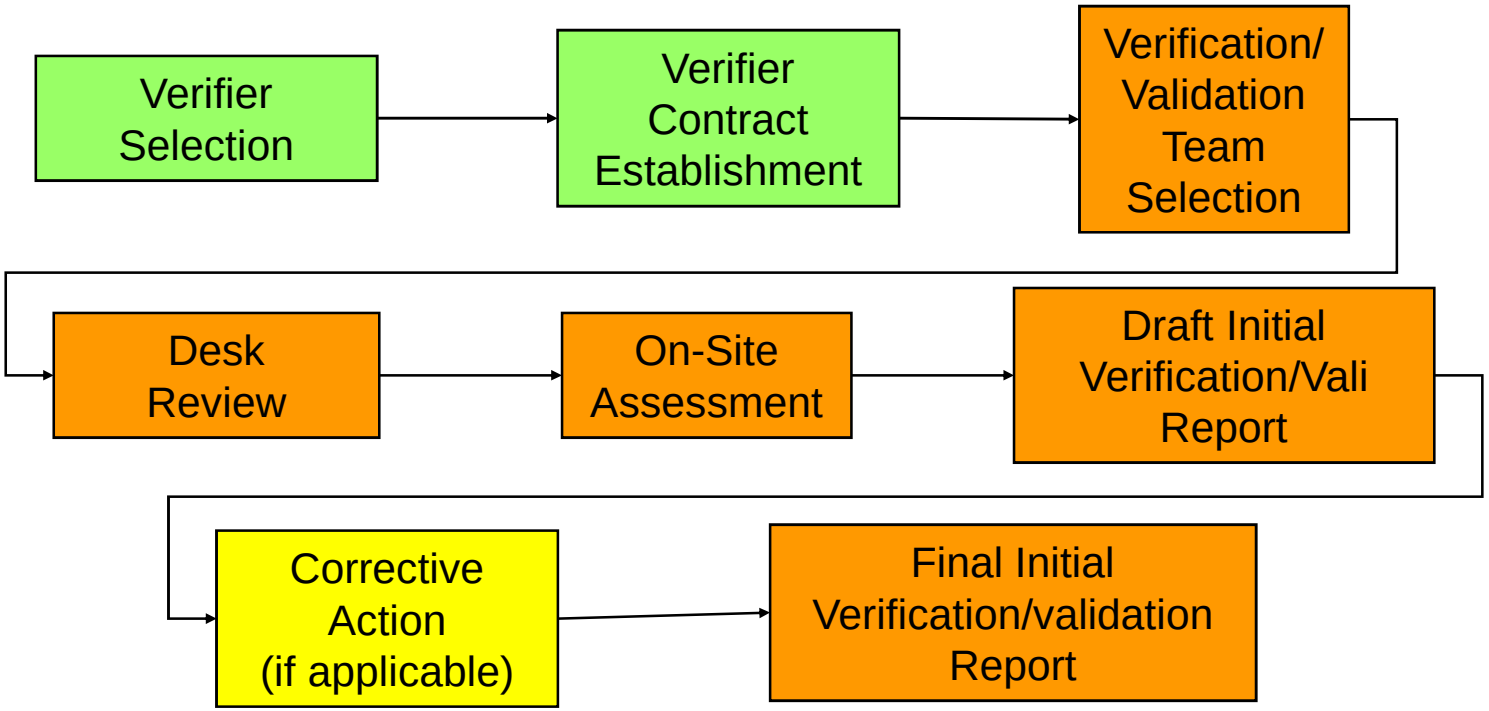
NCRs – Witness Assessments

- 8.3.3 – no review of responsible party's GHG information; sampling doesn't cover scope; team leader did not approve the plan; no evidence of risk-based approach
- 8.2.3 – no contract, contract doesn't include elements of 4.3 (this clause revised in 14065:2012)
- 8.4 VB did not assess all potential errors, omissions, misrepresentations

Witness Assessment

- Witness assessments
  - Because of the nature of witness assessments, investigative methods are limited to primarily observation.
  - To evaluate process effectiveness, the assessor should focus on the following:
    - Are VVB procedures and GHG protocols being followed?
    - Does the VV team understand the protocols?
    - Is the sample plan adequate? (number of sites visited, risk assessment, types of samples, scope)
    - Is the VV team looking at adequate evidence to support conclusions?

