

Monitoring, Verification & Evaluation: Essential Program Planning

My Ton

Director of Global Research

CLASP

**Accelerating Market Transformation through
Standards and Labeling in India**

**6th & 7th February, 2012, Hotel Le Meridien
New Delhi, India**

Presentation Agenda

- **Overview of MVE program elements and process**
- **International learnings**
- **Challenges & practical considerations**
- **Some notes on laboratory capacity building**

CLASP's MV&E Report: Overview

CLASP's Guidebook on Best Practice Monitoring, Verification and Enforcement (MV&E) for Appliance Standards & Labeling was published in 2010:

- **Intended as a manual for policy makers, program administrators, and others involved in the design and implementation of S&L program worldwide.**
- **Provides practical information on compliance frameworks based on the experiences of existing S&L programs.**
- **Discusses the different approaches used to maintain compliance and describes the data, facilities, and institutional and human resources needed to support MV&E activities.**
- **Provides guidance on the issues to consider in the design and implementation of effective compliance regimes.**

MVE Program Elements: Objectives

MVE Objectives should address the needs of stakeholders involved:

- **Assess product and market compliance levels:** To routinely evaluate labeled or regulated products available on the market.
- **Reduce or eliminate non-compliant labeled or regulated products:** To deal with products that are found to be non-compliant.
- **Verify that the S&L program is implemented as designed:** To inform decisions about the future direction or further development of policy and approaches.
- **Inform stakeholders on program performance:** To collect sufficient data to determine how well the S&L program is working.

MVE Program Elements: Program Entry Conditions

MVE activities and needs can be defined and developed based on a particular program's entry conditions and integrated into the overall program plan. Some examples of Entry Conditions worldwide:

- *Canada: suppliers must ensure that an energy efficient verification mark from a certification organization, is on a product before it can be sold.*
- *Chile: suppliers must certify their products through a third party certification institution prior to entering the market.*
- *Australia: all products within the scope of mandatory S&L programs must register the details of all models prior to being sold.*
- *Korea: manufacturers must allow the inspection and testing of their own factories.*

MVE Program Elements: Monitoring

Monitoring for energy labels

- A system for conducting checks to confirm that products in the market carry a label compliant with the applicable regulations or program rules.
- Products in the market must also be sampled and tested to verify that they meet the label claims.

Monitoring for MEPS

- Confirm information submitted by suppliers through registration or self-certification schemes.
- Identify products in the marketplace that are not compliant with energy efficiency requirements.
- Regular, transparent market sampling and testing provisions to insure that products in fact meet MEPS performance requirements.

MVE Program Elements: Verification

To verify that products perform as required or as claimed:

- **Registration verification** – Meeting the requirements for registration.
- **Screening or check testing** – A preliminary assessment of products.
- **Full procedure verification tests** – The specified procedure is followed precisely in (ideally) an accredited laboratory.
- **Third party certification** – An independent third party certifies the manufacturer or suppliers' claims.
- **Benchmark testing** – Checks of products available in the market on a systematic and regular basis.

