EXECUTIVE COMMITTEE OF
 THE MULTILATERAL FUND FOR THE
 IMPLEMENTATION OF THE MONTREAL PROTOCOL
Sixty-sixth Meeting
Montreal, 16-20 April 2012

**SYSTEMATIZING AND STREAMLINING REPORTING ON PROGRESS
TO THE EXECUTIVE COMMITTEE ACROSS THE SPECTRUM OF REPORTS**

1.      At its 64th meeting, the Executive Committee requested the Fund Secretariat: "(i) To   convene   a meeting with the bilateral and implementing agencies to define the exact nature, content and timing of status information to be provided in the progress reports while exploring ways to further systematize and streamline reporting on progress to the Executive Committee across the spectrum of reports; (ii) To report on meeting outcomes to the Executive Committee at its 65th meeting" (decision 64/6(c)).

2.      All implementing agencies provided their inputs to the Secretariat by 2 February 2012, and the issue was further discussed in the Secretariat's premises at an Inter-agency Coordination Meeting held from 7 to 9 February 2012.

3.      The document first addresses the types of reports submitted to the Executive Committee; it then summarizes the proposals agreed at the Inter-agency Coordination Meeting and concludes with recommendations.

**Types of reports submitted to the Executive Committee**

4.      The Executive Committee requires a significant number of reports that define the spectrum of reporting under the Multilateral Fund.  Reporting requirements include: Annual Progress and Financial Report (APF), annual tranche delays, business plans, Compliance Assistance Programme (CAP) annual requests and progress reports, completed projects with balances, compliance issues, specific reporting requirements, multi-year agreement (MYA) annual implementation plan (AIP) tranche requests, institutional strengthening renewal requests, and qualitative performance assessment of implementing agencies, project completion reports, and reconciliation of accounts. With the exception of compliance issues that are addressed in the 'Status of implementation of delayed projects and prospects of Article 5 countries in achieving compliance with the next control measures of the Montreal Protocol' agenda item and institutional strengthening renewal requests that are addressed in the work programmes or work programme amendments, these documents constitute separate agenda items.  Therefore, the reporting is restricted to the requirements of the agenda item.  It is possible that there may be an issue with respect to the same project that is addressed in more than one agenda item and hence an unavoidable case of asking different questions on the same project for different agenda items.

5.      The following table presents a summary of the nature, content and timing of progress reports.

| Progress Status Reports | Nature | Content | Timing |
|---|---|---|---|
| Annual Progress and Financial Report (APF) | To monitor the achievement of milestones, project impediments for Executive Committee action/notation, key project dates, financial information reconciled with annual accounts. | Defined by Operational Guidelines. | Financial data as at 31 December and Remarks with latest information. |
| Annual Implementation Plan (AIP) progress report/ Tranche submission delays | To assess the achievement of activities planned in the previous tranche, any use of the flexibility clause, and rephrased activities, the achievement of consumption reductions, and 20 per cent tranche disbursement. | MYA format accompanied by written narrative/Reason for delay for tranche submission delays. | According to the timeframe specified in MYA. |
| Implementation Delays and Additional Status Reports | To continue to address projects until impediments are resolved resulting in possible Executive Committee action and/or notation. | Brief reports along with the requirements of the Remarks column of the APF reports. | Until impediment is removed or for delayed projects until the project is assessed with progress or completed. |

| Progress Status Reports | Nature | Content | Timing |
|---|---|---|---|
| Projects with Specific Reporting Requirements | To address projects for which the Committee has requested specific reports. | An overall detailed status report addressing sometimes specific information including questions about whether activities are planned for remaining balances. | Depends upon the specific Executive Committee decision. |
| Completed Projects with Balances | To continue to address balances until all funds are disbursed or returned for reprogramming. | Information on balances returned and outstanding, and when the accounts would be closed and funds returned as applicable. | Each meeting. |

**Proposals from the Inter-agency Coordination Meeting**

6.      This section addresses the specific proposals for systematising and streamlining reports from the implementing agencies and the Fund Secretariat.

7.      The number of data columns in the annual progress report Excel workbook database would be reduced by eliminating redundant and unnecessary columns. Agencies will receive prefilled data and verification macros based on information in the Fund Secretariat's databases for information that does not need to be updated. Milestones were agreed for HCFC phase-out management plan (HPMP) preparation and tranche implementation and as a consequence the operational guidelines for the APF were revised (see attachment). One of the two remarks columns will address progress up to 31 December while the other will provide the latest data available.  There was also agreement to reduce and simplify the narrative in particular with the country developments section.  Implementing agencies and the Secretariat would attempt to limit the rounds of questions regarding project proposals and, in the case of agencies, the volumes of documentation submitted as part of the project proposals.  The notion of a web-based information system was discussed but there was no desire expressed to change to such a system at this time.  The Executive Committee may wish to note that the Secretariat and the implementing agencies had agreed to modify the operational guidelines for progress and financial reporting, reduce documentation in the APF narrative and project proposals and rounds of questions regarding project proposals as much as possible, and considered the possibility of a web-based information system for the APF.

8.      Reporting on implementation delays, annual tranche delays, compliance issues, specific reporting requirements, reporting on demonstration projects, and completed projects with balances could be streamlined if it could be reduced to two times per year and this had been considered in the context of the Committee's consideration of meeting two times per year.  It was agreed that this proposal should be put forward as it could reduce the reporting by one-third for these items.  However, it should be noted that maintaining three meetings per year with status reports to only two could result in up to eight months without a status report unless the meeting schedule was changed to two meetings per year.  The Executive Committee agreed to consider reviewing the issue of the number of meetings per year at the first meeting of 2013 in the light of the workload related to HPMPs and any other issues at that stage (decision 61/48(b)).