Process of verification – this will be evaluated during the ANSI witness assessment



Top Areas for NCRs (Witness Assessment)

- Section 8 – (8.3.3, 8.4 and 8.5) Planning, Validation and Verification and Review and issuance of statement
- Section 12 – Management System
- Section 6.1 and 6.2 - Competence
- Section 8.2.3 – Contracts
- 5.4.1, 5.4.2, and 5.4.3 – Impartiality
- Section 7.1 – Communication to the client

Feedback and Lessons Learned from pilot

- Verification Bodies must strengthen their management system to ensure consistent, high-quality services
- Availability of GHG program reporters for the purpose of ANSI witness assessment
- ANSI and GHG programs must coordinate to ensure organized, clear, and consistent communication with the V/VBs and provide clear expectations of the accreditation process, including the ANSI application and required documentation

Review meeting with Accredited CAB Participants of the Pilot program

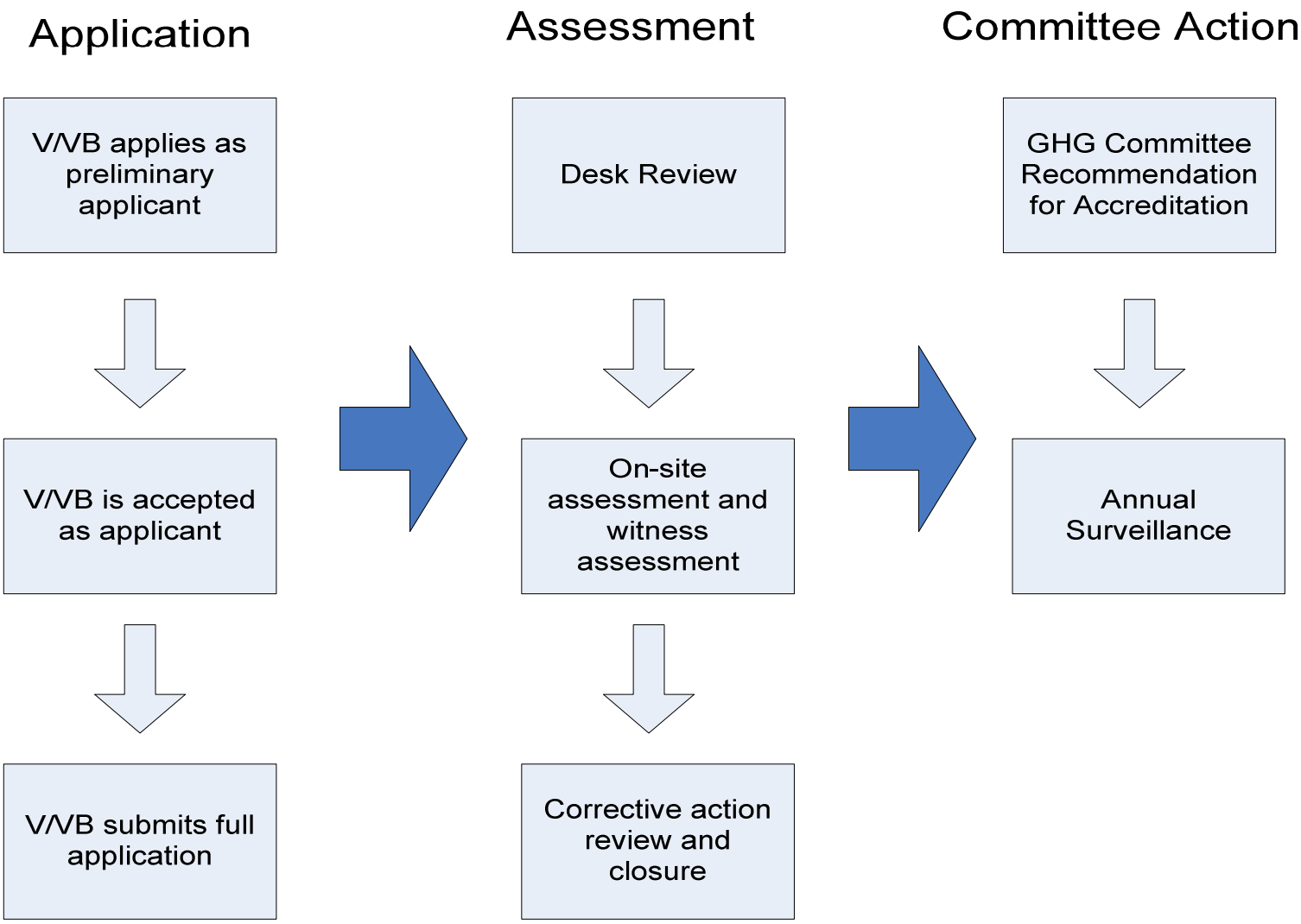
- **Applicant**
  - which parts of the accreditation requirements are the most difficult to comply with? Why?

