

**CDM-2020MP14PB-INFO01**

## DOE performance monitoring

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# Report to the public on the fourteenth monitoring period (1<sup>st</sup> iteration)

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

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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) (ver. 04.0) (hereinafter referred to as the designated operational entity performance monitoring procedure).
2. The performance of designated operational entities (DOEs) is continuously monitored, and the performance indicators are calculated based on the following (submitted by DOEs during a monitoring period of four months):
  - (a) Requests for registration and issuance for both project activities and programmes of activities (PoAs);
  - (b) Requests for renewal of crediting period of project activities, and for renewal of PoA period;
  - (c) Requests for approval of post-registration changes (PRCs) of both project activities and PoAs under the prior-approval track and notifications of changes to component project activities (CPAs).
3. 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.
4. The secretariat shall prepare the first iteration of a DOE performance monitoring report based on the data related to the requests finalized within three months of the end of each monitoring period. The first iteration of such a report shall be issued no later than four months after the end of each monitoring period. If the first iteration does not cover the finalization of 95 per cent of the requests, the second iteration shall cover the requests that are finalized within six months of the end of each monitoring period or at the finalization of 95 per cent of the requests, whichever comes first. The secretariat shall issue the second iteration no later than seven months after the end of the monitoring period or no later than one month after the finalization of 95 per cent of the requests, whichever comes first.
5. The secretariat shall calculate the following performance indicators for the requests submitted during a given monitoring period:
  - (a) Indicator  $I_1$ , which includes the following two sub-indicators:
    - (i) Indicator  $I_{1,CC}$ : Rate of incomplete submissions at the stage of completeness check (CC);
    - (ii) Indicator  $I_{1,IRC}$ : Rate of incomplete submissions at the stage of information and reporting check (IRC);
  - (b) Indicator  $I_2$ , which includes the following two sub-indicators:
    - (i) Indicator  $I_{2,REG}$ : Risk priority number (RPN) value at the stage of review of requests for registration;
    - (ii) Indicator  $I_{2,ISS}$ : RPN value at the stage of review of requests for issuance;

- (c) Indicator I<sub>3</sub>: RPN value at the stage of clarification and rejection of requests for prior approval of PRCs and notifications of changes to CPAs.
6. This is the first iteration of the DOE performance monitoring report for the fourteenth performance monitoring period (from 1 May 2020 to 31 August 2020) (the 14<sup>th</sup> period report), based on the requests finalized by 30 November 2020. The first iteration of the 14<sup>th</sup> period report covers 90 per cent of the requests; therefore, the second iteration of the 14<sup>th</sup> period report will be issued by 31 March 2021 and considered as the final version of the 14<sup>th</sup> period report.

## 2. Abbreviated names of designated operational entities

7. Table 1 below provides an overview of abbreviated names of DOEs and their full names, including their reference numbers.

**Table 1. Abbreviated names of designated operational entities, full names and their reference numbers**

<b>Designated operational entity (DOE) abbreviation</b>	<b>DOE full name</b>
AENOR	AENOR INTERNACIONAL, S.A.U. (E-0021)
BVI	Bureau Veritas India Pvt. Ltd. (E-0009)
Carbon Check	Carbon Check (India) Private Ltd. (E-0052)
CCCI	China Certification Center, Inc. (E-0067)
CCSC	China Classification Society Certification Company (E-0046)
CEC	China Environmental United Certification Center Co., Ltd. (E-0034)
CEPREI	CEPREI certification body (E-0047)
CQC	China Quality Certification Center (E-0044)
CTC	China Building Material Test and Certification Group Co. Ltd. (E-0065)
CTI	Shenzhen CTI International Certification Co., Ltd. (E-0061)
DTSUS	Deloitte Tohmatsu Sustainability, Co., Ltd. (E-0006)
Earthood	Earthood Services Private Limited (E-0066)
EPIC	EPIC Sustainability Services Pvt. Ltd. (E-0062)
ERM CVS	ERM Certification and Verification Services Ltd. (E-0016)
4KES	4K Earth Science Private Limited (E-0069)
GHD	GHD Limited (E-0020)
ICONTEC	Colombian Institute for Technical Standards and Certification (E-0024)

<b>Designated operational entity (DOE) abbreviation</b>	<b>DOE full name</b>
JQA	Japan Quality Assurance Organisation (E-0001)
KBS	KBS Certification Services Pvt. Ltd (E-0051)
KEA	Korea Energy Agency (E-0011)
KFQ	Korean Foundation for Quality (E-0025)
KSA	Korean Standards Association (E-0039)
KTR	Korea Testing & Research Institute (E-0056)
LGAI	LGAI Technological Center, S.A (E-0032)
MASCI	Foundation for Industrial Development - Management System Certification Institute (Thailand) (E-0058)
Re Carbon	Re Carbon Gözetim Denetim ve Belgelendirme Limited Sirketi (E-0054)
RINA	RINA Services S.p.A. (E-0037)
TÜV NORD	TÜV NORD CERT GmbH (E-0022)
TÜV SÜD	TÜV SÜD South Asia Private Limited (E-0005)