9.      Currently reports on the status of a project can be considered in the context of the agenda item "Report on implementation of approved projects with specific reporting requirements" and as a follow-up to a compliance issue identified in the APF in the agenda item "Status of implementation of delayed projects and prospects of Article 5 countries in achieving compliance with the next control measures of the Montreal Protocol".  It is proposed that reports on the status of a project are dealt with in one agenda item with a new title "Status Reports and Compliance". In some cases, for example, of reports on the

completion of demonstration projects which may provide detailed technological information, the Secretariat could include these reports under a separate agenda item or as an information document.

10.    Information on the progress of MYAs should be included in the remarks column of the APF and in the narrative of the AIP. The information in each report should be consistent with the other, with any differences being explained.

11.    For HPMPs the traditional progress report on the AIP is not required if a funding tranche is not being requested. The information on progress would be included in the remarks column of the APF as described above. In cases that address non-compliance and the potential application of the penalty clause, an AIP report would be required and would be considered under agenda item "Project Proposals".

12.    A report on the outstanding annual implementation plans of national phase-out plans (NPPs), terminal phase-out management plans (TPMPs), methyl bromide (MB) (applicable if there is no more funding tranche), and refrigerant management plans (RMPs) would no longer be required. In its place the project completion report (PCR) would be submitted with any necessary verification reports and with Table 8 of the approved MYA format which contains financial completion information by activity. In the event that the PCRs are not completed, verification reports could be submitted as soon as they become available in the context of the proposed new agenda item on Status Reports and Compliance or the APF.

13.    UNEP currently prepares two detailed progress reports on its CAP activities each year: one in the APF at the second meeting of the year which reports on approximately 400 ongoing projects, including the CAP, and the other in the context of the approval of the annual CAP at the third meeting of the year. It is proposed that only one annual report on the Compliance Assistance Programme would be presented each year at the third meeting of the year.

**Recommendations**

14.    The Executive Committee may wish:

(a)    To note the document "Systematizing and streamlining reporting on progress to the Executive Committee across the spectrum of reports" as contained in document UNEP/OzL.Pro/ExCom/66/18;

(b)    To request:

(i)    That the information formerly required for the agenda item "Report on implementation of approved projects with specific reporting requirements" should be reported in the context of all status reports along with issues on compliance in an agenda item and document to be entitled "Status Reports and Compliance";

(ii)    That the information on multi-year agreement (MYA) in the remarks column of the Annual Progress and Financial Report (APF) should be included in the narrative of the annual implementation plan (AIP) with any differences explained;

(iii)    That AIPs are not required in the absence of a funding tranche request except in those cases where there is an issue on the application of the penalty clause;

(iv)    That agencies submit project completion reports (PCRs) with any available verification reports along with Table 8 of the approved MYA format in lieu of AIPs for: refrigerant management plans (RMPs), terminal phase-out management

plans (TPMPs), national phase-out plans (NPPs) and methyl bromide (MB), and in the event that the PCR is not completed, a verification report could be submitted as soon as it is completed in the context of a status report if the verification report is completed for the first or third meeting of the Executive Committee, or the APF; and

(v)     UNEP to present its detailed annual progress report for the Compliance Assistance Programme (CAP) activities to the third meeting of the year in the context of the annual CAP approval and identify any project implementation impediments for the CAP project in the AFP.

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**Revised**

**OPERATIONAL GUIDELINES FOR PROGRESS AND FINANCIAL REPORTING**

**Purpose**

1.      This uniform format for progress and financial reporting was mandated by the Executive Committee to provide for greater ease of cross-referencing; consistency and use of standard reporting periods; clarification of terms; greater ease of tracking the funds through the various stages of project implementation; information on percentage of funds disbursed; and reduced duplication between implementing agencies' progress reports and financial reports (decision 17/22).  The revision of the guidelines was mandated by the Executive Committee at its 25th Meeting  (decision 25/8(b)11) and as a result of a workshop with the implementing agencies pursuant to the Executive Committee's decision on streamlining progress reporting (decision 64/6(c)).

2.      This document provides a compilation of pertinent Executive Committee decisions into one user-friendly tool for complying with the requirements for progress and financial reporting of the Multilateral Fund.  These guidelines provide the following information, _inter_ _alia_:

- flow of funds to final beneficiary;
- contributions by way of bilateral activities;
- status in terms of proposed, expected and actual implementation;
- the amount of funds allocated and utilised to date;
- the balance of funds available for disbursing and planned commitments;
- activities since the last report and cumulative data;
- ongoing project preparation activities;
- information on project agreements;
- requests for adjustments upon which decisions may be taken; and,
- data that will assist the Treasurer in determining if any additional funds are available for new approvals.

**Background**

3.      The Format for Reporting Progress and Financial Information combines information from the Uniform Format for Annual Financial Reports (UNEP/OzL.Pro/ExCom/12/37, Annex III) with the implementing agencies input to the Consolidated Progress Report (UNEP/OzL.Pro/ExCom/10/40, Annex IV) as presented in decision 17/22 and modified by decisions 19/23 and 64/6(c).  Pertinent data required by the Interim Monitoring and Evaluation Guidelines (decision 18/20) and the implementing agency business plans are also incorporated.  The data bases from each implementing agency will be compiled for the analysis provided in the Consolidated Progress Report.

4.      It should be noted that progress and financial reporting does not replace the requirement in the agreements between the implementing agencies and the Executive Committee for annual audited report financial accounts to be submitted to the Executive Committee through the Treasurer.  Agencies should

co-ordinate with the Treasurer to adjust annual audited financial reports to enable these reports to be fully reconcilable with progress and financial reporting.  This was re-emphasised in Decision 25/8 (a).

**SECTION I:  FORMATS FOR DATA BASE AND SUMMARY NARRATIVE**

5.      At its 19th Meeting, the Executive Committee noted the importance of ensuring that the information in the summary narrative of the report was fully consistent with that contained in the database submitted by the implementing agencies.  To achieve this consistency, formats are provided for both the data base and the summary narrative that precedes it.  The database format is attached in Annex I and Annex II.

**Submission Requirements**

6.      One report will be presented per year.  The electronic version of the file should be received in the office of the Secretariat exactly eight weeks prior to the 2nd Executive Committee meeting scheduled in that calendar year or by the 1st of May, whichever is earlier.