    Sign Agreement
  - what Procedures materials did CAB have to create that they did not already have?

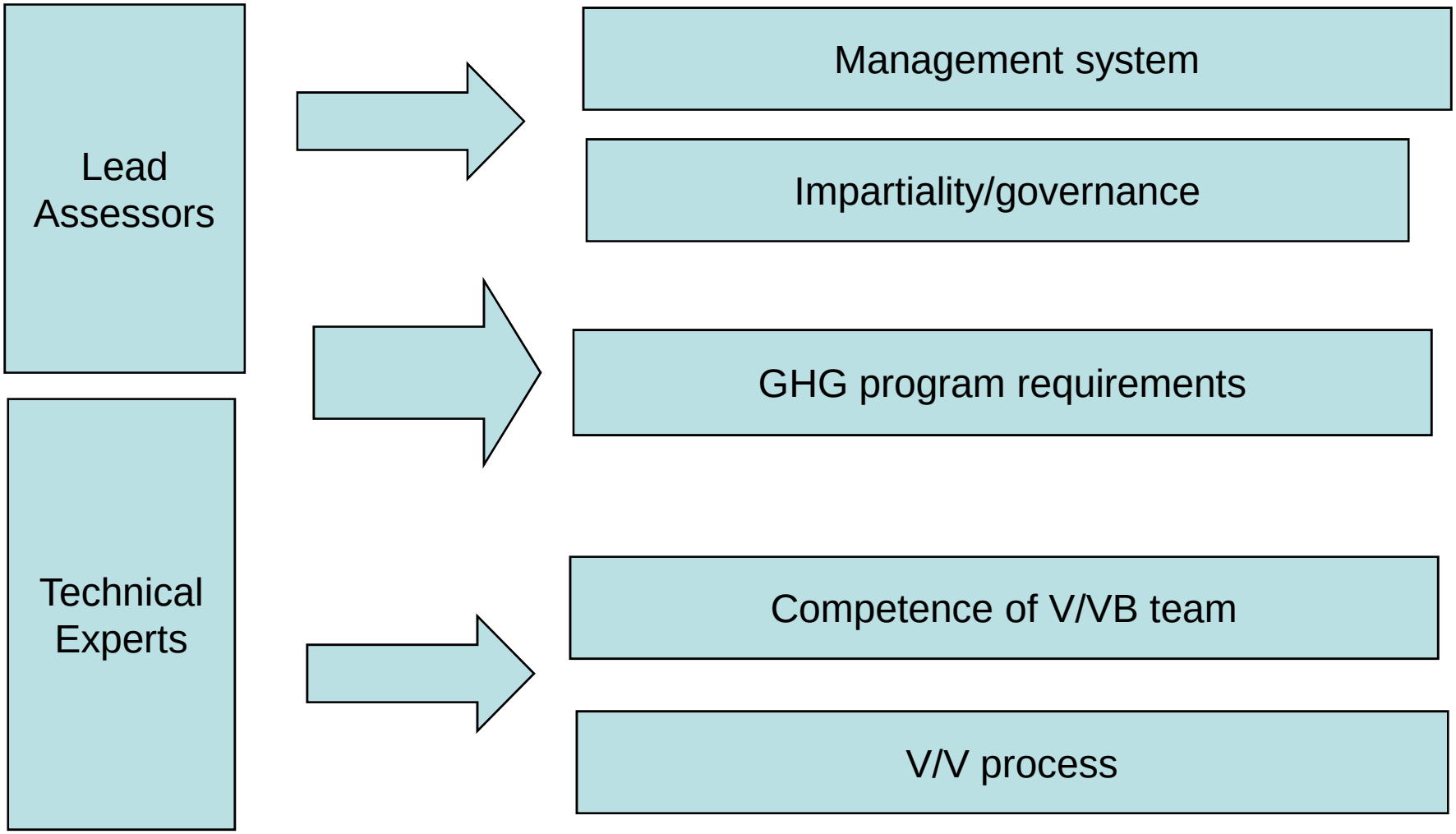
ANSI

- how can the process be improved?
- were timelines appropriate?

