

**Annex 12****CDM EXECUTIVE BOARD  
STATUS OF IMPLEMENTATION OF THE 2009 CDM-MAP  
REPORTING PERIOD 1 JANUARY TO 31 AUGUST 2009****I. EXECUTIVE SUMMARY**

1. The aim of this report is to provide an update of the activities that have been undertaken, towards the achievement of the four strategic objectives for 2009, as listed in the CDM Management Plan (CDM-MAP) for 2009 (paragraph 25).

2. In order to effectively achieve these strategic objectives, the CDM-MAP provides 16 operational objectives which are divided into focal areas (Accreditation, Registration & Issuance, Methodologies, Quality and Information System, Coordination and Public Information). This report indicates the status of implementation of the activities that have been undertaken towards the achievements of the operational objectives of the focal areas.

3. In addition, this report provides a status report on financial activities and recruitment of human resources to assist the secretariat in supporting the work of the CDM Executive Board. The budget performance analysis highlights that financial resources are available for the CDM to carry out its activities in the remaining part of 2009. It is noted that the level of expenditure in 2009 is lower than expected after the first eight months of the year. This is largely due to delays in the recruitment of new staff. The causes for such delays are discussed in the main body of the report, but recent improvements in the recruitment process seems to suggest that the overall expenditure rate will increase by the end of the year.

4. Report shows that total average monthly revenue for 2009 (USD 2.9 million) was considerably lower than estimated monthly revenue in the 2009 CDM-MAP (USD 3.75 million). In particular, revenues from registration fees are lower than the same period in 2008, due to differences in the sizes of projects submitted for registration, rather than the absolute number of projects.

5. In the reporting period, the CDM Executive Board instituted, in collaboration with the secretariat, several mechanisms to enhance the efficiency of the CDM, improve transparency, and enhance the communication with CDM stakeholders. In recognition of the mandates from CMP.4, as contained in Decision 2/CMP.4, the Board regularly considers, at each meeting, updates on the status of implementation of the CMP mandates.

6. The highlights of some notable achievements and the activities implemented by the CDM Executive Board, in collaboration with its support structure, including the support of the secretariat, include:

- (a) Successfully organizing the CDM Joint Workshop and the DNA Forum, back to back, in April;
- (b) The adoption of the CDM Accreditation standards and the revised Accreditation Procedure, including the decision by the Board to streamline the accreditation process;
- (c) Development of several sets of tools and guidances to improve the quality and the consistency of approved methodologies;



- (d) Embarking on an exercise to map and document the processes conducted across the sustainable development mechanisms (SDM) programme. This process mapping and documentation exercise will form the basis of further refining a quality management system (QMS) and implementation plan that are under preparation by the secretariat;
- (e) The secretariat is engaging an external consultancy to carry out an analysis of the support it provides to the project-based mechanism, with a view of making recommendations on ways to improve the secretariat support to the regulatory Bodies.

## II. ACTIVITY HIGHLIGHTS

7. This section of the report highlights the activities undertaken by the Board and the secretariat in order to realize the operational objectives set out in the 2009 CDM Management Plan.

8. Since a new organizational structure was approved by the Executive Secretary for the Sustainable Development Mechanisms (SDM) Programme and implemented since 1 April 2009, the reporting below does not have the same attributions to the operational units as in the CDM Management Plan 2009 (Version 01). However, to facilitate easy cross referencing to the CDM-MAP, the same sequential order of the objectives are maintained in this report to the extent possible.

### A. Streamlining the accreditation process, including the objective to address the shortage of DOEs in the market.

9. The Board adopted the “CDM Accreditation Standard for Operational Entities” and the revised Procedure for Accrediting Operational Entities for immediate implementation, including granting of accreditation on the basis of on-site assessment and introduction of performance assessments throughout the accreditation cycle. We now have a total number of 27 DOEs.

10. During the reporting period, the Board accredited 11 new AEs, including 10 accredited at EB 46 in line with EB 42 and EB 43 decisions on streamlining of the accreditation process; 3 new AEs were attracted to apply for accreditation; and a further 3 organizations have expressed their intention to apply shortly.