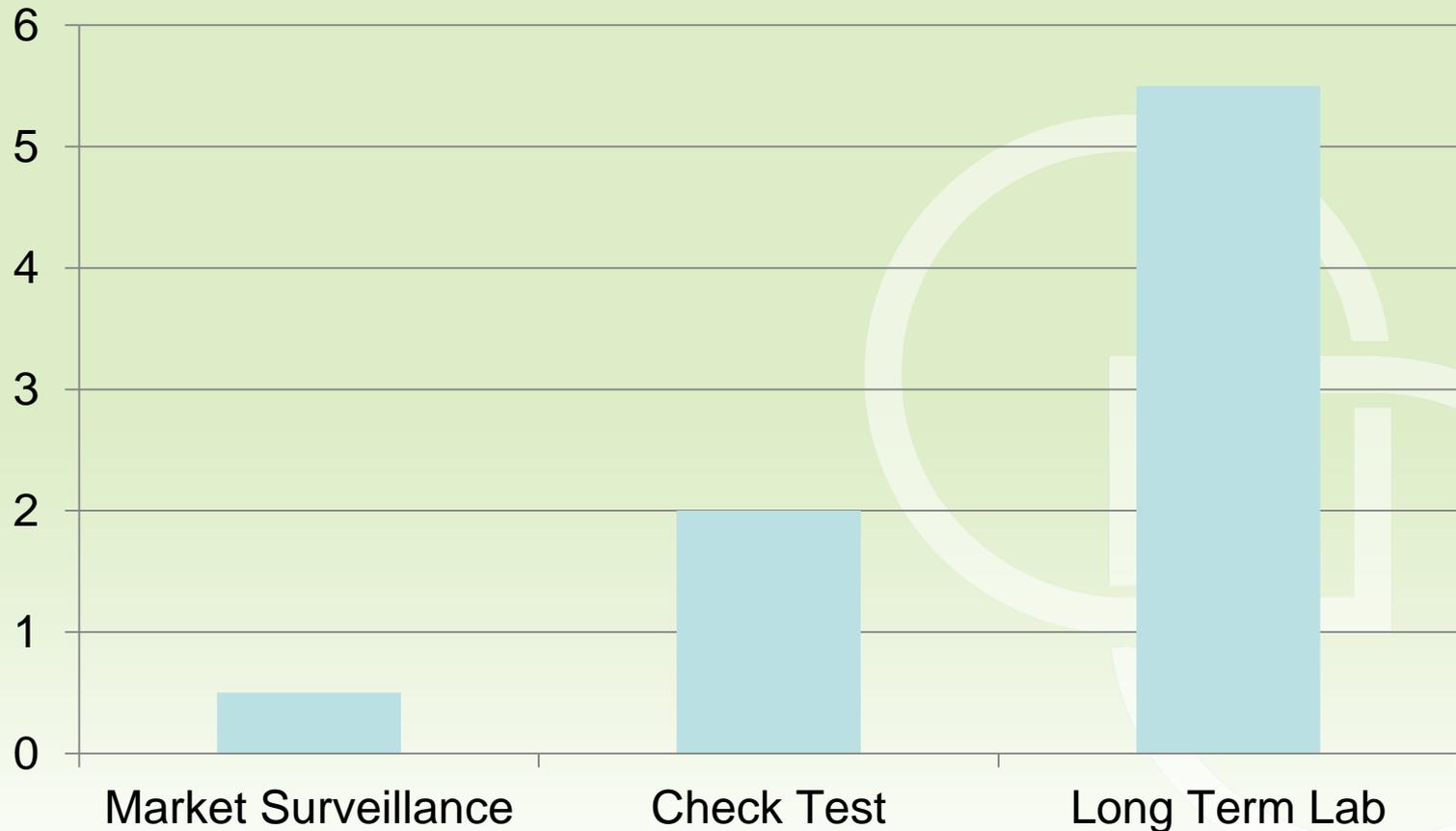
MVE Program Elements: Enforcement

An enforcement strategy consists of responses to cases of non-compliance, coupled with a progressive and transparent action plan based on:

- Severity
- Range of sanctions that are available
- Type of program (mandatory or voluntary)
- Quality of the evidence supporting the claim
- Responsiveness of the party responsible
- Potential to rectify

