

CDM-EB82-AA-A03

Concept note

Identification of key performance indicators

Version 01.0



United Nations
Framework Convention on
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1. Procedural background

1. In accordance with prior mandates, the secretariat produces several reports to the Executive Board of the clean development mechanism (CDM) on the behalf of the CDM Executive Board (the Board). These reports include a variety of indicators covering the performance of the secretariat, the mechanism, and the Board. These reports include, (i) quarterly reports to the Board (including, progress against the management plan (MAP), compliance with process-related timelines, financial resources, and regional distribution), (ii) status of MAP implementation, (iii) the annual report of the Board to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), (iv) the budget performance for the biennium 2014–2015 as at 30 June 2014 (last presented at the forty-first session of the Subsidiary Body for Implementation), and (v) the MAP 2015.
2. Notwithstanding the information that is already being provided, at its eighty-first meeting, the Board requested a MAP project to develop a set of key performance indicators (KPIs).

2. Key issues

3. As indicated in paragraph 1 above, the secretariat produces several reports that include a variety of indicators. An inventory of the parameters currently reported is presented as an appendix to this concept note for information. To aid in the understanding of the areas of work that the current parameters cover, the parameters in the appendix are organized according to the same 'activity groups' the activities and projects are categorized in the MAP (e.g., project assessments, CDM registry, methodologies, partnership, external queries, communications, entity assessments, servicing of regulatory body, servicing of panels/working groups, secretariat-organized interactions, management and internal administration).
4. The following questions are therefore provided to stimulate Board discussion on the KPIs:
 - (a) What types of KPIs would be helpful to the Board? For example, the KPIs could focus on areas such as the performance of the mechanism in key areas of impact, the impact of the panels and working group's performance and contributions to the mechanism, the impact of the secretariat's performance in the efficient and effective operation of mechanism, and/or the impact of the Board's performance on the overall implementation of the mechanism.
 - (b) Could any of the existing parameters (see Appendix 1) be strengthened, improved, and/or streamlined?

3. Desired outcomes and impacts

5. The desired outcome of the project is to address the needs of the Board with respect to KPIs.

4. Timelines

6. Based on the guidance of the Board, follow up actions will be taken.

5. Recommendations to the Board

7. The secretariat recommends the Board to provide guidance on the proposed questions in paragraph 5 above.

6. References

- (a) Quarterly reports to the Board;
- (b) Status of CDM MAP 2014 implementation version 01.0 (CDM-EB80-AA-AA-CONF);
- (c) Annual report of the Board to the CMP;
- (d) Budget performance for the biennium 2014–2015 as at 30 June 2014;
- (e) Management plan 2015 version 01.0 (CDM-EB81-A01).

Appendix. Inventory of parameters/indicators

Reported in 2014

1. Sources

1. The reports used to compile the parameters/indicators in this annex is as follows:

Table 1. Reports

<i>Report</i>	<i>Abbreviation</i>	<i>Frequency</i>
Annual report of the Board to the CMP	AR EB to CDM	Annual
Budget performance for the biennium 2014–2015 as at 30 June 2014. SBI 42	SBI budget performance	Every half a year and 1.5 years
Management plan 2015	MAP	Annual
Status of CDM MAP 2014 implementation	Status of CDM MAP implementation	Half a year
Quarterly reports to the Board. Progress against the MAP 2014	QR Compliance with the process-related timelines	Quarterly

2. Inventory of parameters/indicators

2. The parameters/indicators presented in the tables that follow are categorized by ‘activity group’ in a similar way the activities and projects are categorized in the management plan (MAP).

Table 2. Project assessment

PARAMETER/INDICATOR	Source
Amount of projects registered under CDM by the end of reporting period	AR EB to CDM
Amount of PoAs registered under CDM by the end of reporting period	AR EB to CDM
Amount of projects undergoing validation by the end of reporting period	AR EB to CDM
Amount of PoAs undergoing validation by the end of reporting period	AR EB to CDM
Amount of projects issued under CDM by the end of reporting period	AR EB to CDM
Amount of PoAs issued under CDM by the end of reporting period	AR EB to CDM
Amount of issued CERs by the end of reporting period	AR EB to CDM
Amount of estimated CERs by the end of reporting period	AR EB to CDM
Amount of registration requests submitted. It comprises submissions and resubmissions after incompleteness	AR EB to CDM