### B. Monitoring and Strengthening the performance of DOEs

11. This is a continuous objective and several activities have been put in place such as:

- (a) Two spot checks were performed on DOEs;
- (b) Three (3) Performance assessments were carried out;
- (c) The process of analysis of the performance of DOEs has begun, and updates and feedback on trends will be provided regularly to the Board for consideration;
- (d) Work has been initiated on a policy framework to monitor performance of DOEs in a systematic manner;
- (e) As part of the VVM implementation plan, four workshops focused on the contents of the VVM, and targeting auditors of DOEs and AEs, have been scheduled and are being prepared;
- (f) Consideration of 490 cases of requests for registration, 256 registration requests for review, 104 registration review cases, 388 requests for issuance, 99 requests for revision



of monitoring plan, 72 requests for deviation, 34 proposed new large scale methodologies, 26 requests for revision of large scale methodologies, 29 requests for clarifications, 10 requests for deviation, 13 proposed new Small Scale (SSC) methodologies, 25 requests for revision of SSC methodologies, 48 requests for clarification relating to SSC methodologies, 3 requests for deviations from approved SSC methodologies; 1 proposed new Afforestation and Reforestation (A/R) methodologies, 2 requests for revision, 2 requests for clarification relating to A/R methodologies, 11 new Applicant Entities (AEs), 2 spot checks, and 3 performance assessments;

- (g) Processing of a total of 1708 transactions, by the CDM Registry, during the period covered in this report.

### **C. Ensuring methodologies and tools are user friendly**

12. A call for public inputs has been launched on the no/low use of methodologies. The responses received are used as input to a study that will be presented to EB49 for consideration. The study on key priority emission sectors and type of project activities for which no or very few methodologies are available, will assist the Board in addressing the important issue of regional distribution.

13. Work has begun to identify and develop a set of relevant and measurable indicators for monitoring the usability of approved methodologies, as well as, actions for the improvement of the usability.

14. The following tools and guidances have been developed to improve the quality and the consistency of the approved methodologies:

- (a) Tool to determine the mass flow of GHG in a gaseous stream;
- (b) Tool to determine the baseline efficiency of thermal or electric energy generation system;
- (c) Guideline for the reporting and validation of plant load factor;
- (d) Guideline to calculate the fraction of methane in the landfill gas from periodical measurements;
- (e) General guidelines on sampling and surveys;
- (f) Guidance on expansion of industrial gas recovery methodologies to new facilities;
- (g) Tool to estimate changes in the carbon stock of existing trees and shrubs within the boundary of an A/R CDM project activity;
- (h) Guidance to calculate adipic acid production in case it cannot be measured directly.

15. The revision of ACM0006 through a deconsolidation to increase its usability had begun and is expected to be finalized by the end of the year.

### **D. Enhancing the efficiency of the decision making process in relation to Methodologies**

16. A broad study on the timelines for all elements of the methodology approval process, including those related to requests for revision, and clarification has been carried-out and the outcome will be presented to EB 49.



17. The flowcharts of all Methodologies related processes have been finalized, and the workflows associated with all processes are being prepared.

18. During the period under review (01 January to 31 August), the Meth Panel: received 34 proposed new large scale methodologies; recommended 12 methodologies to the Board for approval; considered 26 requests for revision of large scale methodologies; 29 requests for clarification; 10 requests for deviation; and on 18 tasks assigned by the Board, including requests emanating from CMP mandates.

19. In the same period the Small Scale Working Group (SSC WG), considered 13 proposed new SSC methodologies; 25 requests for revision of SSC methodologies; 48 requests for clarification; 3 requests for deviation; and worked on 2 requests from the Board relating to the mandates from CMP.4. The SSC WG also worked on 10 cross-cutting issues.

20. The Afforestation and Reforestation Working Group (A/R WG) considered one proposed new SSC A/R methodologies; 2 requests for revision; 2 requests for clarification; and one CMP-related requests from the Board.

#### **E. Ensuring transparency and improving communication**

21. In pursuit of this objective, the process of dialogue and interaction with methodology developers has been enhanced and improved. Examples of these interactions during the period under review include meetings and/or telephone conference with, inter alia, Policy solutions, Sindicatum carbon capital, GGFR of the World Bank, Carbon Limits, Solvi, Climate Change Capital, South Pole Carbon Asset Management, SouthSouthNorth, Perspectives and Project Developers Forum.

#### **F. Establishment of a Quality Management System (QMS)**

22. The exercise to map and document the processes conducted across SDM has been aligned to provide a key basis for building and operating the QMS. The preparation of a QMS design and implementation plan is underway and will be further refined on the basis of the process mapping and documentation.

23. There is ongoing work on performance and management-level indicators, under which initial sets of indicators have been developed and work to ensure the accurate measurement of data has commenced.

