

CDM-2013MP9PB-INFO03

DOE performance monitoring

Report to the public on the ninth monitoring period

Version 03.0



United Nations
Framework Convention on
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1. Procedural background

1. This report has been prepared in accordance with the 'Procedure: Performance monitoring of designated operational entities' (CDM-EB58-A01-PROC), hereinafter referred to as 'The Procedure'.
2. The performance of designated operational entities (DOEs) is continuously monitored and the performance indicators are calculated based on requests for registration, issuance or post-registration changes submitted during monitoring periods of four months. Each year, a monitoring period starts on 1 January and finishes on 30 April, followed by the next monitoring period that starts on 1 May and ends on 31 August, and the final monitoring period that starts on 1 September and ends on 31 December.
3. The secretariat calculates the indicators after the end of each monitoring period as requests become finalised. Multiple versions of the report corresponding to the same monitoring period are prepared. The first version of the report is based on the data related to requests for registration, issuance and post-registration changes finalised¹ within three months of the end of the monitoring period and is issued no later than four months after the end of the monitoring period. The second version of the report is based on the data finalised within six months and is issued no later than seven months after the end of the monitoring period.
4. Subsequent versions of the reports are issued at three-monthly intervals after the second version of the report is issued and until all submitted requests for registration or issuance or post-registration changes have been finalised.
5. The relevant performance monitoring period for this report is from 1 September 2013 to 31 December 2013. This is the third iteration for monitoring period nine, based on requests finalised as of 30 September 2014.

2. DOE abbreviated names

6. This information note uses abbreviated DOE names. Table 1 provides an overview of the DOEs abbreviated names and their full names including their reference numbers.

Table 1. DOE abbreviated names, full names and their reference numbers

<i>DOE abbrev.</i>	<i>DOE Full Name</i>
AENOR	Spanish Association for Standardisation and Certification (E-0021)
BVCH	Bureau Veritas Certification Holding SAS (E-0009)
Carbon Check	Carbon Check (Pty) Ltd (E-0052)
CEC	China Environmental United Certification Center Co., Ltd (E-0034)
CEPREI	CEPREI certification body (E-0047)
CQC	China Quality Certification Center (E-0044)

¹ A request for registration/issuance completes its cycle once a final decision (approval, rejection, or withdrawal) is taken in a given monitoring period.

<i>DOE abbrev.</i>	<i>DOE Full Name</i>
CTI	Shenzhen CTI International Certification Co., Ltd (E-0061)
Deloitte- TECO	Deloitte Tohmatsu Evaluation and Certification Organization Co., Ltd. (E-0006)
DNV	Det Norske Veritas Certification AS (E-0003)
ERM CVS	ERM Certification and Verification Services Ltd. (E-0016)
GLC	Germanischer Lloyd Certification GmbH (E-0042)
ICONTEC	Colombian Institute for Technical Standards and Certification (E-0024)
JACO	JACO CDM., LTD (E-0002)
JCI	Japan Consulting Institute (E-0007)
JQA	Japan Quality Assurance Organisation (E-0001)
KBS	KBS Certification Services Pvt. Ltd (E-0051)
KFQ	Korean Foundation for Quality (E-0025)
KSA	Korean Standards Association (E-0039)
KTR	Korea Testing & Research Institute (E-0056)
LGAI	LGAI Tech. Center S.A (E-0032)
LRQA	Lloyd's Register Quality Assurance Ltd. (E-0023)
PJRCES	Perry Johnson Registrars Carbon Emissions Services (E-0031)
RINA	RINA Services S.p.A. (E-0037)
SGS	SGS United Kingdom Limited (E-0010)
SIRIM	SIRIM QAS INTERNATIONAL SDN.BHD (E-0038)
TÜV NORD	TÜV NORD CERT GmbH (E-0022)
TÜV Rheinland	TÜV Rheinland (China) Ltd. (E-0013)
TÜV SÜD	TÜV SÜD South Asia Private Limited (E-0005)
URS	URS Verification Private Limited (E-0055)

3. Registration and issuance (I_1 and I_2) indicators

7. Table 3 and Table 4 below present indicators on the requests submitted for registration and issuance respectively, excluding requests withdrawn before publication. The indicators are calculated for a given monitoring period in accordance with the Procedure as follows:

