

# PROCEDURE ON PERFORMANCE MONITORING OF DESIGNATED OPERATIONAL ENTITIES

**EB 58**

Cancun, Mexico



## Background

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- CMP 4 requested the Board to develop a system for the continuous monitoring, and improvement of the performance of designated operational entities (DOEs)
  - EB 49 agreed on a policy framework to monitor performance and address non-compliance by DOEs in a systematic manner
  - EB 51 have adopted an implementation plan for the framework
  - EB 52 agreed on the sub-categories and weights used for classifying and grading non compliances as provided in annex 1 of the annotated agenda of EB 52.
  - EB53 agreed on the Thresholds for DOE Performance
  - EB 57 agreed on the information and reports to be made available to the different parties of the process (EB, AP, DOE and public)
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# Structure of the draft procedure

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- I. Background**
- II. Scope**
- III. Definitions**
- IV. Classification and grading of non compliances**
- V. Definition of performance indicators**
- VI. Definition of thresholds**
- VII. Data collection and calculation of the indicators**
- VIII. Monitoring periods**
- IX. Reporting on the DOE performance**
- X. Frequency of reporting**
- XI. Actions to be undertaken based on the DOE performance monitoring**
  - A. DOEs**
  - B. CDM-AP**
  - C. CDM-EB**



# Structure of the draft procedure

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## I. Background

## II. Scope

- Applicability
- Principles
- Use of the output

## III. Definitions

- DOE performance
- Non compliance

## IV. Classification and grading of non compliances

- 4 categories divided into a number of subcategories
- Predefined weight for each subcategory



# Structure of the draft procedure

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## V. Definition of performance indicators

- Indicator I1 = Number of requests rejected at completeness check / Number of requests submitted;
- Indicator I2 = SUM (weights of Request for Reviews) / Number of requests completed;

## VI. Definition of thresholds

Two thresholds are identified. On reaching the first threshold a DOE shall be notified of the need to undertake a root-cause analysis and implement corrective actions to improve its performance. On reaching the second threshold, the CDM-AP shall initiate a spot-check of the relevant DOE.



# Structure of the draft procedure

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## VII. Data collection and calculation of the indicators

Stages where data is collected and nature of the data collected

## VIII. Monitoring periods

6 monthly monitoring periods

## IX. Reporting on the DOE performance

- Objective from reporting
- Data reported

## X. Frequency of reporting

3 monthly reporting on the DOE performance from the end of the monitoring period

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### **XI. Actions to be undertaken based on the DOE performance monitoring**

- DOEs
- CDM-AP
- CDM-EB



## Expected outcome from EB

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- Adopt the draft procedure