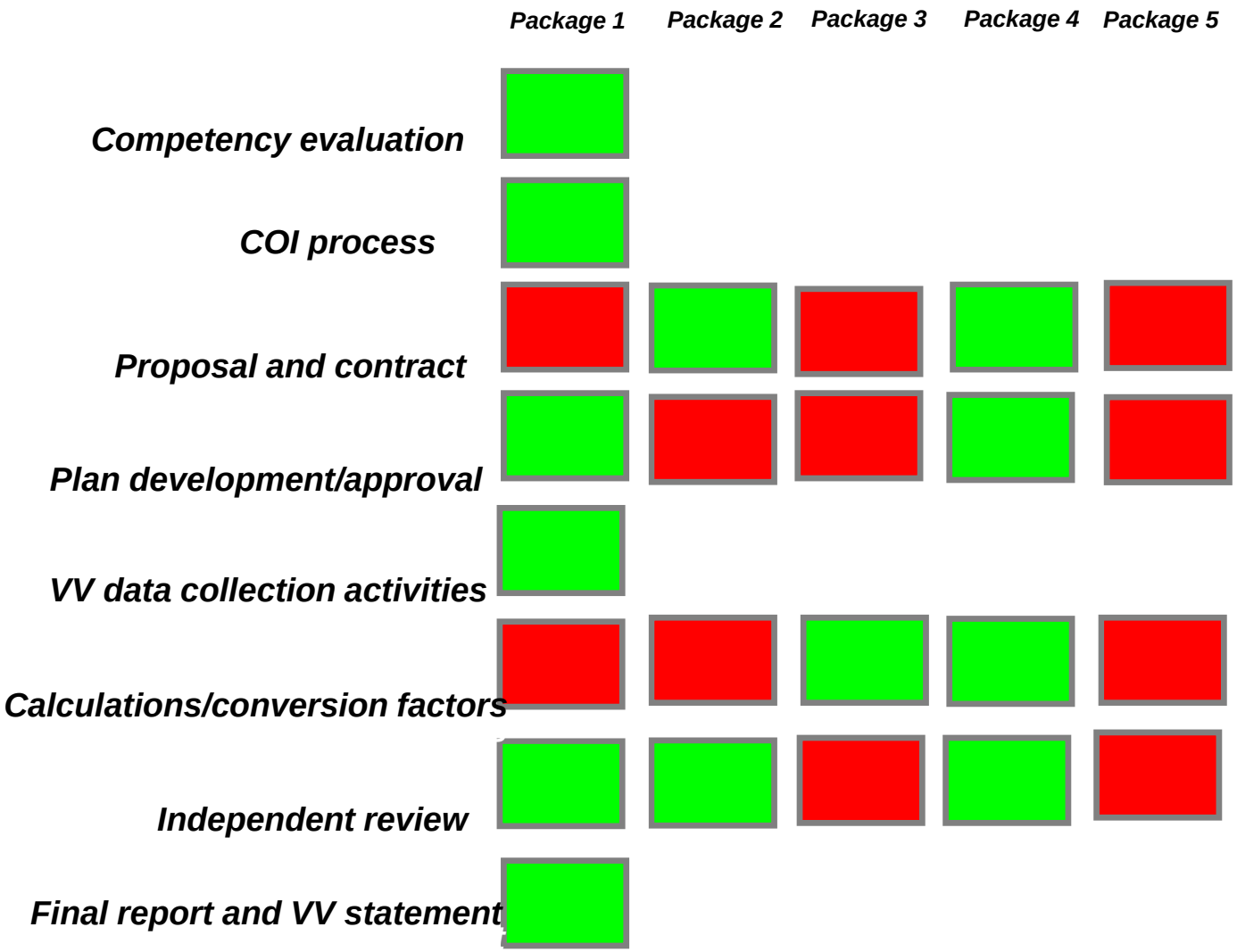
comments on ANSI staff interaction with the applicant


Application
Assessment
Committee Action
V/VB applies as preliminary applicant
V/VB is accepted as applicant
V/VB submits full application
Desk Review
On-site assessment and witness assessment
Corrective action review and closure
GHG Committee Recommendation for Accreditation
Annual Surveillance