- (a) **Rate of incomplete submissions at completeness check (I_{1cc})** is calculated as the number of requests concluded as incomplete at completeness check divided

by the number of requests submitted which have completed the cycle, regardless of the number of issues identified in each incomplete submission:

- (i) Indicator $I_{1,CC}$ = number of requests concluded as incomplete at completeness check/number of requests completed.
 - (b) **Rate of incomplete submissions at information and reporting check ($I_{1,IRC}$)** is calculated as the number of requests concluded as incomplete at information and reporting check divided by the number of requests submitted which have completed the cycle, regardless of the number of issues identified in each incomplete submission:
 - (i) Indicator $I_{1,IRC}$ = number of requests concluded as incomplete at information and reporting check/number of requests completed;
 - (c) **Rate of requests for review adjusted by weight of the requests (I_2)** is only calculated for DOE's that have finalised a seventh request for registration or issuance in a given monitoring period. The below tables use the abbreviation "ne" (not eligible) to indicate that fewer than seven cases were finalised. Indicator I_2 is calculated as follows:
 - (i) Indicator I_2 = SUM (weights of request for reviews)/Number of requests completed.
8. The thresholds for indicators $I_{1,CC}$ and $I_{1,IRC}$ are calculated per DOE for each monitoring period in accordance with the Procedure, section 5.
9. In accordance with the Procedure, two thresholds are identified for indicator I_2 , for each of the registration and issuance processes, as indicated in Table 2.

Table 2 **Thresholds for indicator I_2**

<i>Registration</i>	<i>Zone</i>	<i>Issuance</i>	<i>Zone</i>
$I_2 < 0,5$	Green	$I_2 < 0,5$	Green
$I_2 = 0,5 \sim 3$	Yellow	$I_2 = 0,5 \sim 1,5$	Yellow
$I_2 \geq 3$	Red	$I_2 \geq 1,5$	Red

Table 3. Indicators corresponding to requests for registration

<i>DOE</i>	<i>PA Submitted</i>	<i>Finalised (%)</i>	<i>Automatically registered</i>	<i>CC incomplete</i>	<i>IRC Reviewed incomplete</i>	<i>Rejected</i>	<i>Withdrawn</i>	<i>I1_{CC}^b</i>	<i>Threshold I1_{CC}</i>	<i>I1_{IRC}</i>	<i>Threshold I1_{IRC}</i>	<i>I₂</i>	<i>Threshold exceeded (y/n)?</i>
AENOR	1	100%	1	-	-	-	-	-	0.27	-	0.48	ne	n
BVCH	15	47%	7	-	2	-	-	-	0.11	0.29	0.21	-	y
CEC	1	100%	1	-	-	-	-	-	0.27	-	0.48	ne	n
CQC	1	100%	-	-	-	1	-	-	0.27	-	0.48	ne	n
CTI	1	0%	-	-	-	-	-	ud	ud	ud	ud	ne	n
DNV	5	100%	5	-	3	-	-	-	0.13	0.60	0.24	ne	y
ERM CVS	1	100%	1	-	-	-	-	-	0.27	-	0.48	ne	n
GLC	2	50%	1	-	-	-	-	-	0.27	-	0.48	ne	n
ICONTEC	1	100%	1	-	1	-	-	-	0.27	1.00	0.48	ne	y
JCI	1	100%	1	-	1	-	-	-	0.27	1.00	0.48	ne	y
KBS	4	100%	4	-	-	-	-	-	0.14	-	0.27	ne	n
KSA	1	0%	-	-	-	-	-	ud	ud	ud	ud	ne	n
KTR	1	100%	1	-	-	-	-	-	0.27	-	0.48	ne	n
LGAI	1	100%	1	-	-	-	-	-	0.27	-	0.48	ne	n
LRQA	1	100%	1	-	-	-	-	-	0.27	-	0.48	ne	n