MVE: Resource Requirements

MVE Activities' Complexity/Costs

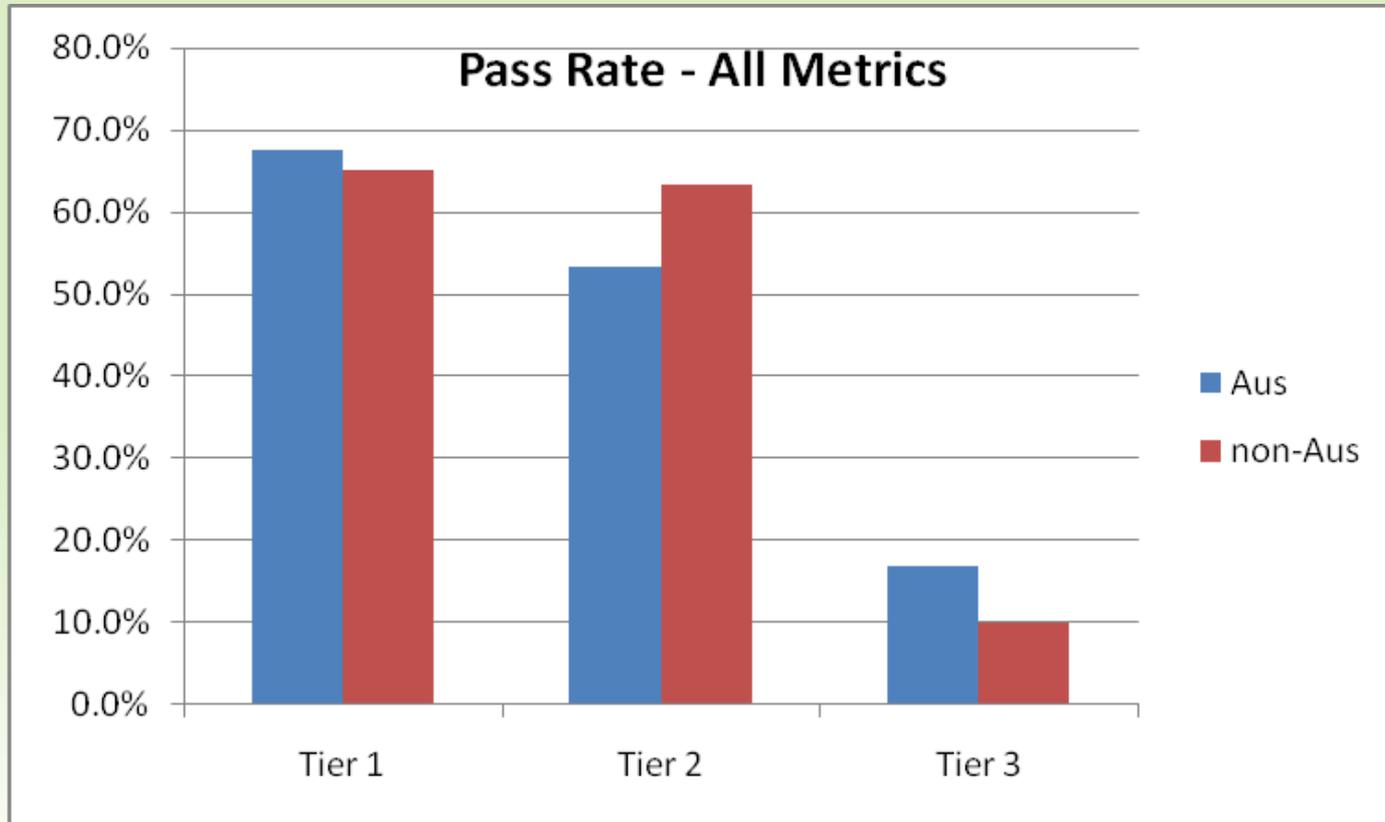


MVE Process: A Simplification

1. Product satisfies entry conditions.
2. Retail or consumer distribution of product.
3. Market sampling to verify label, or to test against declarations.
4. Sampled products subjected to testing process.
5. Enforcement actions taken if needed.