7.      Files should not include passwords, protected cells, borders, colours, different font styles, or un-required highlighting unless mutually agreed with the Secretariat since files from all agencies must be combined to compile the Consolidated Progress Report.

8.      No numeric or date entry should have spaces, commas, dashes or any other punctuation marks entered except that which is automatically assigned by the cell format.  All dates should be provide in a date format.  For example, May 1995 should be entered "5/1/95"; however, the display of the date will be "May-95".

9.      A copy of the format for the data base is provided in the accompanying Excel 20097 workbook (OG-PR(revised).XLS) in the worksheet titled "Data Base".  Definitions for these formats are provided in Section III.

Data Base

10.     Implementing agencies will submit their data tables for Progress and Financial Reporting in the spreadsheet format used by the Fund Secretariat (currently Microsoft Excel 92007) by email or as specified by the Secretariat.  Each agency's database will be available to the Executive Committee on the web site of the Secretariat as part of the Consolidated Progress and Financial Report data base, with a printout available upon request.

11.     The data base used by the Fund Secretariat (Microsoft Access 20097) may be used if the data base formats are interchangeable with the spreadsheet format.  Additional programming is necessary to enable an Access data bases to be interchangeable with the spreadsheet format.

12.     For presentation purposes, all project data should be grouped by status, e.g., completed, ongoing, transferred and closed projects.  Data within these groups should be presented in alpha-numerical order according to Country, Sector, Meeting Number, Type, Inventory Number, and Region.  Agencies should provide totals where appropriate for each column.

13.     Implementing agencies should include information on dates of approval and implementation of projects and disbursement of funds, on a project-by-project basis as approved by the Executive

Committee (sub-project-by-sub-project basis, where applicable), and to highlight in the summary narrative the reasons for any delays, since such delays could lock up Fund resources for significant periods, possibly several years.

Summary Narrative

14.     The format for the summary narrative of progress and financial reports is provided in Section II.

15.     The descriptive narrative for the data base should be submitted ~~both~~ in **electronic version** ~~and printed hard copy~~.   The <u>electronic version</u>~~printed copy~~ will be ~~distributed~~<u>included</u> with meeting documentation.  Microsoft allows summary narrative text to be linked to a data base/worksheet which enables data in data bases/worksheets to be automatically updated in narrative texts.  Summary narrative may be linked to the data base electronically, but if such a file is linked, a copy of a non-linked summary narrative file should also be submitted.


**SECTION II:    FORMAT FOR THE SUMMARY NARRATIVE OF AGENCY PROGRESS REPORTS**

16.     Implementing agencies should use the following section and sub-section titles and provide the information required according to the format without any changes in headings.  In some cases (particularly for UNEP), certain sections are not pertinent such as those pertaining to project preparation and investment projects.  In such cases, no text is required.  UNEP's unique activities associated with its clearinghouse and networking functions as well as its regional training activities will be addressed under Section III.

**I.      Project Approvals and Disbursements**
          **A.  Annual Summary Data**

17.     This section should begin with a summary in a few sentences.  The format for this table is provided in the accompanying workbook (OG-PR(revised).XLS) as a worksheet entitled "Annual Summary".  This table does not distinguish agency or national implementation.  The data provided by year should not include time-sensitive accounts or retroactive projects (projects where the phase-out occurred before the project was approved by the Executive Committee).  Retroactive projects and time-sensitive accounts should be indicated as one cumulative figure.  It should be noted that project types are not distinguished so an investment project counts as one approved project as does a technical assistance project.

          **B.    Interest**

18.     This section should describe the status of interest and include annual information about interest earned and interest returned.

          **C.    Summary Data by Type (CPG, DEM, INS, INV, PRP, TAS, TRA)**

19.     This section should begin with a summary in a few sentences.  The format for this table is provided in the accompanying workbook (OG-PR(revised).XLS) as a worksheet entitled "Summary of Data by Project Type".  The table includes approvals, adjustments and disbursements by type of project/activity.

### D. Multi-year agreements

20.     This section addresses the multi-year agreements.  It should highlight the accomplishments and indicate any relevant issues concerning the current implementation of the agreements.  Annex II should be referenced in this section of the narrative.

### E.     Sector Phase-Out by Country

21.     This section was for indicating the sectors by country for which total phase-out has been funded. To some extent, much of this information would be contained in the new Section D on Multi-year agreements, except for those one-off investment projects that result in a total sector phase-out.  The status of these projects should be indicated in this section.

### II.     Project Completions since Last Report
####           A.  ODP phased out since Last Report
####           B.  Non-investment Project Completions since Last Report
#####                   1.  Country Programmes
#####                   2.  Technical Assistance
#####                   3.  Training

22.     Following a summary of investment and non-investment activities in a few sentences, a table of completed projects should be presented according to the format provided in OG-PR(revised).XLS in the worksheet entitled "Completed Since Last Report".  If a date of financial completion is provided, it will be assumed that no additional disbursements are anticipated.  One table can be provided for both investment and non-investment projects.

### III.     Global and Regional Project Highlights
####                   A.  Global Projects
####                   B.  Regional Projects

23.     This section provides for a brief narrative, about 200 words, for activities on Global and Regional Projects.  UNEP's CAP activities should be listed under global projects.

### IV.     Performance Indicators
####           A.  Agency' Business Plan Performance Goals

24.     Each agency stipulates its performance goals for the annual business plan.  This sub-section should present those indicators and address how the agency is meeting those goals.

25.     The narrative for the following sub-sections provides summary information for each region, sector, and implementation characteristic and type for non-investment projects.  A few sentence summary should precede each table.  The format for the tables in the following sub-sections is provided in the accompanying workbook (OG-PR(revised).XLS) in worksheets entitled "Cumulative Completed Investment Projects", "Cumulative Completed Non-Investment Projects", "Cumulative Ongoing Investment Projects", and "Cumulative Ongoing Non-Investment Projects".  This enables the agencies to present a summary of all of the projects that they have completed since the beginning of the Multilateral Fund. The data in each of the five sections should equal the grand total.

