

**CDM-2026ALY11-INFO**

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**Eleventh annual analysis report to the CDM  
Executive Board on the results of DOE  
performance monitoring**

Version 01.0



**United Nations**  
Framework Convention on  
Climate Change

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## 1. Introduction

1. The Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) at its fifty-eighth meeting (EB 58) adopted the “Procedure on performance monitoring of designated operational entities” (hereinafter referred to as the DOE performance monitoring procedure) and subsequently revised it three times with the version 04.0 being adopted at EB 106.<sup>1</sup> The DOE performance monitoring procedure requires that the Board be provided annually, with an analysis report on performance of designated operational entities (DOEs) along with proposals for potential system-wide improvement.
2. This, the eleventh such report, summarizes and analyses the findings from the twenty-sixth to the twenty-eighth DOE monitoring periods (MPs), running respectively:
  - (a) MP 26, 1 May to 31 August 2024 (accounting for data and submissions finalized by 28 February 2025);
  - (b) MP 27, 1 September to 31 December 2024 (accounting for data and submissions finalized by 31 March 2025);
  - (c) MP 28, 1 January to 30 April 2025 (accounting for data and submissions finalized by 31 July 2025).
3. For comparative purposes, this report includes data from the previous reporting period reflected under bracket (i.e. the tenth reporting period, covering MP 23 to MP 25).
4. This report provides:
  - (a) Information, trends and analysis of the long-term performance of DOEs;
  - (b) Analysis of the issues arising from DOE performance;
  - (c) Potential broad proposals for system-wide improvement via identification of issues where guidance or requirements lack clarity or are non-existent.
5. An overview of the performance of DOEs is provided following the trends observed through analysis of the issues raised in: requests for review (RfRs) or requests for clarification (RfCs) under post-registration change (PRC) process and rejected requests from DOEs and areas of potential improvement for requests for registration and issuance for both project activities and programmes of activities (PoAs), requests for renewal of crediting period of project activities, requests for renewal of PoA period, 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). A more detailed analysis is provided for the indicators  $I_1$ ,  $I_2$  and  $I_3$  in sections 2, 3 and 4 respectively. The areas for potential system-wide improvement are provided in section 5 below.

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<sup>1</sup> For the latest version 05.0 of the procedure see

[https://cdm.unfccc.int/sunsetcms/storage/contents/stored-file-20220909102753730/Accr\\_Proc02.pdf](https://cdm.unfccc.int/sunsetcms/storage/contents/stored-file-20220909102753730/Accr_Proc02.pdf)

6. The definitions of the indicators  $I_1$ ,  $I_2$  and  $I_3$  are listed as below:
- (a) Indicator  $I_1$  includes the following two sub-indicators:
    - (i) Indicator  $I_{1,CC}$ : Rate of incomplete submissions at the stage of completeness check (CC);<sup>2</sup>
    - (ii) Indicator  $I_{1,IRC}$ : Rate of incomplete submissions at the stage of information and reporting check (IRC);<sup>3</sup>
  - (b) Indicator  $I_2$  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;<sup>4</sup>
    - (ii) Indicator  $I_{2,ISS}$ : RPN value at the stage of review of requests for issuance;<sup>5</sup>
  - (c) Indicator  $I_3$  calculates RPN value at the stage of clarification and rejection of requests for prior approval of PRCs and notifications of changes to CPAs.<sup>6</sup>

## 2. Analysis of the indicator $I_1$

### 2.1. Overview of performance of DOEs

7. A total of (96) 37 requests were submitted by (17) 7 DOEs,<sup>7</sup> with the average finalization rate (93) 80 per cent during the three monitoring periods, out of which (3) one and (7) 8 submissions were deemed incomplete at CC and IRC respectively.<sup>8</sup> Table 1 provides an overview of performance of DOEs for indicator  $I_1$ .<sup>9</sup>

<sup>2</sup> The indicator  $I_{1,CC}$  is to monitor incomplete submissions at the CC stage of requests for registration and issuance for both project activities and PoAs, requests for renewal of crediting period of project activities, requests for renewal of PoA period, requests for approval of PRCs to both project activities and PoAs under the prior-approval track and notifications of changes to CPAs.

<sup>3</sup> The indicator  $I_{1,IRC}$  is to monitor incomplete submissions at the stage IRC of requests for registration and issuance for both project activities and PoAs, requests for renewal of crediting period of project activities and requests for renewal of PoA period.

<sup>4</sup> The indicator  $I_{2,REG}$  is to monitor requests for review raised for requests for registration for both project activities and PoAs, requests for renewal of crediting period of project activities and requests for renewal of PoA period.

<sup>5</sup> The indicator  $I_{2,ISS}$  is to monitor requests for review raised for requests for issuance for both project activities and PoAs.

<sup>6</sup> The indicator  $I_3$  is to monitor clarification and rejection of requests for approval of PRCs to both project activities and PoAs under the prior approval track and notifications of changes to CPAs.

<sup>7</sup> The data from the previous reporting period is stated in parentheses.

<sup>8</sup> The DOE performance monitoring procedure, paragraph 15(a), provides a definition of the indicator  $I_1$ , which includes two sub-indicators  $I_{1,CC}$  and  $I_{1,IRC}$ . The DOE performance monitoring procedure, paragraph 24, requires that the DOE is considered to be in the indicator  $I_1$  red zone if its indicator  $I_{1,CC}$  or  $I_{1,IRC}$  is greater than the respective thresholds.