#### **G. Manage the transition into a centralized IT governance structure**

24. The SDM programme has engaged in series of discussions with the designated centre of the upcoming IT governance structure on a managerial level. Achievements so far include the agreement on the risk register. Discussions are on-going with next steps being financial and staff arrangements, and time planning.

#### **H. Special projects**

25. Reference implementation of the data exchange standards, etc.: A thorough needs analysis has been conducted, including a workshop with key stakeholders (DOEs/BPM software vendors).

26. Deploy an online Customer Relationship Management (CRM) System or Self-Service FAQ System: in cooperation with secretariat IS, work is progressing on a web-based logging, forwarding, tracking and filing system for CDM Info queries. A draft FAQ page has been developed and submitted for review by CDM Managers. Questions will be added to the draft by the end of August and the page reworked in time for a late September launch.



27. Development and implementation of new systems and other projects, including: the implementation of the accreditation subsystem, handing over of the EB meeting support software to operations, prototyping the CMP mandate tracking follow-up system and MoC system. Other projects include on-going improvements in R&I, Meth and cross-cutting systems in accordance with changes in, and additions to, business processes requested by EB.

#### **I. Ensure timely action in all steps relating to Registration and Issuance**

28. **Registration:** Against an annual projection of 1000 requests for registration, 490 registration requests were received and 405 have been published. During the same period, 439 projects were registered, out of which 136 projects were registered automatically. Against an annual projection of total 800 request for review and review cases for registration, 256 requests for review and 104 review cases were also processed (total 360). A total of 29 projects were rejected and 8 were withdrawn.

29. **Issuance:** Against an annual projection of 800 requests for issuance, 388 requests for issuance were received, of which 292 requests have been published (75,861,384 CERs). During the same period, against an annual projection 100 requests for revision of monitoring plan and 80 requests for deviation, 99 requests for revision of monitoring plan and 72 requests for deviation were received.

30. Revised procedures relating to requests for deviation and revision of monitoring plan have been prepared and submitted to the Board for consideration at EB 49.

#### **J. Enhance the public availability of the rationales for the Executive Board's specific decisions**

31. The approved 2009 CDM-MAP did not include additional resources for this task. However, work has been progressing on improvement of the transparency of the Board in its decision on registration and issuance cases, where references to the requirements that have not been complied with and descriptions of how the requirements have not been met are being incorporated. Additional specialist expertise and capacity for carrying out this important task has been recruited and expected to begin work (in September), as a matter of high priority.

#### **K. Implement systematic performance monitoring of DOEs**

32. Intensive preparatory work by the secretariat using inputs from the perspectives of accreditation, registration and issuance has produced a recommended framework for the DOE performance. This will be presented to the Board and its input sought at EB 49.

33. An internal project team will now focus on identifying a number of key areas to assess the performance of the DOEs related to each process and associated indicators, from the data already being captured and making these available in a suitable format.

#### **L. Enhance the regional and subregional distribution of CDM project activities**

34. In pursuance of its coordination role of the DNA Forum and the Nairobi Framework, the secretariat supported: the organisation of the seventh DNA Forum meeting in April 2008 which was held back-to-back with the annual CDM Joint Workshop with about 150 participants; the first sub-regional DNA meeting for the Caribbean region in Grenada, which was focused on highlighting the challenges in the region; and the organizing of the Eighth DNA Forum to be held in October 2009 in Singapore in parallel with the Carbon Forum Asia.



35. Two agencies, UNITAR and UNCTAD, recently joined the Nairobi Framework initiative aimed at assisting developing countries to improve their level of participation in the CDM. The secretariat supports the framework by facilitating the activities of the partner agencies and their participation in CDM stakeholder events, DNA Forum and CDM Joint Workshop.

36. A call for input to the DNAs was launched in order to seek input from the DNAs on how to streamline the CDM process in countries with fewer than 10 registered projects, in particular in least developed countries, small island developing States and Africa. The secretariat is preparing a draft recommendation on this issue for the Board's consideration at its upcoming meetings.

37. Other activities by the secretariat related to this operational objective include: organizing a side event on regional distribution at the June Session of the Subsidiary Bodies; and continuing to manage the CDM Bazaar in cooperation with UNEP RISOE.

#### **M. Good governance**

38. In ensuring that CMP requests to the Board and the secretariat are implemented in a timely manner, an updated status on implementation of the CMP work plan is prepared by the secretariat and regularly reviewed by the Board at alternate meetings, forming the basis of monitoring the progress of work mandated by the CMP.