PARAMETER/INDICATOR	Source
Amount of registration finalized requests. It comprises registered, withdrawn and rejected requests submitted within the reporting period and requests submitted prior to the reporting period that had entered the processing pipeline.	AR EB to CDM
Amount of Issuance requests submitted. Requests submitted comprise submissions and resubmissions after incompleteness	AR EB to CDM
Amount of issuance finalized requests. Finalized requests comprise registered, withdrawn and rejected requests submitted within the reporting period and requests submitted prior to the reporting period that had entered the processing pipeline.	AR EB to CDM
Requests PoAs registration submitted comprise submissions and resubmissions after incompleteness	AR EB to CDM
Finalized PoAs registration requests comprise registered, withdrawn and rejected requests submitted within the reporting period and requests submitted prior to the reporting period that had entered the processing pipeline.	AR EB to CDM
Requests PoAs issuance submitted comprise submissions and resubmissions after incompleteness	AR EB to CDM
Finalized PoAs issuance requests comprise registered, withdrawn and rejected requests submitted within the reporting period and requests submitted prior to the reporting period that had entered the processing pipeline.	AR EB to CDM
Renewal of crediting period. Requests submitted comprise submissions and resubmissions after incompleteness	AR EB to CDM
Renewal of crediting period. Finalized requests comprise registered, withdrawn and rejected requests submitted within the reporting period and requests submitted prior to the reporting period that had entered the processing pipeline.	AR EB to CDM
Post-registration changes. Requests submitted comprise submissions and resubmissions after incompleteness	AR EB to CDM
Post-registration changes. Finalized requests comprise registered, withdrawn and rejected requests submitted within the reporting period and requests submitted prior to the reporting period that had entered the processing pipeline.	AR EB to CDM
Amount of registered PoAs from Africa	AR EB to CDM
Amount of registered PoAs from Asia & Pacific	AR EB to CDM
Amount of registered PoAs from Latin America & Caribbean	AR EB to CDM
Amount of registered PoAs from Economies in transition	AR EB to CDM
Amount of CPAs covered by PoAs	AR EB to CDM
Number of resubmission request (plotted by complete submission date)	QR Compliance with the process-related timelines
Number of new submission request (plotted by complete submission date)	QR Compliance with the process-related timelines

PARAMETER/INDICATOR	Source
Average waiting days for requests for registration with completeness check commenced in the month	QR Compliance with the process-related timelines
Average duration of completeness check finalized in the month	QR Compliance with the process-related timelines
Average duration of information and reporting checks finalized in the month	QR Compliance with the process-related timelines
Average period for preparation of summary notes submitted in the month	QR Compliance with the process-related timelines
Percentage of completeness check cases beyond target per process step completed in the month (among delayed cases)	QR Compliance with the process-related timelines
Percentage of information and reporting cases beyond target per process step completed in the month (among delayed cases)	QR Compliance with the process-related timelines
Percentage of summary note cases beyond target per process step completed in the month (among delayed cases)	QR Compliance with the process-related timelines
Percentage of automatic registration vs. review cases	QR Compliance with the process-related timelines
Average waiting time for requests for review with assessment commenced in the month	QR Compliance with the process-related timelines
Average duration of secretariat assessment finalized in the month	QR Compliance with the process-related timelines
Average duration of registration and issuance team assessment finalized in the month	QR Compliance with the process-related timelines
Average duration of information notes on rulings submitted in the month	QR Compliance with the process-related timelines
Number of resubmission request (plotted by submission date)	QR Compliance with the process-related timelines
Number of new submission request (plotted by submission date)	QR Compliance with the process-related timelines
Average waiting time for requests for issuance with completeness check commenced in the month	QR Compliance with the process-related timelines
Average duration of completeness check finalized in the month	QR Compliance with the process-related timelines

PARAMETER/INDICATOR	Source
Average duration of information and reporting checks finalized in the month	QR Compliance with the process-related timelines
Average period for preparation of summary note submitted in the month (among delayed cases)	QR Compliance with the process-related timelines
Proportion of registration cases processed within the specified timelines	SBI budget performance

Table 3. Entity assessments

PARAMETER/INDICATOR	Source
Amount of Accreditation fees during the year	AR EB to CDM
Amount of Accreditation process-related fees during the year	AR EB to CDM
Amount of accreditation fees by the mid-year	Status of CDM MAP implementation
Amount of fees from the accreditation process by the mid-year	Status of CDM MAP implementation
Average duration to complete the initial accreditation cases	QR Compliance with the process-related timelines
Average duration to complete the performance assessment cases	QR Compliance with the process-related timelines
Average duration to complete the re-accreditation cases	QR Compliance with the process-related timelines
Average duration to complete the regular surveillance cases	QR Compliance with the process-related timelines
Number of initial accreditation cases finalized	QR Compliance with the process-related timelines
Number of performance assessment cases finalized	QR Compliance with the process-related timelines
Number of re-accreditation cases finalized	QR Compliance with the process-related timelines
Number of regular surveillance cases finalized	QR Compliance with the process-related timelines
Proportion of issuance cases processed within the specified timelines	SBI budget performance
Proportion of accreditation cases processed within the specified timelines	SBI budget performance