<sup>9</sup> The number of requests is with PRC submissions

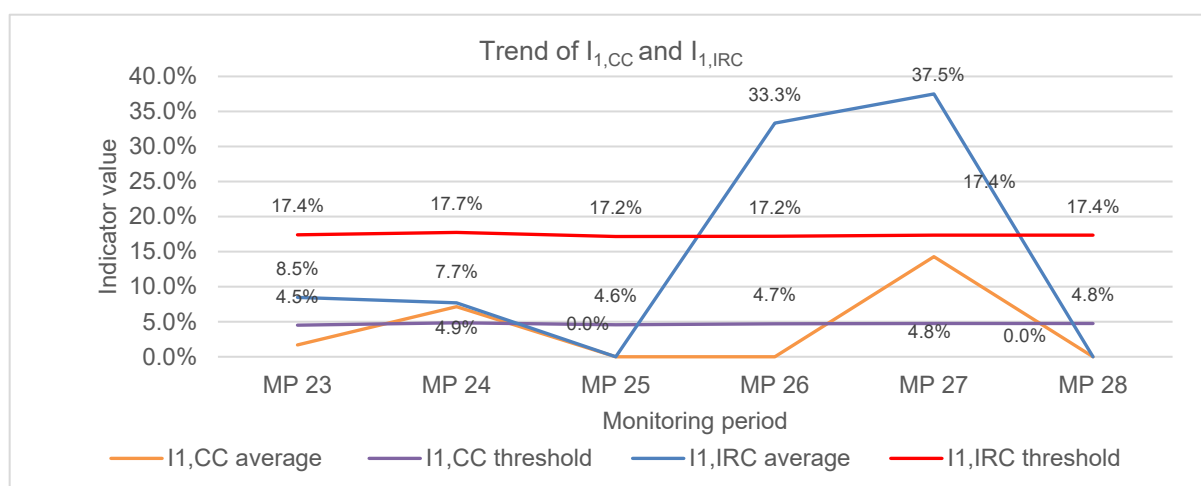
**Table 1. Overview of performance of DOEs for indicators  $I_{1,CC}$  and  $I_{1,IRC}$** 

| MP    | No. of requests submitted <sup>(a)</sup> | No. of DOEs | No. of submissions finalized having CC incompleteness raised | No. of submissions finalized having IRC incompleteness raised | Finalization rate | No. of DOEs in $I_1$ red zone |
|-------|------------------------------------------|-------------|--------------------------------------------------------------|---------------------------------------------------------------|-------------------|-------------------------------|
| MP 23 | 60                                       | 13          | 1                                                            | 5                                                             | 93%               | 2                             |
| MP 24 | 27                                       | 11          | 2                                                            | 2                                                             | 96%               | 2                             |
| MP 25 | 9                                        | 6           | 0                                                            | 0                                                             | 89%               | 0                             |
| MP 26 | 25                                       | 7           | 0                                                            | 5                                                             | 80%               | 2                             |
| MP 27 | 10                                       | 3           | 1                                                            | 3                                                             | 60%               | 2                             |
| MP 28 | 2                                        | 1           | 0                                                            | 0                                                             | 100%              | 0                             |

<sup>(a)</sup> The requests cover requests for registration for both project activities and PoAs, requests for renewal of crediting period of project activities, requests for renewal of PoA period, requests for issuance for both project activities and PoAs, requests for approval of PRCs to both project activities and PoAs under the prior approval track and notifications of changes to CPAs.

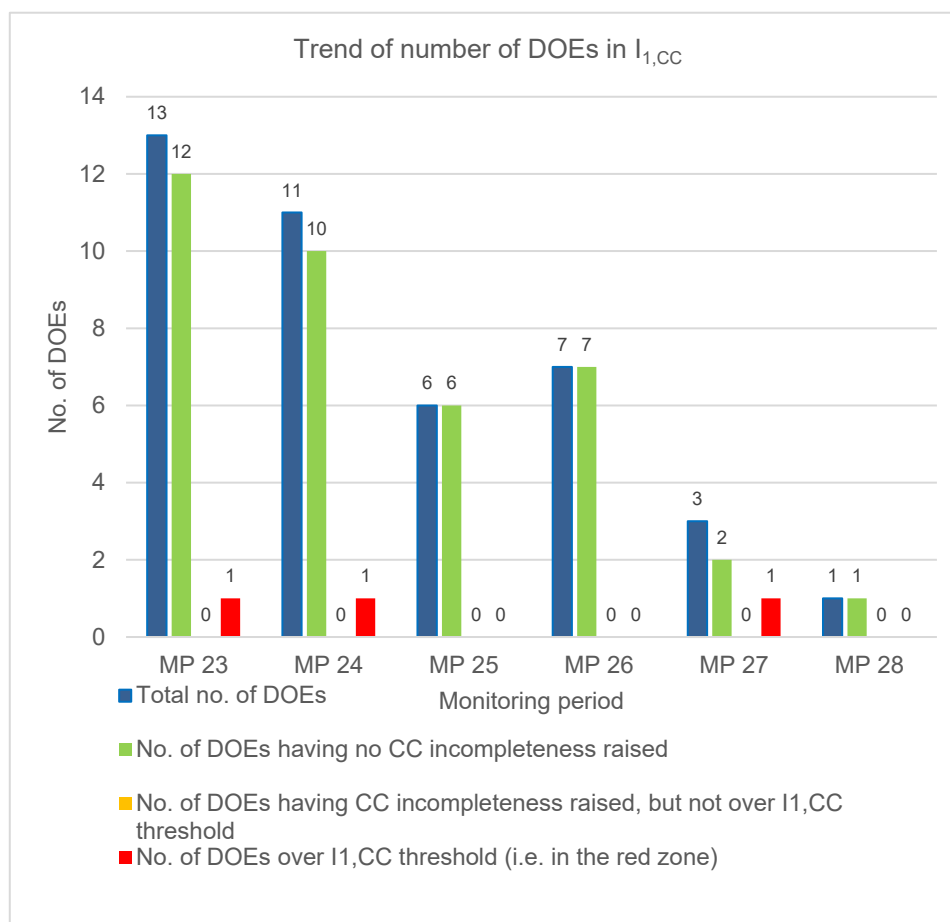
## 2.2. Evolution of performance of DOEs