### B.  Cumulative Completed Investment Projects

**C. Cumulated Completed Non-Investment Projects**

**D. Cumulative Ongoing Investment Projects**

**E. Cumulative Ongoing Non-Investment Projects**

**V.     Status of Agreements[1] and Project Preparation (where applicable), by country**
    **A. Agreements to be signed/executed/finalized and when they will be ready for disbursing**
    **B. Project Preparation by country, approved amount, and amount disbursed.**

26.     This section could begin with a few sentences and should follow with a table on agreements and one on project preparation. The format for the project preparation table is provided in the accompanying workbook (OG-PR(revised).XLS) as a worksheet entitled "Active Project Preparation". Project preparation should be listed by region, country, and by project number. Only project preparation accounts that are currently active, i.e. for which there is no date of financial completion, should be listed in this table.

**VI.     Administrative Issues (Operational, Policy, Financial, and Other Issues)**
    **A. Meetings Attended**
    **B. Implementing Agency and Other Co-operation**
    **C. Other Issues**

27.     The agency will list those meetings attended and any interagency (including bilateral agencies) co-operation undertaken during the reporting period. In the past, agencies included an adjustments section. However, as adjustments are now addressed in the context of the Balances Report, no adjustment section is needed.

Annex I    Country Developments

28.     This annex will be listed by country for the countries in which the implementing agency is involved. It should contain the following sections by country: Section A: highlights of projects activities, Section B: Institutional Strengthening activities, Section C: Activities provided from agencies' support costs, Section D: Activities to assist other agencies~~, Section E: CAP activities (for UNEP), and Section F: non-CAP activities (for UNEP),~~

29.     Section A should address highlights of projects and activities under agency implementation, entitled "Country Developments". The paragraph should indicate the number of projects formulated, amount approved (US $), and the ODP to be phased out. It should then indicate what has been completed and how much was phased out. The next sentence should address reasons for delays. The last sentence should indicate the amount of disbursements in the country for your agency's projects. This format is based on UNDP's presentation to the 25th Meeting.

30.     Section B should address the activities of institutional strengthening units whose funds are allocated by the concerned implementing agency. It will focus on the goals, objectives, and activities funded through the institutional strengthening unit allocation provided by the Executive Committee. The narrative should also address any additional requirements specified by the Committee in its decision

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[1] Project documents represent agreements for some agencies.

concerning institutional strengthening renewal (Decision 19/29 [b and c]). The paragraph should indicate visits from the implementing agency, personnel hired, and activities underway by the ozone office. This format is based on UNDP's presentation to the 25<sup>th</sup> Meeting.

31.     Section C should indicate any types of activities that were provided by the implementing agency from its administrative costs. Section D should address any activities conducted by your agency to assist other agencies. ~~This would be most relevant to CAP and as relevant for the other implementing agencies. Sections E and F are for UNEP to address its CAP and non-CAP activities.~~

Annex II        Data Base (note: completed, ongoing, closed, and transferred will be part of one data base). The data should be summarised per decision 17/22 by implementation characteristics. <u>Annex II contains a database worksheet and an MYA worksheet.</u>


## DEFINITIONS OF TERMS IN THE PROGRESS AND FINANCIAL REPORTS AND THE CONSOLIDATED PROGRESS REPORT

32.     The terms used in the data base and summary narrative are defined in this section. Definitions are listed in alphabetical order to provide a glossary for those who are charged with provided the data for the data base and summary narrative. An asterisk (*) appears before those terms which can not be changed from progress report to progress report as they are linked to data in the original project proposal. <u>Two asterisks (**) are for data required only for the macros for the verification program and three asterisks (***) are for data that are required only for the MYA database.</u>

**\*\*\*Actual ODP Consumption for Reporting Year** – The amount of consumption reported to the Ozone Secretariat pursuant to Article 7. If data from other sources, the other source should be footnoted.

**\*\*\*Actual ODP Production for Reporting Year** – The amount of production reported to the Ozone Secretariat pursuant to Article 7. If data from other sources, the other source should be footnoted.

**Adjustment** - Adjustments to the initial approved funding level (could be positive or negative values). Only those adjustments that have been approved by the Executive Committee should be listed.

**\*Agency Code** - Name of implementing agency, e.g. UNDP - United Nations Development Programme; UNEP - United Nations Environment Programme; UNIDO - United Nations Industrial Development Organization; IBRD - World Bank; and name of country for bilateral agencies.

**\*Agency/National Implementation** - An implementation characteristic. This column indicates if the project is being implemented through agency (A) or national (N) implementation. Some projects are implemented by the agencies and others by national governments or the enterprises themselves. Institutional strengthening is to be reported as (N) national implementation.

**\*Approved Funding** - Funds as initially approved by the Executive Committee. Any change in the initial approval should be indicated under "Adjustment". Support costs should not be included.

**\*\*Approved Funding plus Adjustment** - The sum of Approved Funding and Adjustment.

**\*\*Average Number of Months Currently Expected until Completion** - The average difference between the Planned Date of Completion and the Date Approved.

**\*\*Average Number of Months from Approval** - The average difference between the date of the Progress Report and the Date Approved.

**\*\*Average Number of Months from Approval to Completion** - The average difference between the Date Completed (Actual) and the Date Approved.

**\*\*Average Number of Months from Approval to First Disbursement** - The average difference between the First Disbursement Date and the Date Approved.

**\*\*Balance** - The difference between approved funding plus adjustments minus funds disbursed. This should be specified for completed, ongoing, transferred, and closed projects. All projects with a negative balance require action by the Executive Committee.