Roles of Lead Assessors and Technical Experts



Example of Technical Assessor Review



Accreditation

- Note that confidence in the VVB's accreditation is based on sampling
- This sampling relies on:
  - Defined controls for VVB processes
  - Confidence that the VVB follows its documented procedures
  - Confidence that the VVB performs critical self-checks (internal audits, management reviews, and oversight of impartiality) and fixes problems (corrective and preventive action processes)

GHG Emission Reporting Requirements

- **ISO 14065 -** details requirements for GHG validation and verification bodies for use in **accreditation** or other forms of recognition. This International standard specifies principles and requirements for bodies that undertake validation and verification of GHG assertions.
- **ISO 14064-3** details principles and requirements for verifying GHG inventories and validating /verifying GHG projects

NOTE – ISO 14065 is GHG program neutral. If a GHG program is applicable, the requirements of the GHG program are additional to the requirements of this international standard.

ANSI GHG Accreditation Program Requirements

- ISO/IEC 17011: 2004
- ISO 14065: 2007
- ISO 14064-3:2006
- ISO 14064-1 and ISO 14064-2/GHG Program Requirements (e.g. VCS, TCR, CAR, Ontario - Canada)
- IAF Mandatory Document for the Application of ISO 14065:2007

Some examples of additional GHG program requirements for V/VBs

- Knowledge of specific GHG program/registry requirements (e.g materiality threseholds, additionality tests, etc)
- Compliance with additional COI requirements and specified forms
- Liability and insurance coverage required by programs
- Required training and verification team qualifications and composition
- Reporting periods and number of years that a V/VB can work with a specific reporter
- Data retention requirements associated with verification reports

AB Methods for Assessment of V/VB Competence – Witness Assessment Preparation

- ANSI requires applicant V/VBs to fill out a form in order to request a witness assessment
- Information required to ANSI assessment team no later than two weeks before witness assessment:
  - Details of the type of activity to be witnessed
  - Evidence that the validation/verification was reviewed for impartiality and COI
  - Evidence that the V/VB communicated the process and requirements to the client, notified them of the team, etc.
  - Detailed schedule of validation/verification activities
  - Validation (PDD, Evidence that the project has been approved and meets the relevant criteria)
  - Validation/Verification Plan
  - Sampling Plan (including evidence that risk

AB Methods for Assessment of V/VB Competence – Witness Assessment

- The technical Assessor will look for:
  - Evidence that the V/V team follows their own procedures as well as the plan that was sent to the client
  - Evidence that the V/V team has the appropriate technical expertise to carry out the activities (including use of technical experts)
  - Evidence that the V/V team understands the specific GHG program criteria
  - Evidence that the V/V team has adequate auditing experience to effectively carry out the V/V activities
  - Observation to assess that the V/V team checks all applicable GHG sources, sinks, reservoirs and associated monitoring reports/records – ALSO time management!

AB Methods for Assessment of V/VB Competence – On-site Assessment

- Interviews with V/V team members to assess competency
- Review of training records, mechanism for evaluation of V/V team competencies, up to date qualifications, evidence of fulfillment of training requirements
- Review actual validation/verification contracts, SOW, verification plans, and associated records in order to confirm that the V/VB is following its own process for the assembly and deployment of V/V teams, peer review process. THIS IS IMPORTANT

