

PROCEDURE ON PERFORMANCE MONITORING OF DESIGNATED OPERATIONAL ENTITIES

EB 59

Bonn, 14-18 February 2011

Background

EB 58 : Adoption of the procedure on performance monitoring of DOEs;

General principles:

- **Classification and grading of non compliances**
 - 4 categories divided into a number of subcategories
 - Predefined weight for each subcategory

- **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;



Background

a) Definition of thresholds

- Thresholds for alerting a DOE that there are non-compliance issues which raise concerns on the DOE performance (yellow zone):
 - ✓ Validation/Verification: 0.5
 - *Associated action: Formal communication with DOEs to conduct a root-cause analysis*
- Thresholds for considering that a DOEs performance requires urgent investigation (red zone):
 - ✓ Validation: 3.0
 - ✓ Verification: 1.5
 - *Associated action: spot-check*



Background

- **Monitoring periods**

6 monthly monitoring periods

- **Frequency and nature of reporting**

- 3 monthly reporting on the DOE performance from the end of the monitoring period
 - ✓ Reports to each individual DOE eligible for monitoring
 - ✓ Report to EB on the performance of all DOE s eligible for monitoring
 - ✓ Report to AP
 - ✓ Report to the public
- 6 monthly reporting to EB on system wide improvement



Result of the first monitoring period

- **Performance monitoring period: 1 January to 30 June 2010**
- **Data for submissions finalised as of: 31 December 2010**
- **Nine DOEs are eligible for monitoring (have finalised 10 or more project activities) have provided reports**
 - **BVC, DNV and TUV SUD have been notified to undertake root cause analysis for their validation activities as the first threshold was reached for registration**
 - **TUV NORD has been notified to undertake root cause analysis for their verification activities as the first threshold was reached for issuance**



Result of the first monitoring period

DOE ¹		PA ² submitted for registration /issuance	PA for which a final decision was made	% of PA finalised	PA automatically registered/ issued	PA not admitted at the completeness -check stage	PA reviewed	I1 ³	I2 ⁴
reau Veritas certification olding SAS (BVCH)	Registration	30	21	70%	16	8	5	0,38	1,14
	Issuance	47	43	91%	37	3	6	0,07	0,35
China vironmental United ertification enter Co., td. (CEC)	Registration	-	-	-	-	-	-	-	-
	Issuance	13	10	77%	10	4	0	0,40	0
Det Norske Veritas ertification AS (DNV)	Registration	110	80	73%	62	19	18	0,24	0,60
	Issuance	144	99	69%	86	32	13	0,32	0,33
ERM ertification and ertification ervices Ltd. (ERM CVS)	Registration	-	-	-	-	-	-	-	-
	Issuance	11	10	91%	9	1	1	0,10	0
Japan Consulting	Registration	14	7	50%	6	0	1	0	0,14

¹ Only DOEs that have had more than 10 projects finalised are subject to monitoring

² Project activity

³ Rate of rejections at completeness check

⁴ Rate of requests for review



Result of the first monitoring period

DOE ¹		PA ² submitted for registration /issuance	PA for which a final decision was made	% of PA finalised	PA automatically registered/ issued	PA not admitted at the completeness -check stage	PA reviewed	I1 ³	I2 ⁴
GS United Kingdom mited (SGS)	Registration	49	30	61%	25	8	5	0,27	0,27
	Issuance	106	94	89%	76	6	18	0,06	0,14
ÜV NORD ERT GmbH (ÜV Nord)	Registration	48	36	75%	31	14	5	0,39	0,31
	Issuance	28	20	71%	19	3	1	0,15	0,65
TÜV Rheinland Japan Ltd. (TUEV Rheinland)	Registration	36	28	78%	25	10	3	0,36	0,43
	Issuance	-	-	-	-	-	-	-	-
ÜV SÜD Industrie Service GmbH (ÜV SÜD)	Registration	46	30	65%	22	28	8	0,93	0,77

¹ Only DOEs that have had more than 10 projects finalised are subject to monitoring

² Project activity

³ Rate of rejections at completeness check

⁴ Rate of requests for review



Future reports

Next reporting by: 30 April 2011

- **A second report on this first monitoring period (1 January 2010- 30 June 2010) will be provided;**
- **Full analysis of the data generating of this first monitoring period to identify system wide improvement will be done, in accordance with the procedure, when majority of submission would have been finalised;**
- **A first report on the second monitoring period (1 July 2010 – 31 December 2010) will be also provided;**