39. The secretariat has updated the Board on the status of resources at each Board meeting and made publicly available, information on CDM resources, as annex to the EB report. The secretariat has consistently tracked income and expenditures against the approved budget.

40. Coordination of the CDM related work, including the responsibility of supporting the Board and the CDM processes, continues throughout the period under review. In particular, the secretariat regularly briefed the chair before each Board meeting on the issues on the agenda and provided Board members with timely draft decision-making documents (policy or case related). The secretariat also supported the Chair and EB members during and in between meeting by providing inputs and guidance as required.

#### **N. Improve the efficiency of the operation of the CDM**

41. The Board, with the support of the secretariat, is making progress in its consideration of the strategic improvements to the efficiency of the CDM operation referred to in decision 2/CMP.4, including through call for public input and the holding of two Board retreats (11-12 July and 5-6 September 2009), to consider inputs received from CDM stakeholders. The annual report of the Board to the CMP, to be finalized at EB 50, will include actions that the Board is implementing in this regard and recommendations for guidance to be provided by the CMP.

42. The secretariat is undertaking an internal analysis of the support it provides to the project-based mechanisms, including the mapping and documentation of processes conducted across SDM; the first stage of this work is expected to be completed this year and feed into the review by an external consultancy of the support provided by SDM.

43. Work has been undertaken to implement the recommendations made by the audit of the UNFCCC arrangements for the implementation of the CDM, as carried out by the UN Office of Internal Oversight Services (OIOS) and reported in December 2008. This includes the identification and mitigation of potential risks facing the secretariat's support to the CDM and to integrate these further within the management of the SDM programme.



### **O. Transparency and communication**

44. The initial phase of work, relating to making public the rational of decisions of the Board, focused on re-indexing of decisions of the Board to ensure relationships between decisions are captured and history of decisions are searchable via the public website.
45. The Board approved at EB 46, the work plan for improving transparency and access to CDM-EB document.
46. Preparation & Availability of CDM-EB document types and definitions and CDM-EB Hierarchical Framework for Board Decisions (EB 47, Annex 61).
47. Content models (meta data) for decision classes and document types was identified and faceted classification scheme developed which are expected to be presented at EB 49. Related optimizing IT technology used to search and retrieve is under development and expected to be completed by EB 51.
48. Re-indexing of decisions of the Board using new content model and classification scheme is completed for Reports of EB 1 to EB 10 and EB 48 meetings. Re-indexing of meeting reports EB 11 to 47 and a new public search screen for Catalogue of Decision (CoD) database to allow new search and retrieval functionality is expected to be completed by EB 50.
49. Pages in the website reference section have been re-formatted into tables designed to make it easier to find the latest, as well as, achieved documents.
50. All new staff receive 3 hour induction to records and records management as an ongoing activity. Additional efforts are also put on the documentation of internal operating procedures, where internal guidelines were approved for travel, records management and unsolicited submissions (CDM & JI).
51. During the period under review, the Board approved a communication strategy which is now being implemented. Key activities include photo and video contests promoting the SD benefits of the CDM, and audio recordings, available on the website, that explain in plain terms the workings of the mechanism.

### **P. Update on the work of the CDM Registry:**

52. The CDM registry processed a total of 1708 transactions from the beginning of the year until mid August. These include issuance of CERs and forwarding requests as instructed by focal point entities.
53. The number of requests to change MOC statements, addition and/or withdrawal of participants and general changes in contact details of project participants and focal points continue to grow.
54. New procedures for modalities of communication between project participants and the Board were approved at EB45 in February.
55. Revised procedures to provide further consistency in the definition of terms and procedures as well as the inclusion of bankruptcy scenarios are expected to be considered by the Board at EB 49 in September.
56. In coordination with IT support, the CDM registry team was able to implement a new interface for the processing of changes to MOC in order to facilitate this process for internal and external users. A small scale version of the project was successfully implemented in August and work is in progress for a full scale work flow.



### III. Compliance with indicative timelines for different processes, including completeness checks

57. In this section, an update is provided on the status of adherence to indicative timelines set by the Board for different processes (as included in Appendix I)

*(Appendix I is under preparation and will be inserted in this report, a week before the forty-ninth meeting of the Board)*

58. The Registration and Issuance teams, for example, have managed, with increasing levels of difficulty, to process the submissions within the timeline of 30 working days for Registration and 20 working days for Issuance, set at EB 41. The Board has now further mandated the secretariat to perform enhanced completeness checks with a view to reducing the number of requests for review cases in the future. As this new workload was not anticipated in the projections in CDM-MAP 2009, a review of the resources required for fulfilling this new mandate is being undertaken and appropriate recommendations will be made to the Board.