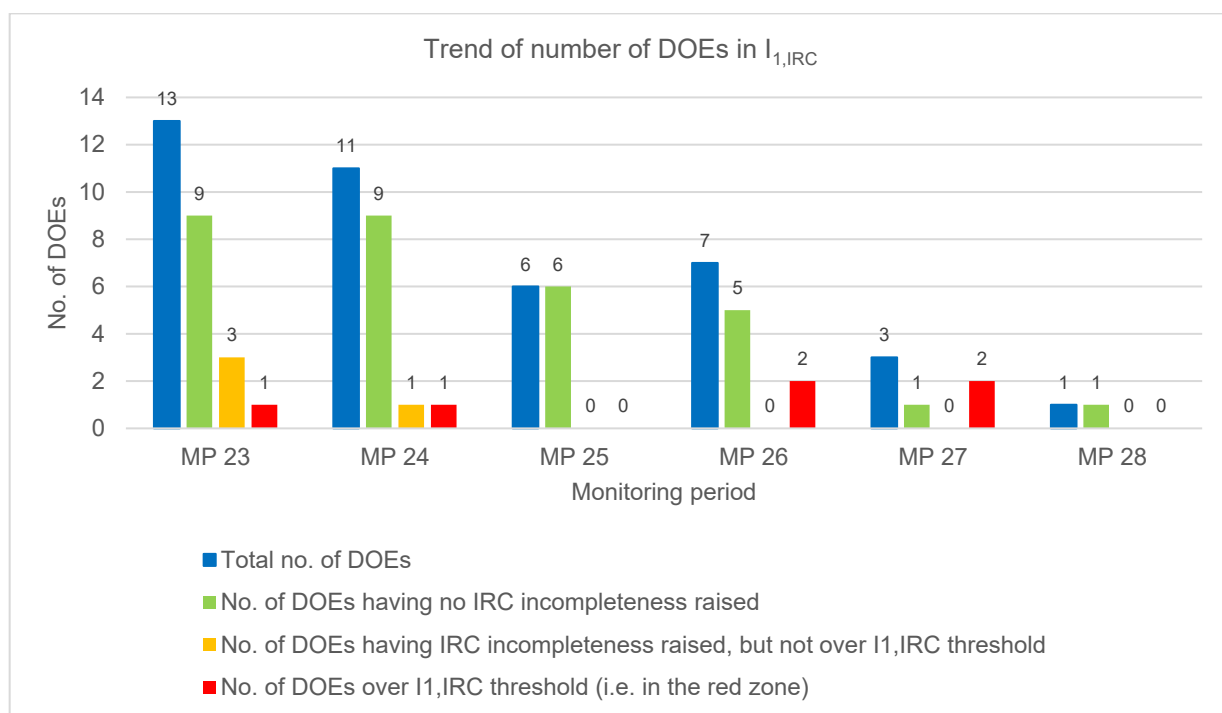
8. Figure 1 shows the evolving trend of average value and threshold value for the indicators  $I_{1,CC}$  and  $I_{1,IRC}$ , respectively.<sup>10</sup>

**Figure 1. Evolving trend of the indicators  $I_{1,CC}$  and  $I_{1,IRC}$** 

9. Figures 2 and 3 show the evolving trend in number of DOEs for the indicators  $I_{1,CC}$  and  $I_{1,IRC}$ , respectively.

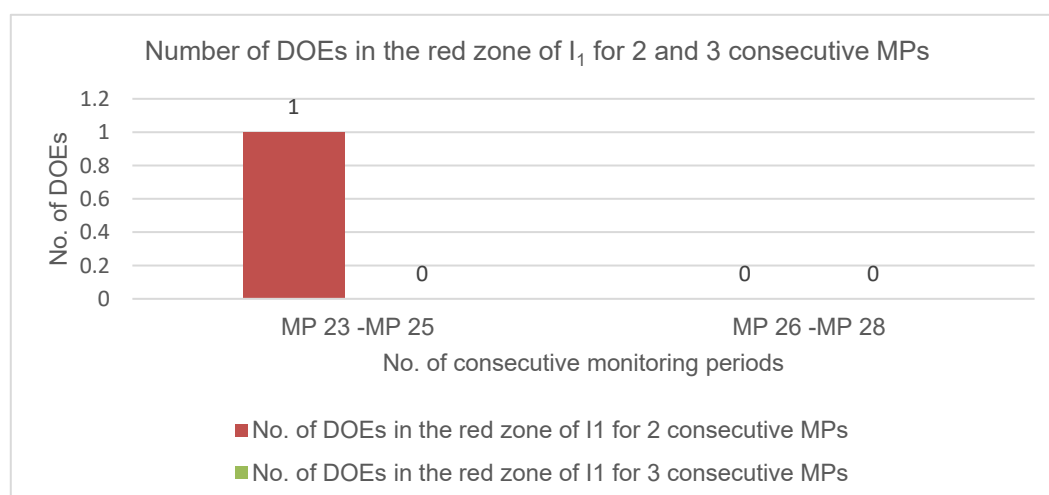
<sup>10</sup> The indicator  $I_{1,CC}$  average value is the average value amongst all DOEs in a given monitoring period. The  $I_{1,CC}$  threshold value is calculated based on paragraph 21 of the DOE performance monitoring procedure.