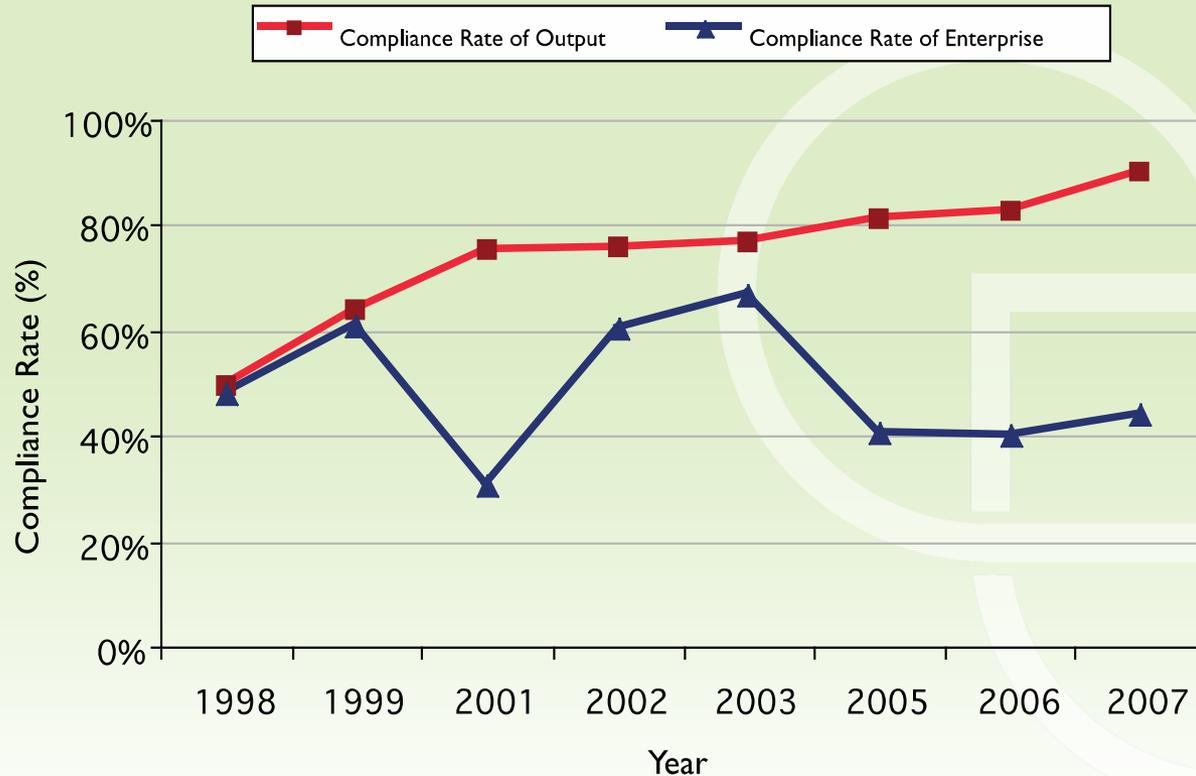


MVE Learnings: Benchmarking CFLs in Asia 2009-2010



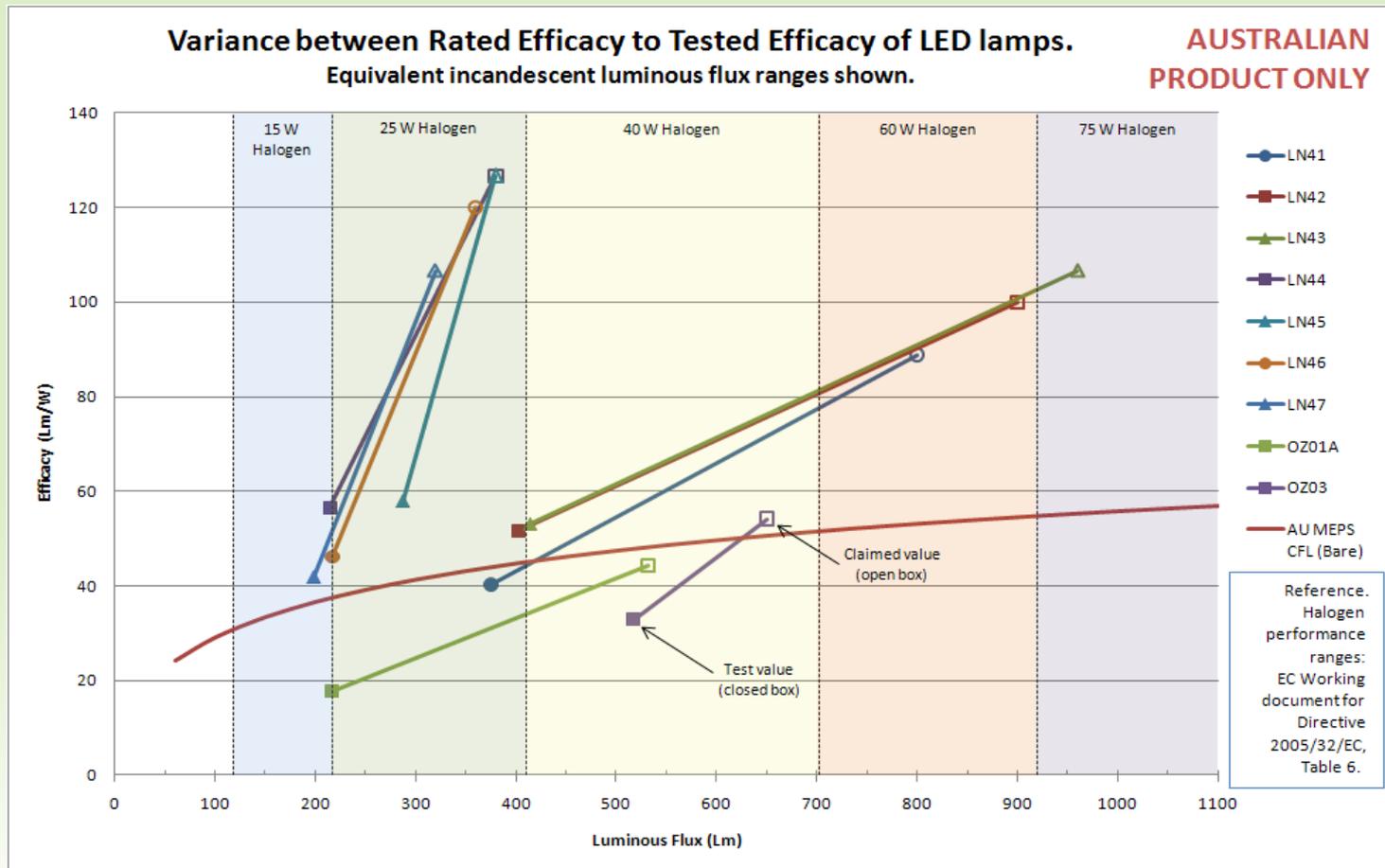
Source: USAID and DCCEE

MVE Learnings: CFL Market Surveillance in China



Source: NLTC

MVE Learnings: Actual LEDs Performance vs. Manufacturers' Claims in Australia



MVE Learnings: Summary

MVE activities complement S&L programs: With implementation of MVE schemes and feedback to program designs, it is possible to:

- **Measure energy efficiency actions**
- **Assess the impacts of program approaches**
- **Curtail incidences of non-compliance**
- **Increase the effectiveness of S&L programs.**

MVE: Challenges & Practical Considerations

- **Government needs to plan ahead with MVE budget and funding scheme.**
- **Ensure that all participants are aware of their obligations.**
- **Communications with industry is essential.**
- **Stakeholder involvement is needed in ensuring MVE support and success.**
- **Enforcement actions should be transparent and meaningful.**

MVE: Challenges & Practical Considerations

- **There is no substitute for experience.**
 - LEDs testing is nothing like CFLs testing
 - Same with AC testing
- **Government is a new player in the testing business, and the setting of test standards.**
- **Stakeholders are also part of the equation for success:**
 - Industry & associations
 - Retailers and others in the distribution chain

MVE: Challenges & Practical Considerations

Regional cooperation can increase MVE effectiveness. Some options to consider:

- **Harmonize test standards**
- **Benchmark performance levels/MEPS for key products**
- **Regional product testing/sharing of laboratory capacities**
- **Sharing of essential program information (test results, enforcement actions, etc.).**
- **Mutual recognition of results (RRT, etc).**

MVE:

Laboratory Capacity Building

Some notes about laboratory involvement and accreditation:

- **Involve laboratories early in any standards development**
- **A regional network of laboratories can reduce non-compliance & increase consumer confidence.**
- **Sharing of laboratory capacities is easier with accredited laboratories.**
- **Accredited laboratories also facilitate the mutual recognition of test results between facilities.**

CLASP's MV&E Report: Findings

- **Effective compliance regimes can safeguard current and future energy and greenhouse gas emissions savings from S&L programs.**
- **Government activities to improve compliance regimes can ensure a level playing field for industry as well as encourage greater levels of investment and innovation in energy efficient products.**
- **MV&E is an essential area of focus for successful S&L implementation, but MV&E activities are often underfunded.**

Thank you!
शुक्रिया!

Questions/Comments:
mton@clasponline.org