Interpretive issues with personnel competencies – lessons from ANSI

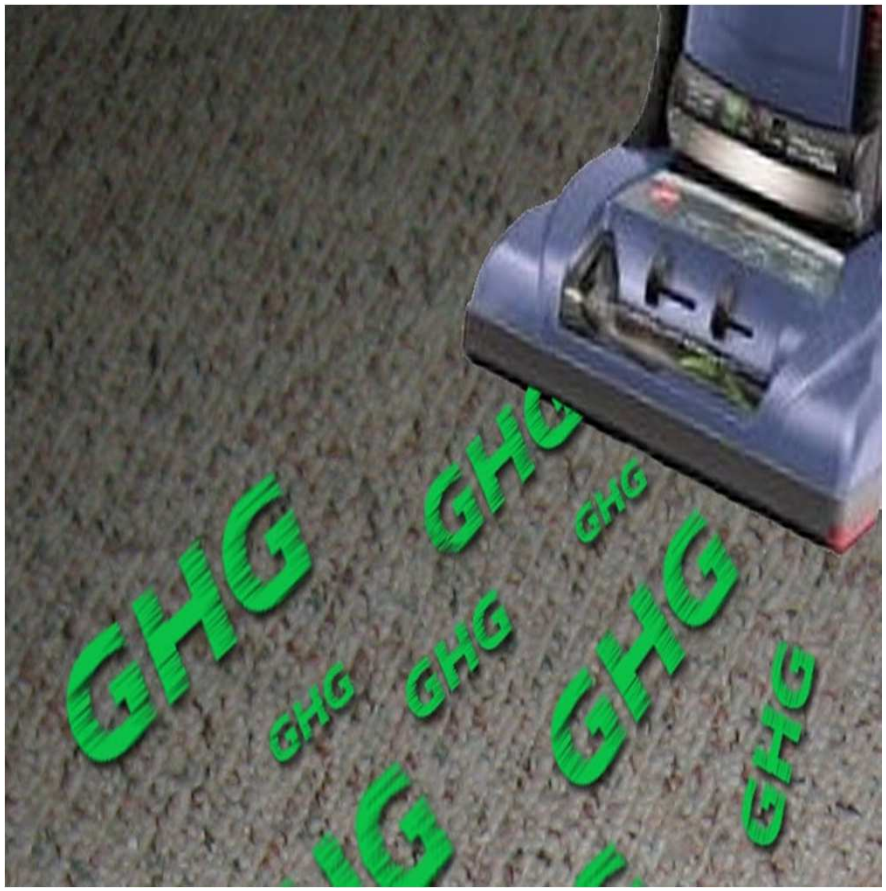
- What is the minimum level of experience?
- What if a verifier has no practical verification experience?
- Qualifications of the Peer Reviewer (team leader)?
- Can the Peer Review be outsourced?

….it is the combination of all the assessment activities that will determine competence. For example, lack of experience is a trigger point to look at other issues. But following witness assessment, on-site assessment if the combined evidence does not exist for lack of competence…there is no NCR.

Scopes of accreditation

1 – General	Level 1
2 – Manufacturing	Level 2
3 – Power Generation	Level 2
4 – Electric power transactions	Witness is Required
5 - Mining and Mineral production	Level 3
6 - Metals production	Level 3
7 – Chemical production	Level 3
8 – Oil and gas extraction, production and refining including petrochemicals	Level 3
9 – Waste	Level 3
10 – Agriculture, Forestry and Other Land Use	Witness is Required

Committee – GVAC (GHG Validation/Verification Accreditation Committee)