**Figure 2. Evolving trend in number of DOEs for indicator  $I_{1,CC}$** **Figure 3. Evolving trend in number of DOEs for indicator  $I_{1,IRC}$**



10. From the data presented in figures 2 and 3 above, figure 4 represents the numerical breakdown of the number of DOEs in the red zone for indicator  $I_1$  for at least two consecutive monitoring periods.

**Figure 4. Number of DOEs in the red zone for indicator  $I_1$**



### 2.3. Analysis of results for indicator $I_1$

11. As seen from table 1, the average finalization rate was (93) 80 per cent at the time of the final version of monitoring reports. The average number of DOEs in the red zone

was (one) one. It is observed that the number of DOEs in the red zone for indicator  $I_1$ , remains constant over the last two reporting periods.

12. Table 1 shows a slight decreasing trend in the number of DOEs in the red zone for indicator  $I_1$ , in this monitoring period. Therefore, it can be concluded that the performance of DOEs has improved for the indicator  $I_1$  with a lower number of submissions as compared to the previous reporting period. As seen in table 1 and figures 1, 2 and 3, the average ranges of the DOEs in the red zone for indicators  $I_{1,CC}$  and  $I_{1,IRC}$  from MP 23 to MP 28 are within the range of the system design, i.e. not more than 20–30 per cent.<sup>11</sup>
13. As seen in figure 4, the number of DOEs in the red zone for indicator  $I_1$  for two consecutive monitoring periods has reduced to zero, and there were no DOEs reported in the red zone for two or three consecutive monitoring periods during the current reporting period. Therefore, it can be concluded that the corrective and/or preventative actions implemented by the DOEs have enhanced the continuous improvement of the respective quality management systems.<sup>12</sup>

### 3. Analysis of the indicator $I_2$

#### 3.1. Overview of performance of DOEs

14. A total of (90) 34 requests were submitted by (17) 11 DOEs during the reporting period out of which (three) zero RfRs were raised and consequently (six) zero RfR issues identified.<sup>13</sup> Table 2 provides an overview of performance of DOEs for indicator  $I_2$ .<sup>14</sup>

**Table 2. Overview of performance of DOEs indicators  $I_2$**

| MP    | No. of requests submitted <sup>(a)</sup> | No. of DOEs | No. of RfRs raised | No. of DOEs having RfR raised | No. of RfR issues raised |
|-------|------------------------------------------|-------------|--------------------|-------------------------------|--------------------------|
| MP 23 | 56                                       | 13          | 0                  | 0                             | 0                        |
| MP 24 | 25                                       | 11          | 0                  | 0                             | 0                        |
| MP 25 | 9                                        | 6           | 0                  | 0                             | 0                        |
| MP 26 | 14                                       | 7           | 0                  | 0                             | 0                        |
| MP 27 | 9                                        | 3           | 0                  | 0                             | 0                        |
| MP 28 | 2                                        | 1           | 0                  | 0                             | 0                        |

<sup>(a)</sup> The requests cover requests issuance for both project activities and PoAs.

#### 3.2. Evolution of performance of DOEs

<sup>11</sup> Please refer to concept note CDM-EB102-AA-AB-CON

<sup>12</sup> The DOE performance monitoring procedure, paragraph 34, requires that if any DOE performance monitoring report shows a DOE in the indicator  $I_1$  red zone, the DOE shall undertake a root-cause analysis to identify the causes of the deficiencies in its system and implement corrective and/or preventative actions to improve its performance.

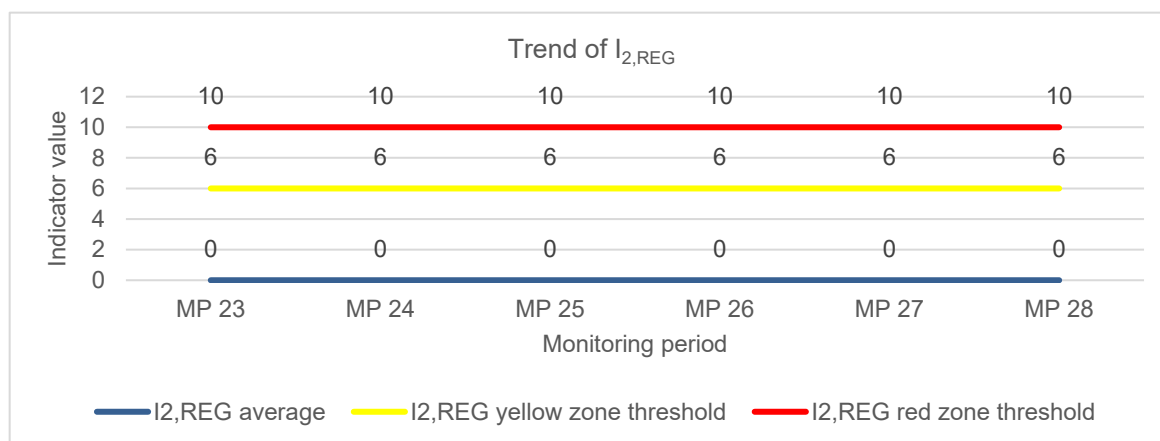
<sup>13</sup> The DOE performance monitoring procedure, paragraph 15(b), provides definition of the indicator  $I_2$ , which includes two sub-indicators  $I_{2,REG}$  and  $I_{2,ISS}$ . The DOE performance monitoring procedure, paragraph 25, provides the provisions on how to categorize the DOEs which are considered to be in the green zone, yellow zone or red zone.

<sup>14</sup> The number of requests is without PRC submissions.