Table 4. CDM Registry

PARAMETER/INDICATOR	GROUP OF ACTIVITY
Amount of tCERs issuance	AR EB to CDM
Amount of ICERs issuance	AR EB to CDM
Amount of transactions in total issuance transactions	AR EB to CDM
Amount of units in total issuance transactions	AR EB to CDM
Amount of transactions in total forwarding transactions to the Adaptation Fund account	AR EB to CDM
Amount of units in total forwarding transactions to the Adaptation Fund account	AR EB to CDM
Amount of transactions in total forwarding transactions to the clean development mechanism registry or Annex I Party registries	AR EB to CDM
Amount of units in total forwarding transactions to the clean development mechanism registry or Annex I Party registries	AR EB to CDM
Amount of transactions in total transactions from the Adaptation Fund account to Annex I Party registries	AR EB to CDM
Amount of units in total transactions from the Adaptation Fund account to Annex I Party registries	AR EB to CDM
Amount of transactions in total voluntary cancellation transactions	AR EB to CDM
Amount of units in total voluntary cancellation transactions	AR EB to CDM
Amount of transactions in total administrative cancellation transactions	AR EB to CDM
Amount of units in total administrative cancellation transactions	AR EB to CDM
Amount of CERs issued for the first commitment period of the Kyoto Protocol	AR EB to CDM
Amount of CERs issued for the second commitment period of the Kyoto Protocol	AR EB to CDM
Number of projects currently in the CDM project portfolio	Status of CDM MAP implementation
Number of countries with 10 or more registered projects	SBI budget performance
Number of PoA registrations in underrepresented regions	SBI budget performance

Table 5. Methodologies

PARAMETER/INDICATOR	Source
Amount of standardized baselines received from DNAs	AR EB to CDM
Amount of adopted standardized baselines received from DNAs	AR EB to CDM
Number of DNAs willing to work with the Board in the development of standardized baselines	AR EB to CDM

PARAMETER/INDICATOR	Source
Number of new methodologies approved by the Board	AR EB to CDM
Number of new methodological tools approved by the Board	AR EB to CDM
Number of revised methodologies approved by the Board	AR EB to CDM
Number of revised methodological tools approved by the Board	AR EB to CDM
Amount of Methodology fees during the year	AR EB to CDM
Amount of methodology fees by the mid-year	Status of CDM MAP implementation
Number of approved large-scale revision requests	QR Compliance with the process-related timelines
Number of approved large-scale new methodology requests	QR Compliance with the process-related timelines
Number of approved large-scale clarification requests	QR Compliance with the process-related timelines
Number of approved small-scale revision requests	QR Compliance with the process-related timelines
Number of approved small-scale new methodology requests	QR Compliance with the process-related timelines
Number of approved small-scale clarification requests	QR Compliance with the process-related timelines
Number of approved A/R revision requests	QR Compliance with the process-related timelines
Number of approved A/R new methodology requests	QR Compliance with the process-related timelines
Number of approved A/R clarification requests	QR Compliance with the process-related timelines
Average time for approval/rejection of large-scale revision	QR Compliance with the process-related timelines
Average time for approval/rejection of large-scale new methodology	QR Compliance with the process-related timelines
Average time for approval/rejection of large-scale clarification	QR Compliance with the process-related timelines
Average time for approval/rejection of small-scale revision	QR Compliance with the process-related timelines

PARAMETER/INDICATOR	Source
Average time for approval/rejection of small-scale new methodology	QR Compliance with the process-related timelines
Average time for approval/rejection of small-scale clarification	QR Compliance with the process-related timelines
Average time for approval/rejection of A/R revision	QR Compliance with the process-related timelines
Average time for approval/rejection of A/R new methodology	QR Compliance with the process-related timelines
Average time for approval/rejection of A/R clarification	QR Compliance with the process-related timelines
Number of meeting per proposed methodology	QR Compliance with the process-related timelines
Number of standardized baselines supported by RCCs and resulting in submissions	SBI budget performance
Proportion of methodology cases processed within the specified timelines	SBI budget performance
Number of standards developed or simplified that are relevant to low income communities (including the development of standardized baselines)	SBI budget performance