59. Other measures for addressing this important issue is being considered by the secretariat and appropriate recommendations will be made to the Board in due course.

### IV. Budget Performance

60. This section of the report focuses on the budget performance in the period between 1 January and 31 August 2009<sup>1</sup>, in terms of expenditure against the budget as set out in the 2009 CDM-MAP (USD 28.1 million). The analysis includes the workflow of resources and the sources of income generated by share of proceeds (SOPs) and fees.

#### B. Status of Expenditure

61. Expenditure in the first eight months of the present year amounts to USD 12.6 million, which corresponds to 65% of the first eight months of the 2009 budget. In 2008, the same reporting period shows an expenditure of USD 11.5 million or 79% of the first eight months of the 2008 budget. It is estimated that the total expenditure by the end of the year will be approximately USD 20 million, about 71% of the 2009 budgeted expenditure. At the end of 2008 the expenditure performance level was USD 17 million (78%).

62. The current level of expenditure in 2009 is fourteen percentage points lower than in the same period in 2008. In terms of absolute expenditure, USD 1.1 million more has been spent in 2009 than in 2008. The lower rate of expenditure could be attributable to the following:

- (a) The 2009 budget of USD 28.1 million is 6.4 million higher than that of 2008 (USD 21.7 million), an increase of 29.6%;
- (b) The average exchange rate in 2008 between the dollar and the euro was USD 0.67 compared to USD 0.74 in the first eight months of 2009. This has had an influence on the expenditure amounts in 2009, because the stronger dollar reduced the expenditure (the CDM budget is in US Dollars but the cost of General Staff salaries as well as the purchasing of services and goods are mainly in Euros);

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<sup>1</sup> This report uses real data as of 24 August 2009 and estimates figures to 31 August 2009. This estimation is done by using planned expenditure and on the basis of expenditure trends as analysed in the first seven months of 2009.





- (c) The 2009 CDM-MAP introduced a record 42 new posts and the delays we are experiencing in the recruitment of new staff, are affecting the staffing costs of USD 13 million in the CDM-MAP 2009.

63. Table 1 below provides some further details on the trends of expenditures, in an itemized manner, during the first eight months of the 2009 CDM-MAP.

**Table 1: Comparison of actual expenditures with budgeted expenditures for the reporting period.**

Object code	Budget for 2009	Pro-rated budget for Jan-Aug 2009	Actual expenditure 2009	% Difference actual from budget	Comparison same expenditure in 2008
Staffing costs	12,968,776	8,645,851	5,651,630	36	5,398,710
GTA	129,668	86,445	595,011	-588	334,514
Support Conference Services *	100,000	66,667	51,510	23	0
Consultants	2,359,650	1,573,100	922,582	41	334,048
Expert fees	2,243,400	1,495,600	1,189,227	20	1,014,759
Expert travel	1,953,350	1,302,233	509,979	61	519,828
Personnel related costs	44,874	29,916	33,128	-11	31,393
Travel of Participants	1,487,500	991,667	832,409	16	1,172,660
Travel of Staff	602,000	401,333	394,258	2	364,840
Training	114,000	76,000	11,142	85	989
Operating Expenses **	2,461,515	1,641,010	955,336	42	772,406
Telephones ***	65,040	43,360	1,350	97	57,966
Supplies	35,000	23,333	29,329	-26	14,135
Sec. Support to the EB ***	317,000	211,333	0	0	196,000
Sub-total	24,881,773	16,587,849	11,176,891	33	10,212,248
overheads 13%	3,234,630	2,156,420	1,452,995	33	1,327,592
<b>Total</b>	<b>28,116,403</b>	<b>18,744,269</b>	<b>12,629,886</b>	<b>33</b>	<b>11,539,840</b>

\* cost of UNOG interpreters at DNA

\*\* Operational Expenses includes total cost of ownership

\*\*\* Obligation raised in 2008, not yet fully expended, being used in 2009

64. Staff costs (established posts) were budgeted at USD 13 million. To date we have expended USD 5.7 million, which is about USD 2 million below expected level of expenditure. The higher expenditure level for GTA (USD 595,011) as compared to the expected budgeted figure of USD 86,445, is a result of additional interim measures required to mitigate the delays in recruitment of regular staff.