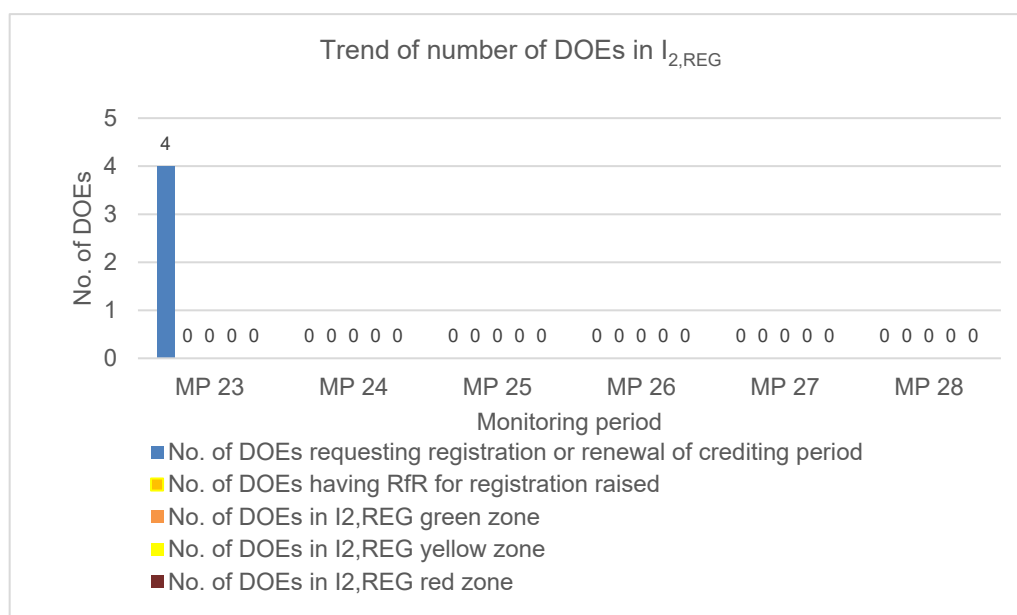


15. Figure 5 shows the evolving trend of average value and threshold value of the indicator  $I_{2,REG}$ . Figure 6 shows the evolving trend in number of DOEs for indicator  $I_{2,REG}$ .<sup>15,16</sup>

**Figure 5. Evolving trend of the indicator  $I_{2,REG}$**



**Figure 6. Evolving trend in number of DOEs for indicator  $I_{2,REG}$**

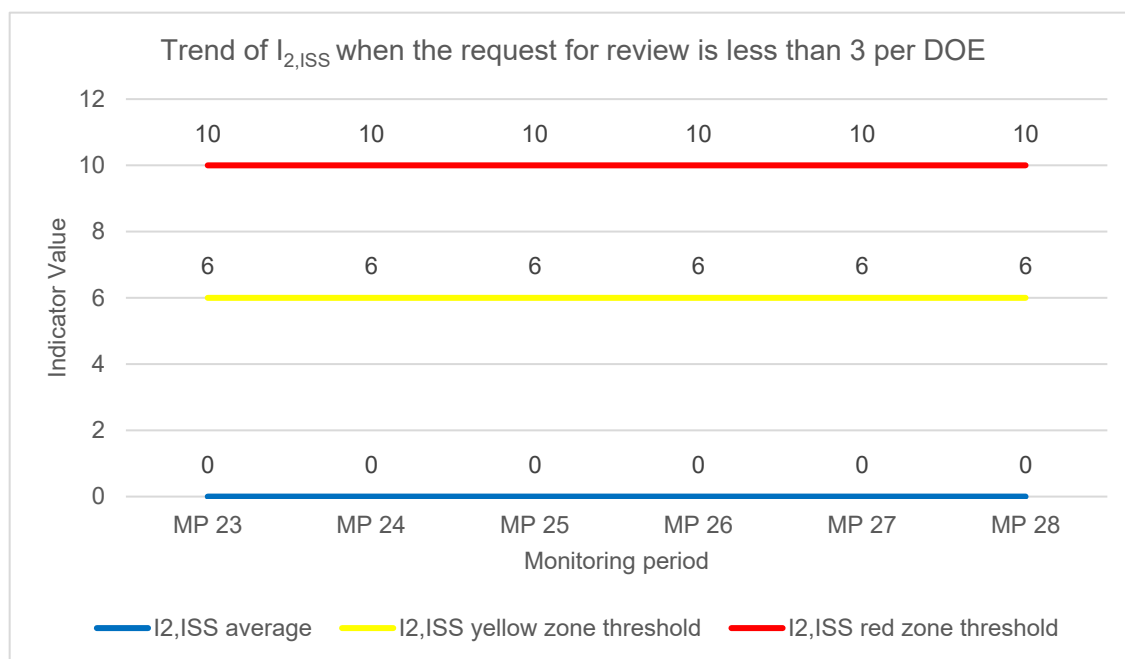


<sup>15</sup> The number of RfR raised for registration per DOE in each of these three monitoring periods is less than three; therefore, the DOE performance monitoring procedure, paragraphs 15(b)(i)aii and 25(b), are applied.