Table 6. Servicing of regulatory body

PARAMETER/INDICATOR	Source
Number of meetings of the CDM Executive Board	SBI budget performance
The level of satisfaction of the members of the CDM Executive Board with the support provided	SBI budget performance
The proportion of meeting documents made available fully in accordance with the rules of procedure of the CDM Executive Board	SBI budget performance
The proportion of CDM Executive Board mandated outputs delivered and delivered on time	SBI budget performance

Table 7. Servicing of of panels/working groups

PARAMETER/INDICATOR	Source
Number of meetings of panels and working groups	SBI budget performance

Table 8. Secretariat-organized interactions

PARAMETER/INDICATOR	Source
Number of workshops organized by the programme and/or by RCC	SBI budget performance
Number of WebEx meetings organized doe DOE for consultation and capacity-building	SBI budget performance

Table 9. Trust Fund for the Clean Development Mechanism

PARAMETER/INDICATOR	Source
Trust Fund for the Clean Development Mechanism. Amount of Carry-over from previous year	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of CDM fees	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of interest	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of refunds of fees	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of miscellaneous income	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of expenditure	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of programme support costs	SBI budget performance
Trust Fund for the Clean Development Mechanism. Amount of operating reserve	SBI budget performance

Table 10. Partnership

PARAMETER/INDICATOR	Source
Total of applications received. CDM Loan Scheme	AR EB to CDM
Total of loans approved. CDM Loan Scheme	AR EB to CDM
Number of projects that have had loans approved in Africa	AR EB to CDM
Number of projects that have had loans approved in Asia and the Pacific	AR EB to CDM
Number of projects that have had loans approved in Latin America	AR EB to CDM
Percentage of loans covering PoAs	AR EB to CDM
Percentage of approved loans. LDC account.	AR EB to CDM
Percentage of approved loans. African States account	AR EB to CDM
Forum. Nairobi Framework Partnership Joint efforts in the reporting period.	AR EB to CDM
Number of identified new project activities	AR EB to CDM

PARAMETER/INDICATOR	Source
Number of RCCs	SBI budget performance
Number of programmes of activities directly supported by RCCs, resulting in activities moving forward in the project cycle	SBI budget performance
Number of potential new projects indentified by RCCs	SBI budget performance

Table 11. External queries

PARAMETER/INDICATOR	Source
Letters received by the board during the reporting period	AR EB to CDM QR Compliance with the process-related timelines
Number of media queries responded to regarding the CDM.	AR EB to CDM
Number of days to respond letters	QR Compliance with the process-related timelines

Table 12. Communications

PARAMETER/INDICATOR	Source
Number of news releases and announcements disseminated	SBI budget performance

Table 13. Management

PARAMETER/INDICATOR	Source
Number of forecasted work items to be delivered by mid-year Number of products planned at quarter	AR EB to CDM QR EB
Number of additional work items to be delivered by mid-year Number of fully completed products resulted from additional mandates given by the Board to the secretariat	AR EB to CDM QR EB
Number of delivered work items by mid-year Number of products delivered at quarter	AR EB to CDM QR EB
Number of work items delivered in accordance with the original timelines Number of fully completed products delivered in line with the original CDMMAP	AR EB to CDM QR EB
Number of work items rescheduled due to the need to balance Board meeting workload Number of products postponed Number of products postponed at the Board's request	AR EB to CDM
Number of work items on track for delivery against established timelines Number of products with delays	AR EB to CDM QR EB

PARAMETER/INDICATOR	Source
Amount of CDM income Amount of total fees Income	AR EB to CDM Status of CDM MAP implementation MAP
Amount of CER fees remain in pending accounts	AR EB to CDM
Amount of Carry-over from previous year	AR EB to CDM
Amount of Registration fees during the year	AR EB to CDM
Share of proceeds during the year	AR EB to CDM
Amount of budget (12 months)	AR EB to CDM
Amount of expenditure Expenditure	AR EB to CDM MAP
Percentage of expenditure against budget	AR EB to CDM
Number of products declared obsolete by the Board	QR EB
Percentage of the staff months utilized for the work done in support of each objective (1a, 1b, 1c, 2a, 2b, 2c)	Status of CDM MAP implementation
Projects supporting each objective (1a, 1b, 1c, 2a, 2b, 2c)	Status of CDM MAP implementation
Number of forecasted project-related products to be delivered by mid-year in terms of the Board's work plan approved	Status of CDM MAP implementation
Number of forecasted routine operations to be delivered by mid-year in terms of the Board's work plan approved	Status of CDM MAP implementation
Number of additional products to be delivered by mid-year	Status of CDM MAP implementation
Number of additional routine operations to be delivered by mid-year	Status of CDM MAP implementation
Number of products delivered at mid-year	Status of CDM MAP implementation
Number of routine operations delivered at mid-year	Status of CDM MAP implementation
Number of work items delivered in accordance with the original timelines	Status of CDM MAP implementation
Number of project related products re-scheduled	Status of CDM MAP implementation
Number of routine operations re-scheduled	Status of CDM MAP implementation
Number of projects which is currently in the CDM project portfolio and approved in the MAP	Status of CDM MAP implementation
Number of projects which is currently in the CDM project portfolio and received after the approval of the MAP	Status of CDM MAP implementation
Number of projects which is currently in the CDM project portfolio and continuing from previous Board mandate	Status of CDM MAP implementation
Number of project-related products forecasted in the approved MAP to be delivered by mid-year in the Board's work plan approved at last EB meeting	Status of CDM MAP implementation
Number of project products delivered by mid-year	Status of CDM MAP