65. The budgeted amount for participants attending the Executive Board meetings was USD 1,487,500. So far USD 832,409 has been expended for the travel of participants. By 31 December 2009 it is anticipated another USD 360,000 (for DSA and travel), will be required for the three remaining Executive Board meetings 2009.

66. A set of activities on training were introduced in the 2009 CDM-MAP to enhance substantive and managerial skills, comprising both external training and in-house courses for staff members. So far USD 11,142 have been expended as cost of the training courses (excluding travel) and three (3) in-house courses are being prepared and should take place before the end of the year.



### C. Status of Income

67. Table 3 shows the comparison between 2008 and 2009 revenues from fees and share of proceeds. In 2009 the average revenue is around USD 2.9 million per month compared to an average in 2008 of USD 3.4 million per month and the projected average monthly revenue of USD 3.75 million in the CDM-MAP.



Table 2: Comparison between Revenues in 2008 and 2009

	Registration Fees		Share of Proceeds		Methodology Fees		Accreditation Fees		Total Income	
	2008	2009	2009	2009	2008	2009	2008	2009	2008	2009
January	763,096	508,142	1,322,368	1,818,217	0	0	0	14,973	2,085,464	2,341,332
February	1,466,461	578,748	1,839,355	774,802	15,843	0	29,975	15,000	3,335,791	1,368,550
March	1,907,040	1,098,433	1,735,587	1,811,317	2,000	1,000	0	0	3,642,627	2,909,750
April	1,084,485	1,235,045	473,878	2,294,062	15,890	11,894	0	0	1,558,363	3,529,107
May	334,716	1,727,570	1,745,449	1,402,884	0	0	15,000	14,985	2,095,165	3,145,439
June	1,293,349	1,334,620	1,139,150	2,146,281	2,966	8,961	15,000	22,500	2,447,499	3,503,401
July	3,331,025	895,652	2,240,487	2,619,561	7,925	2,000	0	37,454	5,571,512	3,552,667
August	4,524,873	2,321,790	2,243,867	532,876	2,993	5,145	0	0	6,771,733	2,854,666
<b>Total</b>	<b>14,705,045</b>	<b>9,700,000</b>	<b>12,740,141</b>	<b>13,400,000</b>	<b>47,617</b>	<b>29,000</b>	<b>59,975</b>	<b>104,912</b>	<b>27,508,154</b>	<b>23,204,912</b>
<b>Average</b>	<b>1,838,131</b>	<b>1,212,500</b>	<b>1,592,518</b>	<b>1,675,000</b>	<b>5,952</b>	<b>3,625</b>	<b>7,497</b>	<b>13,114</b>	<b>3,438,519</b>	<b>2,900,614</b>

Estimated monthly revenue as per the 2009 CDM-MAP is USD 3.75 million

Average monthly revenue from January to August 2009 is USD 2.9 million



## V. Human Resources

68. The CDM Management Plan (CDM-MAP) for 2009 was designed to strengthen the capacity of the CDM Executive Board and its support structure, including panels and working groups, designated operational entities (DOEs) and the secretariat, and developed in the context of the overall goal of the Executive Board, continued growth of the CDM and various prevailing challenges.

69. While there has been some improvement in the rate of staff recruitment, the secretariat continued to face some challenges in attracting suitably qualified candidates for available positions. While some of the challenges relate to general skill shortage in the carbon market, some delays can be attributed to constraints embedded in the UNFCCC recruitment process.

70. The constraints to achieving a 100% recruitment level are analysed in this section of the report. The SDM programme has been able to cope with the increasing workload by using consultants and temporary staff (GTA contracts), and continued commitment of staff to take additional load, beyond sustainable limits.

71. At the end of 2008, only about 75% of approved posts were filled. As reported in the CDM-MAP (paragraph 22), as at 28 November 2008, the programme had 24 vacant positions.

72. At present, 63% of all posts included in the CDM-MAP 2009 have been filled, and a further 21% is under recruitment (Table 3). The successful completion of the recruitment goals, would allow for 84% of positions to be filled before the end of the year. This is in addition to the recruitment processes for the 24 vacancies carried over from the 2009 CDM-MAP.

### A. Constraints in recruitment

73. Several factors continue to impact negatively on the recruitment process and the secretariat's efforts to fill available vacancies in a timely manner.