### 3. Completeness check and information and reporting check indicators ( $I_{1,CC}$ and $I_{1,IRC}$ )

8. Indicators  $I_{1,CC}$  and  $I_{1,IRC}$  are calculated as per paragraph 15 (a) of the DOE performance monitoring procedure:
  - (a) Indicator  $I_{1,CC}$  = number of requests concluded as incomplete at CC/number of requests completed;
  - (b) Indicator  $I_{1,IRC}$  = number of requests concluded as incomplete at IRC/number of requests completed.
9. The respective thresholds  $TH_{I1,CC}$  and  $TH_{I1,IRC}$  for indicators  $I_{1,CC}$  and  $I_{1,IRC}$  are correspondingly calculated, as per paragraph 21 of the DOE performance monitoring procedure. The DOE is considered to be in the “green zone” if its indicator  $I_{1,CC}$  is equal to or less than  $TH_{I1,CC,y}$  or its indicator  $I_{1,IRC}$  is equal to or less than  $TH_{I1,IRC}$ . The DOE is considered to be in the “red zone” if its indicator  $I_{1,CC}$  is more than  $TH_{I1,CC,y}$  or its indicator  $I_{1,IRC}$  is more than  $TH_{I1,IRC}$ .
10. Table 2 below presents the performance monitoring outcome of indicators  $I_{1,CC}$  and  $I_{1,IRC}$ .

**Table 2. Indicators  $I_{1,CC}$  and  $I_{1,IRC}$** 

Designated operational entity (DOE) name	DOE reference	No. of requests submitted	Requests finalized (%)	$I_{1,CC}$	Threshold $I_{1,CC}$	$I_{1,IRC}$	Threshold $I_{1,IRC}$	Red zone, if threshold exceeded (Y/N)?
AENOR	E-0021	8	88 %	0.00	0.047	0.00	0.125	N
BVI	E-0009	3	100 %	0.25	0.047	0.00	0.125	Y
Carbon Check	E-0052	38	92 %	0.00	0.047	0.33	0.125	Y
CCCI	E-0067	8	100 %	0.00	0.047	0.00	0.125	N
CCSC	E-0046	10	60 %	0.00	0.047	0.00	0.125	N
CEC	E-0034	3	100 %	0.00	0.047	0.00	0.125	N
CTC	E-0065	12	92 %	0.00	0.047	0.00	0.125	N
CTI	E-0061	25	88 %	0.00	0.047	0.00	0.125	N
Earthood	E-0066	95	93 %	0.00	0.047	0.16	0.125	Y
EPIC	E-0062	8	100 %	0.00	0.047	0.00	0.125	N
ERM CVS	E-0016	3	67 %	0.00	0.047	0.00	0.125	N
4KES	E-0069	4	50 %	0.00	0.047	0.00	0.125	N
GHD	E-0020	1	100 %	0.00	0.047	0.00	0.125	N
ICONTEC	E-0024	6	100 %	0.00	0.047	0.33	0.125	Y
JQA	E-0001	3	100 %	0.00	0.047	0.00	0.125	N
KBS	E-0051	14	79 %	0.08	0.047	0.23	0.125	Y

<b>Designated operational entity (DOE) name</b>	<b>DOE reference</b>	<b>No. of requests submitted</b>	<b>Requests finalized (%)</b>	<b>I<sub>1,CC</sub></b>	<b>Threshold I<sub>1,CC</sub></b>	<b>I<sub>1,IRC</sub></b>	<b>Threshold I<sub>1,IRC</sub></b>	<b>Red zone, if threshold exceeded (Y/N)?</b>
KFQ	E-0025	9	100 %	0.00	0.047	0.00	0.125	N
KSA	E-0039	2	100 %	0.00	0.047	0.00	0.125	N
LGAI	E-0032	42	93 %	0.00	0.047	0.03	0.125	N
MASCI	E-0058	1	100 %	0.00	0.047	0.00	0.125	N
RINA	E-0037	17	94 %	0.00	0.047	0.21	0.125	Y
TÜV NORD	E-0022	23	83 %	0.00	0.047	0.00	0.125	N
TÜV SÜD	E-0005	6	83 %	0.00	0.047	0.25	0.125	Y

