

CDM-EB99-AA-A02

Information note

DOE annual activity report

Version 01.0



United Nations
Framework Convention on
Climate Change

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1. Procedural background

1. In accordance with paragraph 27 (g) of the annex to decision 3/CMP.1 (Modalities and procedures for a clean development mechanism) and section 18 of the “CDM accreditation procedure” (ver. 14.0), designated operational entities (DOEs) shall submit an annual activity report to the Executive Board of the clean development mechanism (CDM) (hereinafter referred to as the Board) through the secretariat.
2. Paragraphs 20 and 21 of decision 2/CMP.5 require the information to be collected from DOEs to include the number of project activities under validation or verification per qualified auditor, and the time frames and average fees for the validation and verification of CDM project activities by region. The DOE annual activity reporting process provides an opportunity to gather such information.
3. At its eighty-seventh meeting (EB 87), the Board agreed to require DOEs to report on other business activities (e.g. undertaking validation or verification of greenhouse gas (GHG) assertions in other schemes) and the same has since been included in the DOE annual activity report form.
4. While considering the synthesis report of the annual activity reports submitted by the DOEs for the period 1 July 2016 to 30 June 2017 at EB 98, the Board requested the secretariat to present the information that is to be collected from DOEs for the next reporting period.

2. Purpose

5. The purpose of this note is to present the information that is currently being collected from DOEs in their annual activity report form (CDM-AAR-FORM) for the Board to decide whether there is any additional information to be collected from DOEs.

3. DOE annual activity report

6. The form CDM-AAR-FORM contains information to be obtained from DOEs. It was initially adopted at EB 61 (3 June 2011) and underwent several revisions as described in the document information table at the end of the form. The latest revision of the form (ver. 4.0), adopted on 25 August 2016, incorporated the Board’s request to require DOEs to report on other business activities (e.g. undertaking validation or verification of GHG assertions in other schemes).
7. The form CDM-AAR-FORM (see appendix for the latest version) requests the following information from DOEs:
 - (a) Major changes in organizational structure and personnel;
 - (b) List of declared outsourced entities or other offices, other than the DOE’s central office (as of 30 June);
 - (c) Entity’s management;
 - (d) Use of external individuals;
 - (e) Management systems;

- (f) CDM-related training undertaken;
 - (g) Status of CDM validation, verification and certification activities;
 - (h) List of project activities and programmes of activities declined, if any;
 - (i) Workload per qualified auditor;
 - (j) Timeframes for DOE services;
 - (k) Costs of DOE services;
 - (l) Report of the DOE Impartiality Committee;
 - (m) Other impartiality issues;
 - (n) Interactions with the CDM Executive Board;
 - (o) Interactions with other designated operational and/or applicant entities;
 - (p) Interactions with other interested parties;
 - (q) Annual income and expenditure relating to CDM related activities;
 - (r) Challenges and lessons learned; and
 - (s) Other GHG business activities that involve validation or verification of GHG assertions in other schemes other than the CDM.
8. In accordance with paragraph 272 of the “CDM accreditation procedure” (ver. 14.0), DOEs are required to submit an annual activity report using the form CDM-AAR-FORM by 30 September each year.


4. Subsequent work and timelines

9. The form CDM-AAR-FORM will be updated if the Board decides to request additional information from DOEs.

5. Recommendations to the Board

10. The secretariat recommends that the Board take note of this information note and provide guidance, as necessary.

Appendix. DOE annual activity report form (CDM-AAR-FORM)

		DOE annual activity report form (version 04.0)			
SECTION 1. INTRODUCTION					
A. DOE name					
B. Period covered by the report		<i>DD/MM/YYYY to DD/MM/YYYY</i>			
SECTION 2. ORGANIZATION					
A. Major changes in organizational structure and personnel Please complete the table: List the major changes ¹ that took place within the DOE during the reporting period. Use the following types: (a) Legal, commercial or organizational status, e.g. ownership, partnerships; (b) Key professional staff; (c) Management system; (d) Conformity to the CDM accreditation requirements; (e) Allocation of CDM functions to other offices or outsourced, entities including establishment of new offices or outsourced entities.					
No.	Type	Summary of change	Date of change	Notification to the CDM-AP	Date of notification
1			<i>DD/MM/YYYY</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>DD/MM/YYYY</i>
...			<i>DD/MM/YYYY</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>	<i>DD/MM/YYYY</i>
B. List of declared outsourced entities or other offices, other than the DOE's central office (as of 30 June). <u>Note:</u> the entity is reminded to refer to the relevant paragraphs of the CDM accreditation standard					
No.	Type	Location	Name of the legal entity at the location	Relationship with the central office	Information up-to date in your CDM-DOO-FORM?
1	<i>Outsourced entity or other office</i>	<i>(city & country)</i>		<i>(e.g. subsidiary company, group company, branch, etc.)</i>	Yes <input type="checkbox"/> No <input type="checkbox"/>
...					

¹ This report does not substitute the procedure for notifications of changes or the as a declaration of other or outsourced entities. The DOE shall continue to inform the CDM-AP separately of changes in accordance with the CDM accreditation procedure.