74. Skill shortage and complexity of job specificity have, many a times, resulted in the need to re-advertise posts due to the inability to attract good responses from eligible applicants. Some posts have had to be re-advertised on more than one occasion.

75. The SDM programme has to abide by laid down recruitment rules, regulations and processes that have set timelines and criteria. An indicative time-line for filling a vacancy with an external candidate shows that on average, it takes between 5 to 6 months to fill a vacancy (preparation of a job description - 3 weeks, period for posting a vacancy announcement - 4 weeks, arranging the interview process including bringing in candidates for face to face interview - 3 weeks, Review Board consideration of the case - 2 to 4 weeks based on scheduled dates, informing appointed candidates and allowing them notice period before entry on duty - 1 to 3 months).

76. In the phased approach presented in the 2009 CDM-MAP, the recruitment of higher level posts was prioritised in order to strengthen the leadership capacity and ensure that the incumbents are involved in the effective recruitment of the lower level posts. This has some impact on the vacancy ratio as some of the higher level posts were invariably filled by promotion of well-deserving internal staff, and thereby, opening further vacancies at the lower levels.

77. The secretariat is exploring ways and options for addressing the above constraints and appropriate recommendations will be presented to the Board for consideration in due course.

**B. Status of recruitment**

78. The table below (Table 3) shows the status of recruitment as at 31 January and 31 August 2009. As reported in the CDM-MAP 2009 (paragraph 22), there were 24 vacant positions at the beginning of the year 2009. Although the table shows that the level of staffing has only increased from 73 to 90 in the last 8 months, the rate of recruitment is considerably higher, as several of the posts filled at higher levels by internal candidates opened up more vacancies at the lower levels.

**C. Graphic Description / Tables – Human Resources****Table 3: Status of recruitment as at 31 January and 31 August 2009**

	<b>31 January</b>	<b>31 August</b>
Total D posts	1	1
Total P posts	69	96
Total G posts	32	46
<b>Total posts:</b>	<b>102</b>	<b>143</b>
<b>Occupied posts</b>	<b>73</b>	<b>90</b>
<b>Under Recruitment</b>	12	31
<b>New posts</b>	5	14
<b>Vacant</b>	12	8
<b>Total Post</b>	<b>102</b>	<b>143</b>

*Total number of posts include 4 post which were cost shared with JI in 2008 and 6 in 2009*

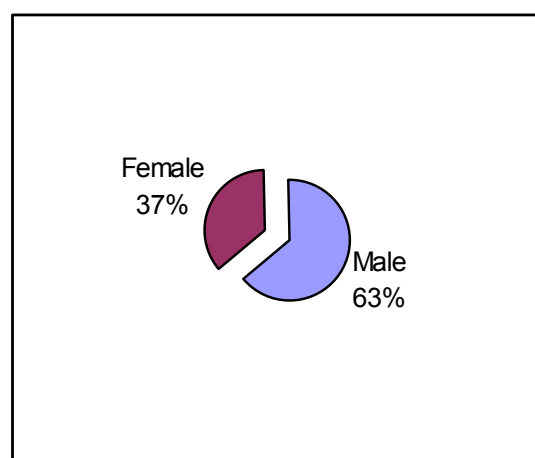
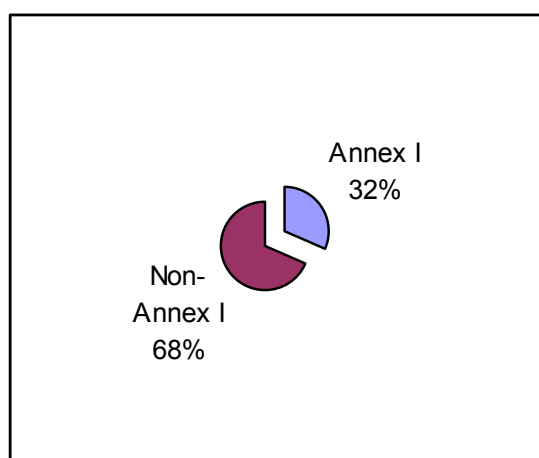
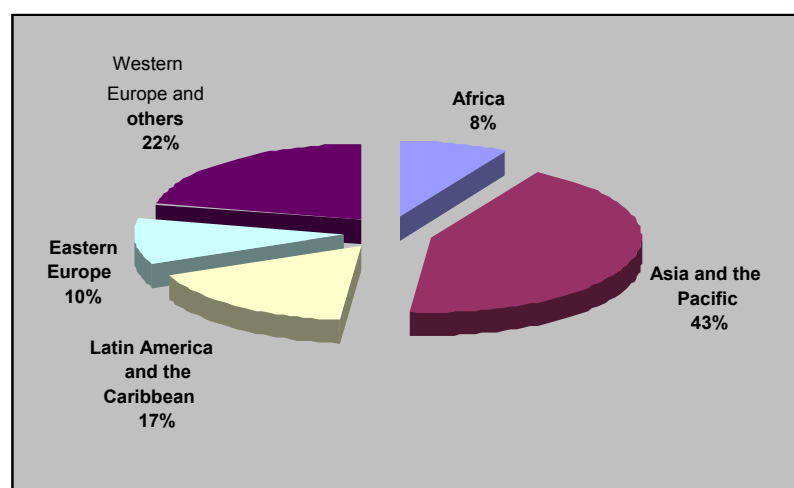
79. Of the 31 posts under recruitment:
- (a) Job descriptions for 5 posts are being prepared;
  - (b) Vacancy Announcements for 12 posts currently open – 10 P staff and 2 G staff;
  - (c) Interviews for 10 posts scheduled to take place before 15 September 2009;
  - (d) Panel reports on 3 interviews for three posts are being prepared for submission to the Review Board;
  - (e) Review Board is currently studying the appointment of 1 candidate.