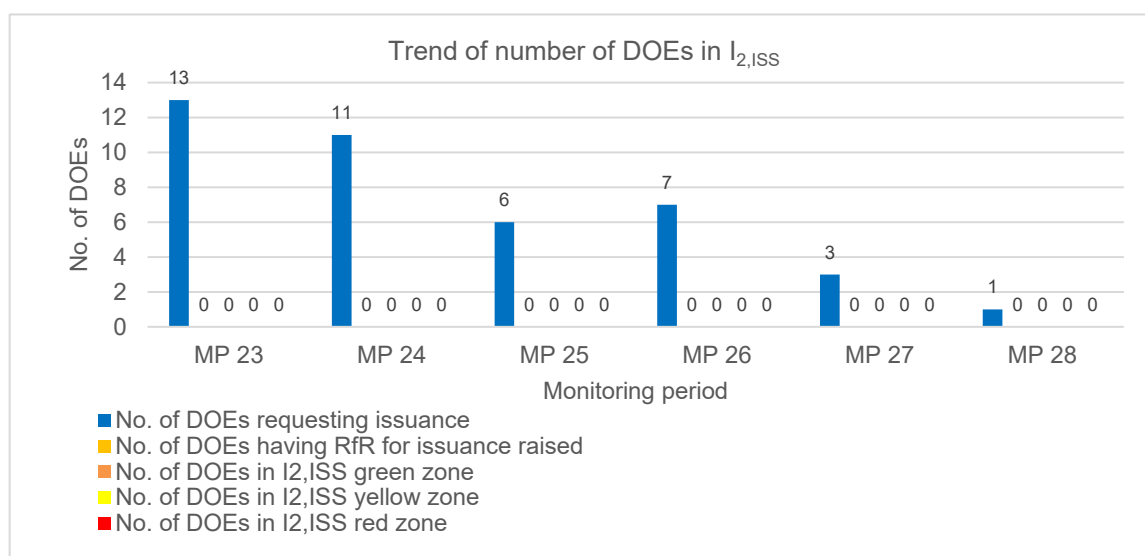
<sup>16</sup> There is no DOE in the red zone of the indicator  $I_{2,REG}$  for these three monitoring periods; therefore, the values of the legend “DOEs in  $I_{2,REG}$  red zone” shown in the figure 6 are zero for MP 23, MP 24 and MP 25.

16. Figure 7 shows the evolving trend of average value and threshold value of the indicator  $I_{2,ISS}$ . Figure 8 shows the evolving trend in number of DOEs for indicator  $I_{2,ISS}$ .<sup>17</sup>

**Figure 7. Evolving trend of the indicator  $I_{2,ISS}$**



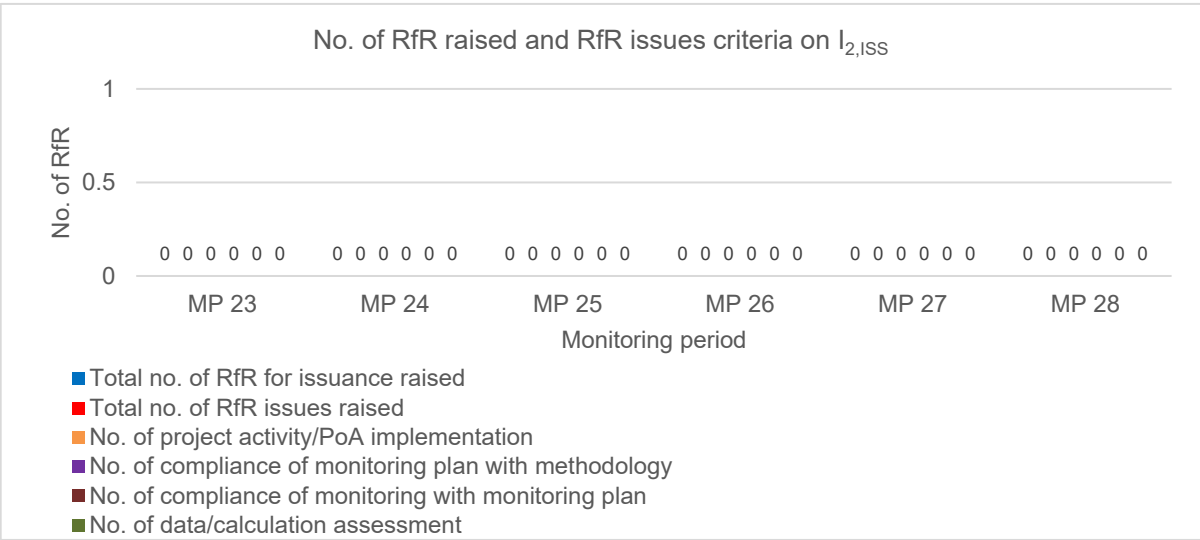
**Figure 8. Evolving trend in number of DOEs for indicator  $I_{2,ISS}$**



<sup>17</sup> The number of RfRs raised for issuance per DOE in each of these three monitoring periods is less than three; therefore, the DOE performance monitoring procedure, paragraphs 15(b)(ii)aii and 25(b), is applied.

17. Table 2 and figure 9 show the breakdown and trend in number of RfR issues raised and the number of RfR issues criteria for indicator  $I_{2,ISS}$ .<sup>18</sup>

**Figure 9. Trend in the number of RfR raised and RfR issue criteria for the indicator  $I_{2,ISS}$**



### 3.3. Analysis of results for indicator $I_2$

18. As seen in figures 5 and 6, for indicator  $I_{2,REG}$  it is observed that:
- (a) The average value of indicator  $I_{2,REG}$  remains zero;
  - (b) There were no DOEs in the green, yellow or red zones;
  - (c) No RfR issues were identified for indicator  $I_{2,REG}$ .
19. As seen in figures 7, 8 and 9 for indicator  $I_{2,ISS}$ ,
- (a) No DOE breached any  $I_{2,ISS}$  threshold during the current reporting period;
  - (b) There was no DOE in the red zone for indicator  $I_2$  and there was no DOE in the yellow zone for indicator  $I_2$  in the three consecutive monitoring periods; therefore, there is no additional performance assessment added.<sup>19</sup>

<sup>18</sup> The DOE performance monitoring procedure appendices 1 and 2 provide the categorization and criteria of non-compliance issues for indicators  $I_{2,REG}$  and  $I_{1,ISS}$ , respectively. It is to be noted that there are no RfR raised for the indicator  $I_{2,ISS}$  during this reporting period.