C. Entity's management							
Number of top management:							
D. Use of external individuals							
Total number of external individuals:							
Qualified as:	Validator	Verifier	Technical expert	Team leader	Technical reviewer		
Number:							
E. Management systems							
Internal audits carried out:							
No.	Date (start)	Location			Focus		
1.	DD/MM/YYYY	(country, city)					
..							
Management reviews carried out							
No.	Date (start)	Location			Focus		
1.	DD/MM/YYYY	(country, city)					
..							
Complaints, disputes and appeals on CDM-related activities							
List any complaints, disputes and appeals regarding the entity's function as a DOE as formally received during the reporting period. The type of the complaint, dispute or appeal shall be classified according to the following:							
(a) Complaints:							
(i) Type 1 - Delays;							
(ii) Type 2 - Communication issues;							
(iii) Type 3 - Termination of contract;							
(iv) Type 4 - Other (please specify);							
(b) Dispute;							
(c) Appeal.							
No.	Date complaint received	Type	Outcome		Complainant		
1.	DD/MM/YYYY				(project participant or stakeholder)		
...							
F. CDM-related training undertaken							
List the main CDM-related trainings undertaken during the reporting period.							
No.	Date (first day)	Title	Period (hours)	No. of participants	Internal/ external	Location	Provider
1.	DD/MM/YYYY					(country, city)	
...							

SECTION 3. CDM VALIDATION AND VERIFICATION/CERTIFICATION ACTIVITIES					
A. Status of CDM validation, verification and certification activities Provide the following information on all project activities and programme of activities (PoAs) your entity worked on during the reporting period.					
Activity	No. of validation activities		No. of verification activities		
Contract signed					
Contract terminated					
Validations/verifications on-going and not yet submitted to the UNFCCC, as of final date of the reporting period					
Negative opinion provided					
B. List of project activities and PoAs declined, if any, including the reasons for doing so Include all project activities and PoAs for which your entity declined to perform validation or verification/certification in the reporting period.					
No.	Location	Reason for declining			
1	(country)				
...					
C. Workload per qualified auditor Provide the number of project activities/PoAs worked on per qualified individual, over the whole reporting period, as of 30 June.					
No. of validation and verification/ certification activities	Validators	Verifiers	Technical expert	Team Lead	Technical reviewer
0					
1-10					
11-20					
21-30					
30+					
D. Timeframes for DOE services The average timeframe should be based on the entity's experience during the reporting period. Timeframe is defined as the period from signing the contract to the first submission of the request (project activity and PoA) to the secretariat.					
Activity Type			Average timeframe (months)		
Validation					
Verification (first verification)					
Verification (subsequent)					

For the following attributes apply a time adjustment factor to the average timeframe above. Time adjustment of 1.0 would mean no change, 0.9 would be 90% of the standard timeframe and conversely 1.1 would mean 110% of the average timeframe.

For example, one would expect “Eastern Europe” to have an adjustment of ≥ 1.0 whereas “Asia-Pacific” would have an adjustment of ≤ 1.0 .

Location by UN regional group	Time adjustment factor
Africa	
Asia-Pacific	
Eastern Europe	
Latin America and the Caribbean	

E. Costs of DOE service

The average fee should be based on the entity's experience during the reporting period, in US dollars. The average fee should be net of taxes and include all personnel costs for assessment, technical review, apportioned accreditation costs and administrative cost as well as average travel expenses. They should be based on the costs incurred for the latest versions of the VVS, PCP, PS, the accreditation standard and the accreditation procedure.

Activity Type	Average cost of DOE service
Validation	(USD)
Verification (first)	(USD)
Verification (subsequent)	(USD)

For the following attributes apply a price adjustment factor to the average cost entered above. Price adjustment of 1.0 would mean no change. 0.9 would be 90% of the standard fee and conversely 1.1 would mean 110% of the standard fee.

Location by UN regional group	Price adjustment factor
Africa	
Asia-Pacific	
Eastern Europe	
Latin America and Caribbean	

Other	Price adjustment factor
Large scale project activity	
Small scale project activity	
Programme of activities	

SECTION 4. IMPARTIALITY		
A. Report of the impartiality committee Provide the date(s) of the impartiality committee meetings: Attach the annual synthesis report of the activities of the impartiality committee, as per the CDM accreditation standard, to this form.		
B. Other impartiality issues Add any further relevant comments with regards to impartiality issues experienced during the reporting period.		
SECTION 5. INTERACTIONS WITH INTERESTED PARTIES		
Describe formal interactions that your entity has had with interested parties during the reporting period.		
A. Interactions with the CDM Executive Board		
B. Interactions with other designated operational and/or applicant entities		
C. Interactions with other interested parties		
SECTION 6. FINANCIAL STATEMENT		
A. Annual income and expenditure relating to CDM related activities Include the annual income and expenditure of the entity regarding its validation and verification/certification activities in USD for the reporting period.	Annual income (USD)	
	Annual expenditure (USD)	
SECTION 7. CHALLENGES		
B. Challenges and lessons learnt Add any further relevant comments with regards to challenges and lessons learnt during the reporting period.		

SECTION 8. OTHER BUSINESS ACTIVITIES			
Other GHG business activities that involve validation or verification of greenhouse gas assertions in other schemes other than the CDM. List the name of other schemes for which you operate as validator or verifier.			
No.	Name of the scheme	Since (MM/YYYY)	Briefly describe your services in these other GHG business activities, its synergy/relation with the CDM and how it benefits due to your status as DOE under the CDM
1		MM/YYYY	
...			
SECTION 9. AUTHORISATION			
Signature of CEO			
Name of CEO			
Date			

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Document information

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