**Business Plan Allocation (Investment/Non-Investment) -** Indicate whether the allocation is for investment projects or non-investment projects. *The designation of investment/non-investment is based on where if the project was included in the business plan's allocation for non-investment or investment.*

**Chemical** – The substance for which the project was approved to phase-out. The notations of the chemical are as follows: CFC (Chlorofluocarbon), HAL (Halon), CTC (Carbon Tetrachloride), TCA (Methyl Chloroform), and MBR (Methyl Bromide). *In cases where there are more than one chemical, please enter each chemical separated by a space in one text field on the same row as the project number.*

**Closed Projects/Activities (CLO)** - Projects that were closed without implementation. Under most, if not all circumstances, such projects should also have an entry under the column entitled "Adjustments" to indicate that un-utilised funds were returned when a date of financial completion is provided; however, expenditures may have been incurred before the project was closed which will be noted under the column "Funds Disbursed". Projects are listed as "CLO" only after the Executive Committee has approved the "Adjustment", otherwise the project remains classified as "ONG". Typically there should be no phase-out associated with these projects, except in the case of bankruptcy. No date of completion, except date of financial completion, should be provided.

**Completed Projects/Activities (COM)** - Projects that have been commissioned and the ODP has been phased-out. For activities without an ODP phase-out, when the activity was completed. Projects that have been completed but the company went bankrupt should be considered COM and FIN when accounts are closed because the Executive Committee requires that project completion reports should be prepared for such projects. *Any balances to be returned from FIN projects should be included in the agencies' Balances Report.*

**Consumption ODP Phased Out** - The amount of ODP **consumption** phased out for completed projects. This may include partial phase-out if phase-out is to occur in stages as indicated in the project proposal. Determined by using the same calculation as was used to define "ODP to be phased-out" for that specific project (either 3-year average or actual amount of consumption in the year previous to the submission) but must be reported consistently for each project. ODP data should be reported to the level of the first decimal point (i.e. 25 ODP tonnes is 25.0 ODP tonnes). *Please note that the maximum phased-out is the amount indicated in the proposal for multi-year agreements. The phase-out from institutional strengthening projects should be entered once the project is completed.*

**\* Consumption ODP to be Phased Out per Proposal**- The amount of **consumption** phase out is based upon the average of the three years prior to submission of the proposal or the amount of consumption the year previous to the submission of the proposal as per UNEP/OzL.Pro/ExCom/16/20, paragraph. 32b. For projects approved prior to that decision, agencies and the Secretariat will co-ordinate to estimate an amount of phase-out comparable to the guidance from the 16th Meeting. For projects approved subsequent to the 25th Meeting, the amount of ODP to be phased out per the Report of the Executive Committee meeting at which the project was approved. *Please note that the phase-out is the amount indicated in the agreement for muti-year projects. Institutional strengthening projects for which a phase-out is listed in the reports of the Executive Committee should be entered for CFCs.*

**\*Country Code -** A three digit code for countries. For example, CPR is China, People's Republic and EGY is Egypt. A list of country codes is attached as Annex III.

~~**Cumulative Interest Accrued** - The amount of interest, cumulative to the previous year, accrued on behalf of the Fund for Executive Committee allocation.~~

**\*Date Approved** - The month of the Executive Committee Meeting at which the project was initially approved and funds allocated. For example, for the 25th Meeting, the "Date Approved" would be entered as July 1998.

**\*Date Completed (Actual)** - Date when ODP was phased out. For activities, the date at which the activity was implemented (e.g. when training course was completed).

**\*Date of Completion per Proposal** - Date when ODP phase-out was supposed to occur according to the proposal. For activities, the date at which activity was expected to be implemented according to the proposal. Calculated by adding project duration as specified in work programme or project proposal to the "Date Approved".

**Date of Financial Completion** - The date of the meeting at which the Executive Committee approved the final adjustment at which point all expenditures were reported and the account is closed. If the date of that meeting was on or prior to the 15th of the month (i.e. 8-11 June 1998), the approval date is entered as the first of the month of the meeting (i.e. 1-June-98). If the meeting at which the project was approved occurred after the 15th of the month (i.e. 25-28 June 1998), then the approval date is entered as the first of the following month (i.e. 1-July-1998). The absence of a date in this column means that the account has not been closed.

**Disbursement Method** - An implementation characteristic. Some agencies may disburse funds as a project is implemented or only disburse funds after the project is implemented. This column specifies the disbursement method: disbursement during implementation (I), disbursement for retroactive (R) projects (projects approved after the ODP has been phased out); and disbursement for projects begun after Executive Committee approval for which disbursement provided after implementation (D). Agencies agreed to eliminate "D" from the choices of disbursement pending World Bank confirmation *(on 28 August).*

**Estimated Disbursements in Current Year** - Money set aside for continuation of project/activity for the current year. Estimated Disbursements in Current Year should be provided for both completed and ongoing projects and in the annual summary table. This replaces "Planned Commitments in Current Year" that was provided in progress reports through the 25th Meeting.

**Financially Completed Projects (FIN)** - For completed projects only where there is a date of financial completion and all accounts have been finalized. Completed projects for which funds are being returned as reflected within the Adjustment Table. The project may be classified as "FIN" only after the Executive Committee meeting when the report is presented, classified as "COM" with an adjustment indicated, and approved. The next business plan will then show the project as "FIN".

**First Disbursement Date** - Date of any expenditure toward implementation of a project.

***Funds Committed by ExCom –** Total amount approved in principle for the multi-year agreements.

***Funds Disbursed to the Country –** The total amounts for which the implementing agencies disbursed to the country for the implementation of the multi-year agreements.

***Funds Released including Present Year by ExCom –** Total amount approved and released by the Executive Committee for the implementation of the multi-year agreements. Please note that this amount should also include the amount approved in the current year.

**Funds Disbursed** - Actual expenditures by agency (excluding obligations). Does not include support costs.

**Funds Obligated** - Funds that have been obligated but not disbursed. Funds obligated are also defined as the balance of an allocation, allotment or appropriation that has been obligated or not ready to be disbursed.

**Implementation Characteristics** - Columns that include information such as agency/national implementation; time  or objective sensitive account; and disbursement method.

**Interest Accrued  since Last Report** - The amount of interest accrued on behalf of the Fund since the last progress report.