#### 4. Request for review indicators ( $I_{2,REG}$ and $I_{2,ISS}$ )

11. Indicators  $I_{2,REG}$  and  $I_{2,ISS}$  are calculated based on the requests for registration and issuance, respectively, as per paragraph 15 (b) of the DOE performance monitoring procedure. When the number of review cases is:
  - (a) Higher than or equal to 3,  $I_{2,REG}$  and  $I_{2,ISS}$  are the proportion of the RPN values resulted from requests for review for each DOE over the RPN mean value resulted from all requests for review for all DOEs for the respective registration and issuance requests;
  - (b) Less than 3,  $I_{2,REG}$  and  $I_{2,ISS}$  are the RPN value resulted from requests for review for each DOE for the respective registration and issuance requests.
12. The respective thresholds for the indicators  $I_{2,REG}$  and  $I_{2,ISS}$  are defined as per paragraph 25 of the DOE performance monitoring procedure as below:
  - (a) When the number of review cases is higher than or equal to 3, the DOE is considered to be:
    - (i) In the “green zone” if its indicator  $I_{2,REG}$  or  $I_{2,ISS}$  is less than 0.6;
    - (ii) In the “yellow zone” if its indicator  $I_{2,REG}$  or  $I_{2,ISS}$  is higher than or equal to 0.6 but less than 0.8;
    - (iii) In the “red zone” if its indicator  $I_{2,REG}$  or  $I_{2,ISS}$  is higher than or equal to 0.8;
  - (b) When the number of review cases is less than 3, the DOE is considered to be:
    - (i) In the “green zone” if its indicator  $I_{2,REG}$  or  $I_{2,ISS}$  is less than 6;
    - (ii) In the “yellow zone” if its indicator  $I_{2,REG}$  or  $I_{2,ISS}$  is higher than or equal to 6 but less than 10;
    - (iii) In the “red zone” if its indicator  $I_{2,REG}$  or  $I_{2,ISS}$  is higher than or equal to 10.
13. Seventeen requests for review have been raised for requests for registration of project activities, requests for issuance for both project activities and PoAs, requests for renewal of crediting period of project activities and requests for renewal of PoA period. Since not all of them are finalized by 30 November 2020, the indicators  $I_{2,REG}$  and  $I_{2,ISS}$  are not reported in the first iteration of the 14<sup>th</sup> period report, and therefore will be reported in the second iteration of the 14<sup>th</sup> period report.

#### 5. Post-registration changes indicator ( $I_3$ )

14. Indicator  $I_3$  is calculated as per paragraph 15 (c) of the DOE performance monitoring procedure. When the number of requests for clarification regarding requests for approval of PRCs under the prior-approval track and notifications of changes to CPAs (hereinafter referred to as PRC requests) and rejected PRC requests is:



- (a) Higher than or equal to 3,  $I_3$  is the proportion of the RPN values resulted from requests for clarification and rejected PRC requests for each DOE over the RPN mean value resulted from all requests for clarification and rejected requests for all DOEs;
  - (b) Less than 3,  $I_3$  is the RPN value resulted from requests for clarification and rejected PRC requests for each DOE.
15. The threshold for the indicator  $I_3$  is defined, as per paragraph 26 of the DOE performance monitoring procedure, as below:
- (a) When the number of clarification requests and rejection of PRC requests cases is higher than or equal to 3, the DOE is considered to be:
    - (i) In the “green zone” if its indicator  $I_3$  is less than 0.6;
    - (ii) In the “yellow zone” if its indicator  $I_3$  is higher than or equal to 0.6 but less than 0.8;
    - (iii) In the “red zone” if its indicator  $I_3$  is higher than or equal to 0.8;
  - (b) When the number of clarification requests and rejection of PRC requests cases is less than 3, the DOE is considered to be:
    - (i) In the “green zone” if its indicator  $I_3$  is less than 6;
    - (ii) In the “yellow zone” if its indicator  $I_3$  is higher than or equal to 6 but less than 11;
    - (iii) In the “red zone” if its indicator  $I_3$  is higher than or equal to 11.
16. Table 3 below presents the performance monitoring outcome of indicators  $I_3$ .

**Table 3. Outcome of the indicator I<sub>3</sub>**

<b>Designated operational entity (DOE)</b>	<b>Number of requests for clarification and rejected request</b>	<b>Proportion of requests over risk priority number (RPN) mean value</b>	<b>DOE's average RPN value</b>	<b>Outcome</b>
Carbon Check	17	1.00	/	Red Zone
Earthood	53	0.13		Green Zone
KBS	1	/	3	Green Zone
LGAI	1		5	Green Zone
TÜV SÜD	1		5	Green Zone

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### Document information

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