<i>DOE</i>	<i>PA Finalised submitted</i>	<i>Automatically registered (%)</i>	<i>CC incomplete</i>	<i>IRC Reviewed incomplete</i>	<i>Rejected</i>	<i>Withdrawn</i>	<i>I_{1CC}^b Threshold I_{1cc}</i>	<i>I_{1IRC} Threshold I_{1IRC}</i>	<i>I₂ Threshold exceeded (y/n)?</i>					
PJRCES	2	50%	1	-	-	-	-	0.27	-	0.48	ne	n		
RINA	2	50%	1	-	-	-	-	0.27	-	0.48	ne	n		
SGS	2	100%	1	-	-	1	-	0.20	-	0.35	ne	n		
SIRIM	2	0%	-	-	-	-	ud	ud	ud	ud	ne	n		
TÜV NORD	12	75%	8	-	1	1	1	-	-	0.10	0.11	0.19	0.56	n
TÜV Rheinland	13	69%	9	1	3	-	-	-	0.11	0.10	0.33	0.19	-	y
URS	5	100%	5	-	-	-	-	-	-	0.13	-	0.24	ne	n

NOTE:

- “-“ = 0 (zero)
- “ud” = undefined (division by zero) or indeterminate (zero divided by zero).
- “ne” = not eligible.

Table 4. Indicators corresponding to requests for issuance

<i>DOE</i>	<i>PAs submitted</i>	<i>Finalised (%)</i>	<i>Automatically issued</i>	<i>CC incomplete</i>	<i>IRC incomplete</i>	<i>Reviewed</i>	<i>Rejected</i>	<i>Withdrawn</i>	<i>I1_{CC}</i>	<i>Threshold I1_{CC}</i>	<i>I1_{IRC}</i>	<i>Threshold I1_{IRC}</i>	<i>I2</i>	<i>Threshold exceeded (y/n)?</i>
AENOR	8	100%	8	1	-	-	-	-	0.13	0.04	-	0.07	-	y
BVCH	13	100%	13	-	-	-	-	-	-	0.04	-	0.06	-	n
Carbon Check	2	100%	2	-	-	-	-	-	-	0.08	-	0.12	ne	n
CEC	3	100%	3	-	-	-	-	-	-	0.07	-	0.10	ne	n
CEPREI	3	100%	3	1	-	-	-	-	0.33	0.07	-	0.10	ne	y
CQC	7	100%	7	1	-	-	-	-	0.14	0.05	-	0.07	-	y
CTI	13	100%	13	-	-	-	-	-	-	0.04	-	0.06	-	n
Deloitte-TECO	8	100%	8	2	-	-	-	-	0.25	0.04	-	0.07	-	y
DNV	37	100%	36	6	3	1	-	-	0.16	0.03	0.08	0.04	0.08	y
ERM CVS	2	100%	2	-	-	-	-	-	-	0.08	-	0.12	ne	n
GLC	10	100%	10	1	1	-	-	-	0.10	0.04	0.10	0.07	-	y
ICONTEC	7	71%	4	2	1	1	-	-	0.40	0.05	0.20	0.08	ne	y
JACO	1	100%	1	-	-	-	-	-	-	0.11	-	0.16	ne	n
JCI	1	100%	1	1	-	-	-	-	1.00	0.11	-	0.16	ne	y
JQA	2	100%	1	-	-	1	1	-	-	0.08	-	0.12	ne	n
KBS	5	100%	5	1	-	-	-	-	0.20	0.05	-	0.08	ne	y

<i>DOE</i>	<i>PAs submitted</i>	<i>Finalised (%)</i>	<i>Automatically issued</i>	<i>CC incomplete</i>	<i>IRC incomplete</i>	<i>Reviewed</i>	<i>Rejected</i>	<i>Withdrawn</i>	<i>I_{1CC}</i>	<i>Threshold I_{1CC}</i>	<i>I_{1IRC}</i>	<i>Threshold I_{1IRC}</i>	<i>I₂</i>	<i>Threshold exceeded (y/n)?</i>
KFQ	2	100%	2	-	-	-	-	-	-	0.08	-	0.12	ne	n
LGAI	6	100%	6	4	2	-	-	-	0.67	0.05	0.33	0.08	ne	y
LRQA	7	100%	7	-	-	-	-	-	-	0.05	-	0.07	-	n
PJRCES	5	100%	5	-	1	-	-	-	-	0.05	0.20	0.08	ne	y
RINA	6	100%	6	-	-	-	-	-	-	0.05	-	0.08	ne	n
SGS	16	100%	16	-	1	-	-	-	-	0.03	0.06	0.06	-	n
SIRIM	1	100%	1	-	-	-	-	-	-	0.11	-	0.16	ne	n
TÜV NORD	27	96%	26	7	4	-	-	-	0.27	0.03	0.15	0.05	-	y
TÜV Rheinland	28	96%	27	3	6	-	-	-	0.11	0.03	0.22	0.05	-	y
TÜV SÜD	13	85%	11	1	2	-	-	-	0.09	0.04	0.18	0.06	-	y
URS	1	100%	1	-	-	-	-	-	-	0.11	-	0.16	ne	n