***Inventory Number** - A sequential number per country assigned by the Fund Secretariat.

***Meeting Number** -  Number of meeting at which project initially approved and funded. For example, the entry for the Eighteenth Meeting is 18 and the entry for the Fifth Meeting is 5.

**Multi-Year/*Multi-Year Partial Phase-out/*One-off Phase-Out/Individual/RMP/RMP Update/*RMP for Non-LVC/*Halon Banking** – Column that includes information to determine whether a project is a multi-year, one-off total phase-out project, individual project, RMP or RMP update or halon banking project. *A multi-year agreement is one that brings a sector or chemical to total phase-out. Those multi-year agreements that do not bring the sector or chemical to total phase-out should be entered as" Multi-year partial phase-out". RMPs for non-LVCs should be entered as such. RMP updates are for LVCs only.*

**Multi-Year Current Tranche Confirmation of Annual Performance Target - Annual Target Met as Reported by Country - Indicate whether the country meets the annual target set in the agreement for the relevant tranche.**

**Multi-Year Current Tranche Confirmation of Annual Performance Target - Verification Completed - Indicate whether the implementing agencies complete the verification of the multi-year agreement for the relevant tranche.**

~~**Multi-Year Current Tranche Confirmation of Annual Performance Target** - Verification Report to ExCom - Indicate whether the implementing agencies submit the verification Report to the Executive Committee for the relevant tranche.~~

~~**Multi-Year Current Tranche - Consumption Performance target** - The level of consumption targeted for the relevant tranche in ODP tonnes. *For agreements with more than one implementing agency, the consumption target is the amount of consumption for which the agency concerned is responsible.*~~

~~**Multi-Year Current Tranche - Actual Consumption** - The actual level of consumption for the relevant tranche in ODP tonnes. *For agreements with more than one implementing agency, the consumption target is the amount of consumption for which the agency concerned is responsible.*~~

~~**Multi-Year Current Tranche - Production Performance target** - The level of production targeted for the relevant tranche in ODP tonnes.~~

~~**Multi-Year Current Tranche - Actual Production** - The actual level of production for the relevant tranche in ODP tonnes.~~

**\*\*Number Completed** - Number of activities for which ODP has been phased out or the activity has been completed.

**\*\*Number of Approvals** - Number of activities approved by calendar year.

**\*\*\*ODP Consumption Allowed for the Reporting Year** – The amount of consumption allowed for the reporting year per the agreement.

**\*\*\*ODP Production Allowed for the Reporting Year** - The amount of production allowed for the reporting year per the agreement.

**Ongoing Projects/Activities (ONG)** - All approvals not classified as completed, financially completed, transferred, or closed.

**\*\*Overall Cost-Effectiveness to the Fund** - Approved Funding plus Adjustment divided by ODP phased out in kilograms.

**\*\*Per Cent Completed** - Number of Projects Completed divided by the Number of Approvals.

**\*\*Per Cent of Funds Disbursed** - Funds Disbursed divided by Approved Funding plus Adjustment, excluding support costs.

**\*\*Per Cent of ODP Phased Out** - ODP Phased Out divided by the ODP to be Phased Out.

**Planned Date of Completion** - The date when the investment project is currently expected to be result in a permanent phase out (when the project is currently expected to be commissioned or fully implemented) or in the case of non-investment projects, when the activity is expected to be implemented.

**Latest Planned Date of Completion - 22<sup>nd</sup> Mtg / 28<sup>th</sup> Mtg / 31<sup>st</sup> Mtg / 34<sup>th</sup> Mtg / 37<sup>th</sup> Mtg  Planned Date of Completion** -The date against which projects are measured to determine if a project is considered to have an implementation delay as per Decision 22/61 (b).

**Production ODP Phased Out** - The amount of ODP production phased out for completed projects. This may include partial phase-out if phase-out is to occur in stages as indicated in the project proposal. ODP data should be reported to the level of the first decimal point (i.e. 25 ODP tonnes is 25.0 ODP tonnes). *Please note that the maximum phased-out is the amount indicated in the proposal for muti-year agreements.*

**\* Production ODP to be Phased Out per Proposal** -- The amount of production phase out is based upon the average of the three years prior to submission of the proposal or the amount of consumption the year previous to the submission of the proposal as per UNEP/OzL.Pro/ExCom/16/20, paragraph. 32b. For projects approved prior to that decision, agencies and the Secretariat will co-ordinate to estimate an amount of phase-out comparable to the guidance from the 16th Meeting. For projects approved subsequent to the 25th Meeting, the amount of ODP to be phased out per the Report of the Executive Committee meeting at which the project was approved. *Please note that the phase-out to be recorded is the amount indicated in the agreement for multi-year projects.*

**\*Project Title** - The title listed in the approval recorded in the report of the Meeting of the Executive Committee at which the project was approved. Project title should include name of enterprises and/or sub-sector. If several enterprises are represented by one approval, individual enterprises may constitute one project or could be grouped by sub-sector and all information required for a data base entry should be provided.

**\*\*Project Number** - The project number includes the following columns in the following order: Country Code, Sector Code, Meeting Number, Type, and Inventory Number. To save space in the worksheet, the individual column headings will not be listed. An example of a project number is as follows: ARG/REF/18/INV/118. This sample project number is for a project approved for Argentina in the domestic refrigeration sector at the 18th Meeting of the Executive Committee. It is an investment project, and the 118th project/activity approved by the Executive Committee for Argentina. Inventory number used internally by the individual implementing agencies should not be used.

**\*Region Code** - The regional code used by the Fund Secretariat. Codes for regions are found in the attached Annex III.