<sup>19</sup> The DOE performance monitoring procedure, paragraphs 41 and 44, provides for an additional performance assessment (in addition to the number of planned performance assessments) and an initiation of a spot-check if a DOE is in the yellow zone for three consecutive monitoring periods and red zone respectively for indicator  $I_2$ .

## 4. Analysis of the indicator I<sub>3</sub>

### 4.1. Overview of performance of DOEs

20. A total of (six) 12 requests were submitted by (six) four DOEs during the current reporting period, out of which (19) zero request for clarification (RfC) was raised.<sup>20</sup> Table 3 provides an overview of performance of DOEs through the indicator I<sub>3</sub>.

**Table 3. Overview performance of DOEs for indicator I<sub>3</sub>**

| MP    | No. of requests submitted <sup>(a)</sup> | No. of DOEs requesting PRC/notification of change | No. of requests having RfC/rejection raised | No. of DOEs having RfC/rejection raised | No. of issues raised |
|-------|------------------------------------------|---------------------------------------------------|---------------------------------------------|-----------------------------------------|----------------------|
| MP 23 | 4                                        | 4                                                 | 0                                           | 0                                       | 0                    |
| MP 24 | 2                                        | 2                                                 | 1                                           | 1                                       | 2                    |
| MP 25 | 0                                        | 0                                                 | 0                                           | 0                                       | 0                    |
| MP 26 | 1                                        | 1                                                 | 0                                           | 0                                       | 0                    |
| MP 27 | 11                                       | 3                                                 | 0                                           | 0                                       | 0                    |
| MP 28 | 0                                        | 0                                                 | 0                                           | 0                                       | 0                    |

<sup>(a)</sup> The requests cover requests for approval of PRCs to both project activities and PoAs under the prior approval track and notifications of changes to CPAs.

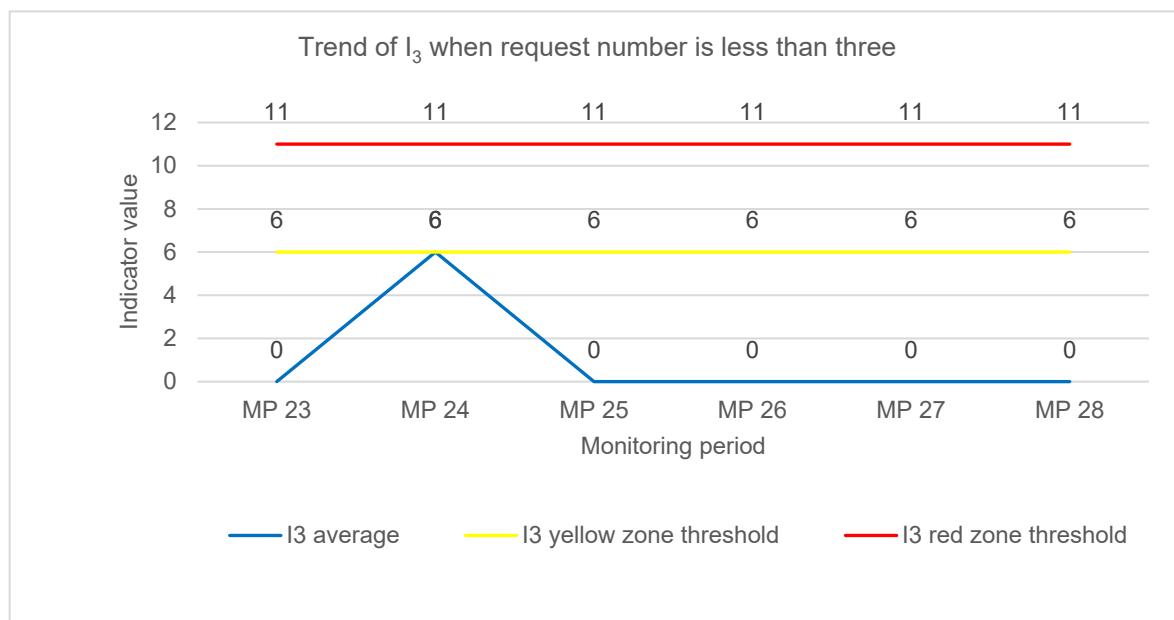
### 4.2. Evolution of performance of DOEs

21. Figure 10 shows the trend of indicator I<sub>3</sub> when the number of RfCs and rejected requests raised per DOE is less than three. It is noted that no situation occurred in this reporting period where the number of RfCs and rejected requests raised per DOE is higher than or equal to three.<sup>21</sup>

<sup>20</sup> The DOE performance monitoring procedure, paragraph 15(c), provides a definition of indicator I<sub>3</sub>.