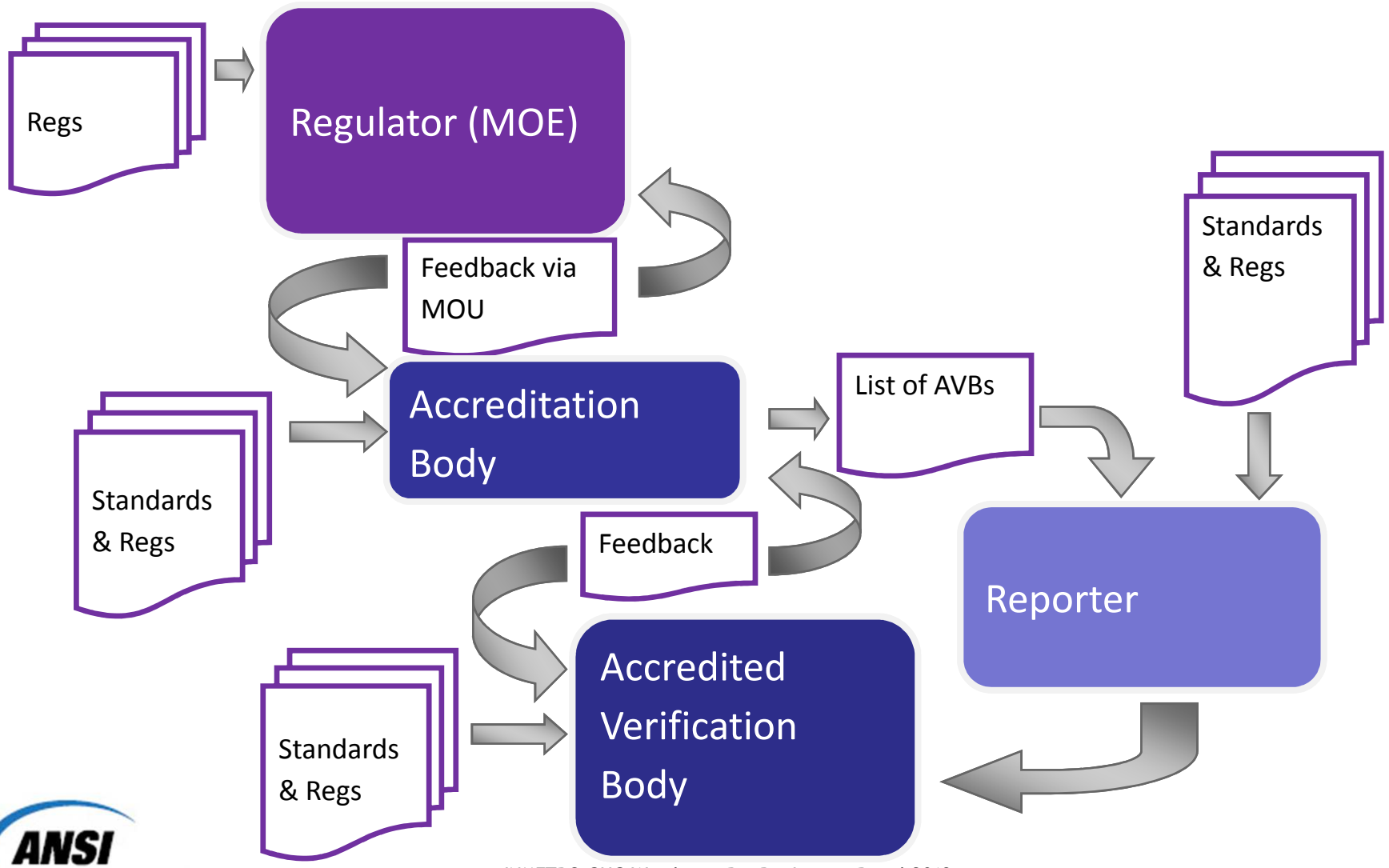


GVAC is the ANSI Program committee responsible for the GHG program. Members include representatives from regional GHG registries, VVBs, and programs such as California Air Resource Board, The Climate Registry, Climate Action Reserve, Verified Carbon Standard, B.C. MOE, DOE, etc.

Recognition

- American Carbon Register
- Brazil – State of Rio de Janeiro – Article 8 of Resolution number INEA 64
- Canadian Provinces - British Columbia, Quebec, Ontario
- Carbon Action Reserve – CAR
- CarbonFix
- Israel
  - Subsidies Program for GHG Emission Reduction Investments
  - Voluntary GHG Reporting Program
- Massachusetts GHG Reporting Program
- Verified Carbon Standards VCS
- Regional Greenhouse Gas Registry - RGGI

Roles & Responsibilities



Accreditation Programs (operating and under development)

Status of known accreditation programs

In Operation	Belgium, Austria, France, Denmark, Germany, Spain, Greece, Finland, Ireland, Norway, Holland, Switzerland, Canada, Korea, Estonia, Sweden, United States, Japan, Taiwan, The Netherlands, Czech Republic, UNFCCC (Germany), United Kingdom, Australia & New Zealand, Mexico, Slovenia, State of California
Under development	Republic of South Africa, Thailand, Brazil, Indonesia, Vietnam, China, Peru, India, Ecuador, Turkey, Hong Kong, Italy, Costa Rica, India
Under consideration	Bolivia, Argentina, Columbia, Philippines, Singapore, Sri Lanka, Malaysia, Papa New Guini

Status of ANSI GHG Program

- 25 Accredited VVBs
- 6 Applicants in process

https://www.ansica.org/wwwversion2/outside/GHGgeneral.asp?menuID=200

Conclusions

- Accredited third party verification is becoming the norm in both voluntary and mandatory carbon markets and is essential to providing integrity to developing markets
- ABs must work to create programs capable of keeping up with a rapidly changing field
- ABs to accredited Validation and Verification Bodies
- Qualification of AB assessors are key
- Soon – verification will become the norm for other environmental related claims – carbon foot printing of products, processes, water conservation, etc.






for more information

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