**Remarks/Remarks (Latest Information)** - Implementing agencies should specify progress achieved towards the goals of projects/activities by milestones achieved and actions towards next goals. This section should be used to indicate if the conditions of approval have been achieved and progress toward achieving those conditions. While the progress report data are based on a snapshot as of 31 December, the remarks may indicate most recent progress, especially with regard to the latest tranche of multi-year agreements. Information up to 31 December is included in the Remarks column and latest information after 31 December is included in Remarks (Latest Information) column. Lessons learned should be noted in accordance with any monitoring and evaluation guidance such as measures taken to remedy problems, when equipment used for CFC processes was destroyed, when project completion reports were submitted, and the accomplishment of business plan goals. Reasons for any delays should be presented in this section. Information should include:

o       A brief report on the actual progress made in the calendar year;

o        Milestones achieved during the reporting period;
o        Was there any delay during the reporting year? (yes/no);
o        If the answer to the above is yes, reasons for delays and actions taken to overcome them;
o        Any ongoing recurring problem that hampers implementation?(yes/no)?;
o        If yes, any action required from the ExCom to overcome the problems?

Milestones for investment and non-investment projects, HPMP preparation and HPMP tranches are as follows:

| Investment Project Milestones | Non-Investment Projects |
|---|---|
| - Grant agreement submitted to beneficiary<br>- Grant agreement signature<br>- Bids prepared and requested<br>- Contracts awarded<br>- Equipment delivered<br>- Commissioning and trial runs<br>- De-commissioning and/or destruction of redundant baseline equipment | - Legal arrangements<br>- Initial stages of project implementation begins<br>- Intermediate goals achieved<br>- Project completion and follow-up |

| HPMP Preparation Milestones | HPMP Annual Tranches |
|---|---|
| - HCFC survey completed<br>- Stakeholders workshop held<br>- Local institutions identified<br>- Experts recruited<br>- All technical input completed<br>- Draft document completed | - First mission/Working arrangements (agreement/document signatures/PDA) agreed<br>- Terms of reference completed<br>- First disbursement<br>- All funds disbursed |

In addition, implementing agencies should also provide progress on multi-year, one-off projects and RMPs to address provisions and implementation conditions of the agreements.  Remarks may be brief for the annual tranches of multi-year agreements for example:  "Consumption target met", "Consumption target not met action taken…", "Required establishment of servicing centres needed for phase-out delayed; action taken…".

**\*Sector Code** - The sector as indicated in the proposal, as recorded in the meeting report where the project was initially approved, or as indicated in the Inventory of Approved Projects.  A list of sector codes is provided in Annex IV attached.

**\*\*\*Sector Plan/National ODS Phase-Out Plan** – The sector for which the multi-year agreement was approved or national ODP phase-out plan.

**Status** - Status should be designated with one of four terms:  ONG for ongoing; COM for completed; CLO for closed; FIN for financially completed projects; and TRF for transferred to another implementing agency.

**Support Cost Approved** - Approved administrative costs for agency in delivering a programme or activity approved by the Executive Committee. *The support cost approved is based on the original approval since any changes after the approval should be reflected in "support cost adjustment".*

**Support Cost Adjustment** – Adjustments to the initial approved support costs (could be positive or negative values). Only those adjustments that have been approved by the Executive Committee should be listed.

**Support Cost Disbursed -** Administrative costs disbursed by the agency in delivering a programme or activity approved by the Executive Committee.

**\*\*Support Cost Balance** – The difference between support cost approved minus support cost adjustment and support cost disbursed. This should be specified for completed, ongoing, transferred, and closed projects. All projects with a negative support cost balance require action by the Executive Committee.

**Support Cost Obligated -** Administrative costs allocated for obligated balances.

~~**Time-/Objective-Sensitive Account**s - An implementation characteristic. This column indicates if the project is implemented through a time- (T) or objective-sensitive (O) account. Some projects are approved for a one-year or three-year period and their completion represents the end of a period of time instead of the accomplishment of a project objective. Institutional strengthening, and until 1996 in the case of the World Bank, project preparation, are examples of time-sensitive accounts. Other accounts are objective-sensitive, meaning their completion date is dependent upon achieving the project's objective.~~

**\*\*\*Total ODP Consumption to be Phase-out for the Plan** – The total amount of consumption to be phased out for a multi-year agreement.

**\*\*\*Total ODP Production to be Phase-out for the Plan** - The total amount of production to be phased out for a multi-year agreement.

**Transferred Projects/Activities (TRF)** - Projects that were transferred to another implementing agency before final implementation. (The agency that receives the project should list it as Ongoing until it is completed.) Under most if not all circumstances, such projects should also have an entry under the column entitled "Adjustments" to indicate that un-utilised funds were transferred to another agency and/or bilateral and a date of financial completion; however, expenditures may have been incurred before the project was transferred which will be noted under the column "Funds Disbursed". No date of completion should be provided except date of financial completion upon approval of the Executive Committee.

**\*Type** - Projects can be grouped by type of activity with this indicator. Types of projects are listed as follows: country programmes (CPG), demonstration project (DEM), institutional strengthening (INS), investment (INV), project preparation (PRP), technical assistance (TAS), and training (TRA). Some projects may include more than one type of activity. In such cases, a project will be classified according to the following hierarchy: DEM, INV, INS, CPG, PRP, TAS, and~~AND~~ TRA. For example, projects that include a technical assistance component and an investment component are classified as investment projects. Also institutional strengthening that contains technical assistance or training are classified as institutional strengthening projects.

~~**Year of Business Plan** - Identify the year of the business plan in which the projects are included.~~

***Year of Contribution – For bilateral agencies only, this is the year to which bilateral contributions were credited.***

**DATA ENTRY PROBLEMS IN AGENCY PROGRESS REPORTS**

31.      This uniform format for progress reporting was mandated by the Executive Committee to provide for accuracy and consistency of the format and data entry.  This section addresses some of the common errors found in progress reports.  Implementing agencies are requested to check their progress report databases to ensure that these common errors are avoided before progress report databases are submitted to the Fund Secretariat.  A list of queries to verify agency progress report data inconsistencies is attached in Annex V.