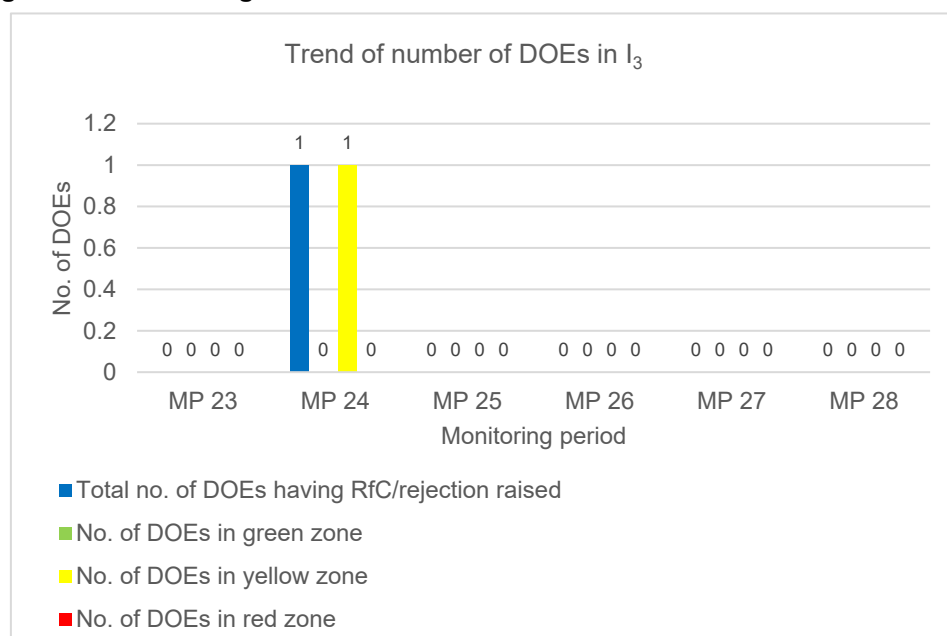
<sup>21</sup> The DOE performance monitoring procedure, paragraph 15(c)(i), describes how to calculate the indicator I<sub>3</sub> based on the situation when the number of RfCs and rejected requests raised during a given monitoring period is higher than or equal to three and less than three.

**Figure 10. Evolving trend of the indicator  $I_3$  for those requests where the number of RfCs and rejected requests during a given monitoring period is less than three**



22. Figure 11 shows the evolving trend in number of DOEs for indicator  $I_3$ .<sup>22</sup>

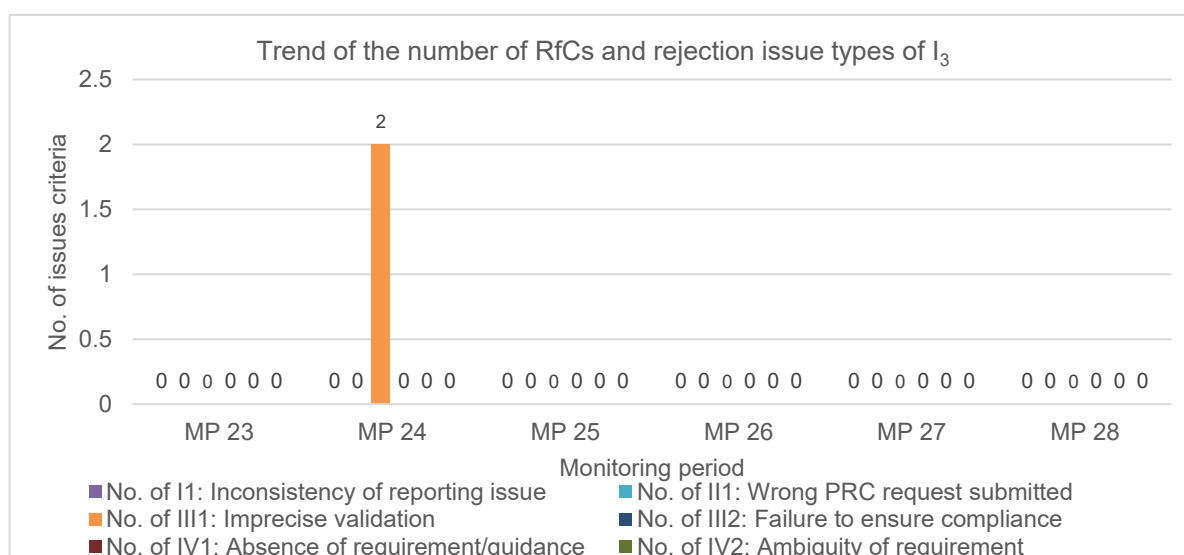
**Figure 11. Evolving trend in number of DOEs for indicator  $I_3$**



<sup>22</sup> The DOE performance monitoring procedure, paragraph 26, describes how to categorize the DOEs in the green zone, yellow zone and red zone.

23. Figure 12 shows the evolving trend in number of RfC and rejection issue types for indicator  $I_3$ .<sup>23</sup>

**Figure 12. Trend in RfCs and rejection issue types for indicator  $I_3$**



#### 4.3. Analysis of results of the indicator $I_3$

24. As seen in figure 10 (when the number of RfCs and rejected requests raised per DOE is less than three), the average value of indicator  $I_3$  shows a decreasing trend when compared to the previous reporting period, which demonstrates an improved performance of the DOEs. It is noted that there is no request where the number of RfCs and rejected requests is higher than or equal to three, therefore the average value of indicator  $I_3$  remains zero as no RfC issues were raised.
25. As seen from table 3 and figure 11, it is observed that:
- The number of DOEs that submitted PRCs or notifications of change of CPAs and had received RfCs and rejection requests decreased over the reporting periods to (17) zero per cent;
  - The number DOEs in yellow decreased to (1) zero in this reporting period.
26. As seen in table 3 and figure 12, with regard to the number of issues raised and types of issues in the RfCs and rejection requests, it is observed that:
- The average number of issues raised per request decreased to (two) zero;
  - No issues were observed during this reporting period.

<sup>23</sup> The DOE performance monitoring procedure, Appendix 3, provides the categorization and criteria of non-compliance issues for the indicators  $I_3$ .

## 5. Areas of system-wide improvement

27. Based on the data gathered from the three MPs and the analysis above, overall improvement in the DOE performance is observed for the indicators  $I_1$  and  $I_2$ . Specifically, there is a decreasing trend in DOEs breaching the threshold for indicator  $I_1$  and no DOE breached the threshold for the indicator  $I_2$ . This improvement may also be partly attributed to the lower number of submissions compared to the previous reporting period. The indicator  $I_3$  also showed a decreasing trend relative to the previous reporting period, demonstrating improved DOE performance, which again may be linked to the lower number of submissions.

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### Document information

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