**Table 4: Summary of geographical distribution, percentage of staff from Non-Annex I Parties and Gender Distribution of professional posts as at 31 August 2009**

P staff summary							
Gender		Geo Balance %		Geo Balance numbers		Annex I/Non-Annex I	
Jan 09	Aug 09	Jan 09	Aug 09	Jan 09	Aug 09	Jan 09	Aug 09
m = 30	m = 38	AF = 4%	AF = 8%	AF = 2	AF = 5	A1 = 18	A1 = 19
f = 19	f = 22	AP = 45%	AP = 43%	AP = 22	AP = 26	NA1 = 31	NA1 = 41
<b>total = 49</b>	<b>total = 60</b>	LAC = 14%	LAC = 17%	LAC = 7	LAC = 10	<b>total = 49</b>	<b>total = 60</b>
		EE = 12%	EE = 10%	EE = 6	EE = 6		
		WE = 24%	WE = 22%	WE = 12	WE = 13		
				<b>total = 49</b>	<b>total = 60</b>		

**Chart 1: Geographical distribution, percentage of staff from Non-Annex I Parties and Gender Distribution as at of professional posts as at 31 August 2009**



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## Appendix I

## Compliance with indicative timelines for different processes

Timeline descriptor	Indicative Timeline	Status of timeline exceeded as at 25 August	Average number of publications per month	Note
<b>Completeness Check: Registration</b>	30 Working Days <sup>1</sup>	23 (17%)	58	Average monthly submissions for the period July 08 to July 09 = 62, 40% of submissions were returned to the DOE
<b>Completeness Check: Issuance</b>	20 Working Days <sup>2</sup>	57 (50%)	43	Average monthly submissions for the period July 08 to July 09 = 48, 30% of submission were returned to the DOE
<b>Corrections: Registration Issuance</b>	3 weeks	80% within timeline 99% within timeline	N/A	Percentages based on all correction cases processed since July 2007
<b>Revisions to Monitoring Plan</b>	Non indicated	Timeline to be agreed at EB 49	N/A	Total submission for the period Jan to July 09 = 99 (MAP2009 annual: 100) Current estimated time ~90 days
<b>Deviations</b>	Non indicated <sup>3</sup>	Timeline to be agreed at EB 49 (indicative timeline for cc component = 20 working days)	N/A	Total submission for the period Jan to July 09 = 72 (MAP2009 annual: 80)
<b>Response to unsolicited submissions</b>	Non indicated (aim is one month)	25 pending responses	6 <sup>4</sup>	In 2009, 87 unsolicited submissions were received: - 49 have been answered to (56%) - One (1) did not require an answer - 37 (43%) are pending and 16 (18%) are less than 1 month old.

<sup>1</sup> Monthly limit of 50 cases and all resources in place.<sup>2</sup> Monthly limit of 40 cases and all resources in place.<sup>3</sup> At present all deviation requests submitted prior to EB meeting are dealt with at the next EB meeting.<sup>4</sup> In this case submissions.