NOTE:

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4. Post-registration changes (I_3 and I_4) indicators

10. Table 5 below presents indicators on the requests submitted for post-registration changes, excluding requests withdrawn before publication. The indicators are calculated for a given monitoring period and in accordance with the Procedure as follows:
- (a) **Rate of incomplete submissions at completeness check** of the post-registration changes is calculated as the number of requests concluded as incomplete at completeness check divided by the number of requests submitted which have completed the cycle, regardless of the number of issues identified in each rejection:
 - (i) Indicator I_3 = number of requests concluded as incomplete at completeness check/number of requests completed;
 - (b) Rate of issues required for clarifications from the DOE and requests for post- registration changes adjusted by weight of the requests:
 - (i) Indicator I_4 = SUM (weights of 'requests for clarification from the DOE's and number of requests rejected for post-registration changes adjusted by weight of the requests)/number of requests completed.
11. The indicators are calculated based on those requests for which a final decision (approval, rejection or withdrawal) was taken in a given monitoring period.

Table 5. Indicators corresponding to requests for post-registration changes (prior approval track)

DOE	Submitted			Finalised				Prior Approval Track					
	Total	Issuance track	Prior approval track	Total	Issuance track	Prior approval track	Total (%)	Incomplete at CC	Clarification sought	Rejected	Withdrawn	I ₃	I ₄
AENOR	6	2	4	6	2	3	100%	-	2	-	1	-	2.67
BVCH	4	3	1	4	3	1	100%	-	1	-	-	-	3.00
Carbon Check	2	-	2	2	-	2	100%	-	2	-	-	-	4.50
CEC	1	1	-	1	1	-	100%	-	-	-	-	ud	ud
CQC	1	-	1	1	-	1	100%	1	1	-	-	1.00	4.00
Deloitte-TECO	5	5	-	5	5	-	100%	-	-	-	-	ud	ud
DNV	17	8	9	17	8	9	100%	-	9	-	-	-	4.00
ERM CVS	2	-	2	2	-	2	100%	-	1	-	-	-	2.50
GLC	3	3	-	3	3	-	100%	-	-	-	-	ud	ud
ICONTEC	2	1	1	2	1	1	100%	-	-	-	-	-	-
JCI	1	-	1	1	-	1	100%	-	-	-	-	-	-
KBS	2	1	1	2	1	1	100%	-	2	-	-	-	6.00
KFQ	1	1	-	1	1	-	100%	-	-	-	-	ud	ud

DOE	Submitted			Finalised				Prior Approval Track					
	Total	Issuance track	Prior approval track	Total	Issuance track	Prior approval track	Total (%)	Incomplete at CC	Clarification sought	Rejected	Withdrawn	I ₃	I ₄
KSA	1	-	1	1	-	1	100%	-	-	-	-	-	-
KTR	1	-	1	1	-	1	100%	-	1	-	-	-	1.00
LGAI	2	2	-	2	2	-	100%	-	-	-	-	ud	ud
LRQA	4	4	-	4	4	-	100%	-	-	-	-	ud	ud
PJRCES	1	-	1	1	-	1	100%	1	-	-	-	1.00	-
SGS	6	6	-	6	6	-	100%	-	-	-	-	ud	ud
SIRIM	1	-	1	1	-	1	100%	-	-	-	-	-	-
TÜV NORD	17	12	5	17	12	5	100%	-	-	-	-	-	-
TÜV Rheinland	7	5	2	6	4	2	86%	-	-	-	-	-	-
TÜV SÜD	3	3	-	2	2	-	67%	-	-	-	-	ud	ud
URS	1	-	1	1	-	1	100%	-	-	-	-	-	-

NOTE:

“-“ = 0 (zero)

“ud” = undefined (division by zero) or indeterminate (zero divided by zero).

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