

CDM-2021MP18PB-INFO02

DOE performance monitoring

Report to the public on the eighteenth monitoring period (2nd iteration)

Version 01.0



United Nations
Framework Convention on
Climate Change

TABLE OF CONTENTS	Page
1. PROCEDURAL BACKGROUND.....	3
2. ABBREVIATED NAMES OF DESIGNATED OPERATIONAL ENTITIES.....	4
3. COMPLETENESS CHECK AND INFORMATION AND REPORTING CHECK INDICATORS (I_{1,CC} AND I_{1,IRC})	5
4. REQUEST FOR REVIEW INDICATORS (I_{2,REG} AND I_{2,ISS})	8
5. POST-REGISTRATION CHANGES INDICATOR (I₃)	9

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 I₃: 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 second iteration of the DOE performance monitoring report for the eighteenth performance monitoring period (from 1 September 2021 to 31 December 2021) (the 18th period report), based on the requests finalized by 30 June 2022 and it is considered as the final version of the 18th 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

Designated operational entity (DOE) abbreviation	DOE full name
4KES	4K Earth Science Private Limited (E-0069)
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)
GHD	GHD Limited (E-0020)
ICONTEC	Colombian Institute for Technical Standards and Certification (E-0024)
JQA	Japan Quality Assurance Organisation (E-0001)
KBS	KBS Certification Services Pvt. Ltd (E-0051)
KEA	Korea Energy Agency (E-0011)

Designated operational entity (DOE) abbreviation	DOE full name
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 $I_{1,CC}$	$I_{1,CC}$ outcome (Yes, if $I_{1,CC}$ threshold exceeded)	$I_{1,IRC}$	Threshold $I_{1,IRC}$	$I_{1,IRC}$ outcome (Yes, if $I_{1,IRC}$ threshold exceeded)	Outcome (Red zone, if $I_{1,CC}$ or $I_{1,IRC}$ threshold exceeded)
4KES	E-0069	4	75%	0.000	0.049	No	0.000	0.181	No	Green Zone
AENOR	E-0021	2	100%	0.000	0.049	No	0.600	0.181	Yes	Red Zone
BVI	E-0009	2	100%	0.000	0.049	No	0.000	0.181	No	Green Zone
Carbon Check	E-0052	5	100%	0.000	0.049	No	0.286	0.181	Yes	Red Zone
CCCI	E-0067	1	100%	0.000	0.049	No	0.000	0.181	No	Green Zone
CCSC	E-0046	5	80%	0.000	0.049	No	0.000	0.181	No	Green Zone
CTI	E-0061	11	100%	0.000	0.049	No	0.214	0.181	Yes	Red Zone
Earthood	E-0066	32	94%	0.000	0.049	No	0.194	0.181	Yes	Red Zone
EPIC	E-0062	11	82%	0.000	0.049	No	0.000	0.181	No	Green Zone
ERM CVS	E-0016	2	100%	0.000	0.049	No	0.000	0.181	No	Green Zone
ICONTEC	E-0024	4	100%	0.000	0.049	No	0.200	0.181	Yes	Red Zone
KBS	E-0051	20	100%	0.048	0.049	No	0.231	0.181	Yes	Red Zone
KEA	E-0011	1	100%	0.000	0.049	No	0.500	0.181	Yes	Red Zone
KFQ	E-0025	4	100%	0.000	0.049	No	0.000	0.181	No	Green Zone
KSA	E-0039	2	100%	0.000	0.049	No	0.000	0.181	No	Green Zone
KTR	E-0056	4	100%	0.000	0.049	No	0.200	0.181	Yes	Red Zone

Designated operational entity (DOE) name	DOE reference	No. of requests submitted	Requests finalized (%)	$I_{1,CC}$	Threshold $I_{1,CC}$	$I_{1,CC}$ outcome (Yes, if $I_{1,CC}$ threshold exceeded)	$I_{1,IRC}$	Threshold $I_{1,IRC}$	$I_{1,IRC}$ outcome (Yes, if $I_{1,IRC}$ threshold exceeded)	Outcome (Red zone, if $I_{1,CC}$ or $I_{1,IRC}$ threshold exceeded)
LGAI	E-0032	90	82%	0.026	0.049	No	0.120	0.181	No	Green Zone
RINA	E-0037	15	100%	0.063	0.049	Yes	0.211	0.181	Yes	Red Zone
TÜV NORD	E-0022	49	98%	0.020	0.049	No	0.200	0.181	Yes	Red Zone
TÜV SÜD	E-0005	5	80%	0.000	0.049	No	0.333	0.181	Yes	Red Zone

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. There was no request for review raised for request for registration and request for issuance in this performance monitoring period. Therefore, no DOE was subject to monitoring of indicators $I_{2,REG}$ and $I_{2,ISS}$.

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 I₃

Designated operational entity (DOE)	Number of requests for clarification and rejected request	Proportion of requests over risk priority number (RPN) mean value	DOE's average RPN value	Outcome
4KES	1		1	Green Zone
LGAI	1		5.3	Green Zone

Document information

<i>Version</i>	<i>Date</i>	<i>Description</i>
01.0	1 August 2022	Published in accordance with "Procedure: Performance monitoring of designated operational entities (version 04.0)".

Decision Class: Operational
Document Type: Information note
Business Function: Accreditation, Governance
Keywords: DOE, Performance monitoring