PARAMETER/INDICATOR	Source
	implementation
Number of project products delivered as part of the original Board work plan by mid-year	Status of CDM MAP implementation
Number of project products delivered in addition to the original Board work plan by mid-year	Status of CDM MAP implementation
Amount of registration fees by the mid-year	Status of CDM MAP implementation
Share of proceeds by the mid-year	Status of CDM MAP implementation
Amount of registration fees and share of proceeds	Status of CDM MAP implementation
Percentage of the recurring mandates of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) are being delivered in accordance with the specified timelines	SBI budget performance
Percentage of the mandated outputs delivered on time	SBI budget performance
Carry-over funds from 31 December 2013 (A)	MAP
Surplus/Deficit. Income less expenditures	MAP
Balance available (surplus/deficit + carry-over)	MAP
Interest accruing on the CDM Trust Fund. This amount is included in the carry-over and balance given in MAP table 7 and is earmarked to fund the loan scheme, as decided by Parties to the Kyoto Protocol	MAP
unpaid balance of issuance fees, which become due prior to forwarding and not prior to issuance	MAP
The proposed budget for the 2015 one-year period	MAP
For Staff and Non-Staff costs is calculated the difference percentage between 2014 and 2015 budget	MAP

Table 14. Internal administration

PARAMETER/INDICATOR	Source
Amount of full-time secretariat staff Number of posts approved Total number of posts in each unit	AR EB to CDM Status of CDM MAP implementation MAP
Percentage of the staff months utilized for the work done under cross-cutting activities	Status of CDM MAP implementation
Amount of staff cost by mid-year	Status of CDM MAP implementation
Amount of consultant costs by mid-year	Status of CDM MAP implementation
Amount of expert costs by mid-year	Status of CDM MAP implementation
Amount of expert travel costs by mid-year	Status of CDM MAP implementation

PARAMETER/INDICATOR	Source
Amount of EB travel costs by mid-year	Status of CDM MAP implementation
Amount of DNA travel costs by mid-year	Status of CDM MAP implementation
Amount of staff travel costs by mid-year	Status of CDM MAP implementation
Amount of training costs by mid-year	Status of CDM MAP implementation
Amount of operating expenses by mid-year	Status of CDM MAP implementation
Amount of communication costs by mid-year	Status of CDM MAP implementation
Amount of supplies and material costs by mid-year	Status of CDM MAP implementation
Amount of grant costs by mid-year	Status of CDM MAP implementation
Number of posts occupied with fixed-term contracts	Status of CDM MAP implementation
Number of posts occupied under recruitment	Status of CDM MAP implementation
Number of posts vacant or on hold	Status of CDM MAP implementation
Number of P posts moved through an internal redeployment process to other units	Status of CDM MAP implementation
Number of G posts moved through an internal redeployment process to other units	Status of CDM MAP implementation
Number of staff assigned to RCCs	Status of CDM MAP implementation
Number of required experts	Status of CDM MAP implementation
Number of person months for Services of individual consultants and individual contractors	SBI budget performance
Level of service contracts issued. #of GTA/SSA contracts	MAP
Amount of services of individual consultants and individual contractors costs	SBI budget performance
Posts occupied by staff with fixed-term contracts in each unit	MAP
Total number of posts under recruitment in each unit	MAP
Total number of posts On hold in each unit	MAP
Staff allocated in Regional Collaboration Centers (RCCs)	MAP
Number of Professional-level posts	MAP
Number of General service-level posts	MAP
Level of service contracts issued. #of worked days	MAP

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Document Information

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