## CLOSED PROJECTS (CLO)

Project were closed without final implementation

Required
- *Date of Financial completion*
- *Funds disbursed* should be provided if there is a *first disbursement date*
- *Approved funding* should be provided
- *Adjustment* (amount transferred back) is needed to provide un-utilized funds to be returned at the date of financial completion, this adjustment is recorded in the progress report after approved by the Executive Committee. If adjustments need to be approved, they should be in the progress report narrative under *Adjustments* section.
- *Balance* should be zero
- *Date of completion per proposal* (all projects should have this)

Not required
- *Actual date of completion*
- *Planned commitment in current year*
- *Planned date of completion*
- **ODP phased-out** (exceptional are cases of bankruptcy)

## ONGOING PROJECTS (ONG)

Projects under implementation - not classified as Closed, Transferred, Completed, or Financially Completed.

Required
- All projects approved in the reporting period (i.e.: cumulative data to December 31 of the current year).
- *Planned commitment* is required
- *Date of completion per proposal* to determine if the project was completed on time
- *Approved level of funding*
- *Planned date of completion*
- If it has *first disbursement date*, it requires the amount of *funds disbursed* or vice-versa
- Ongoing projects have *18 months for first disbursement date after approval*, otherwise the project is considered as an implementation delays. Such projects should be addressed in the narrative of the report with detailed explanations.
- Ongoing projects that are *planned to be completed over 12 months after the date of the completion of the project proposal* (if the project was included in the last progress report, the delay is calculated on the basis of current planned completion in last progress report) are considered as an implementation delay. Such projects should be presented in the narrative with detailed explanations about the delays.

Not required
- *Actual date of completion*
- *Date of financial completion*

## COMPLETED PROJECTS (COM)

Projects that have been commissioned and the ODP has been Phased-out (operational completion)

Required
- *Date of completion per proposal*
- ***Estimated disbursement in current year*** is required if there is a positive balance
- If the project is completed over 2 years, it should be classified as *financially completed* (Otherwise, reasons for late financial completion should be provided.)
- *First date of disbursement*
- *Actual date of completion*

Not required
- *Planned date of completion* is not required, the cell should be blank
- *Date of financial completion*

## FINANCIAL COMPLETED PROJECTS (FIN)

For completed projects only where there is a date of financial completion and all accounts have been finalized

Required
- *Date of financial completion*
- *Actual date of completion*
- *First disbursement date* should also be provided

Not required
- Planned date of completion
- Planned commitment for the current year (By definition, there cannot be any additional commitments for financially completed projects.)

## TRANSFERRED PROJECTS (TRF)

Projects that were transferred to another implementation agency before final implementation

Required
- *Approved level of funding*
- *Adjustment* should be provided to indicate the un-utilized funds were transferred to another agency
- *Funds disbursed* is needed to indicate the funds used before transferring project
- *Date of financial completion* (when books closed and funds transferred)

Not required
- A*ctual date of completion*

## FORMAT AND DATA ENTRY PROBLEMS

- N/A in any cell. These cells should be blank.
- Two dates of approval in one cell.

- No project number
- Only one meeting date is required, the initial approval date
- Cannot predict *first disbursement date.* First disbursement must occur during reporting period.
- One digit for meeting and project number. It requires at least 2 digits.
  For example, if the project number is 1, it becomes 01.
- Any missing entry or incorrect data unless otherwise indicated above.

Annex I

## ANNUAL PROGRESS REPORT FORMAT

| Status | Agency | Project Title | Multi-Year/*Multi-Year Partial Phase-out*/One-off Phase-Out/Individual/RMP/RMP Update/*RMP for Non-LVC*/Halon Banking | Region | Country | Sector | Mtg | Type | Num | A/N | IRD | Chemical | Consumption ODP to be Phased Out per Proposal | Consumption ODP Phased Out | Production ODP to be Phased Out per Proposal | Production ODP Phased Out | Date Approved | First Disbursment Date | Date of Compl per Proposal |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

**con't**

| Planned Date of Completion | Date Completed (Actual) | Date of Financial Completion | Approved Funding (US$) | Adjustment (US$) | Approved Funding plus Adjustments (US$) | Funds Disbursed (US$) | Per Cent of Funds Disbursed | Balance (US$) | Funds Obligated (US$) | Estimated Disbursement in Current Year (US$) | Support Cost Approved (US$) | Support Cost Adjustment (US$) | Support Cost Disbursed (US$) | Support Cost Balance (US$) | Support Cost Obligated (US$) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|

**con't**

| Remarks (Specify milestone achieved, remedial actions, and issues of relevance to ExCom | Remarks (Latest information) continued) (for Multi-Year, One-off address provisions of agreement, RMPs; and implementation of conditions of agreements). | Year of Contribution | 22nd MtgLatest Planned Date of Completion | Business Plan Allocation (Investment/Non-Investment) |
|---|---|---|---|---|

**con't**

1

| Multi-Year Current Tranche Consumption Performance target (ODP Tonnes) | Multi-Year - Current Tranche Actual Consumption (ODP Tonnes) | Multi-Year - Current Tranche Production Performance target (Odp Tonnes) | Multi-Year - Current Tranche Actual Production (ODP Tonnes) | Multi-Year Current Tranche Confirmation of Annual Performance Target - Annual Target Met as Reported by Country (Yes/No) | Multi-Year Current Tranche Confirmation of Annual Performance Target - Verification Completed (Yes/No) | Multi-Year Current Tranche Confirmation of Annual Performance Target - Verification Report to ExCom (Yes/No) |
|---|---|---|---|---|---|---|
|  |  |  |  |  |  |  |

**Annex II**

## MULTI-YEAR AGREEMENTS SUMMARY

| Country | Sector Plan/National ODS Phase-Out Plan | Date Approved | Planned Date of Completion | Funds Committed by ExCom (US$) | Funds Released including Present Year by ExCom (US$) | Funds Disbursed to the Country (US$) | Total ODP Consumption to be Phased-out for the Plan | ODP Counsumption Allowed for the Reporting Year | Actual ODP Consumption for Reporting Year | Total ODP Production to be Phase-out for the Plan | ODP Production Allowed for the Reporting Year | Actual ODP Production for Reporting Year | Remarks (Achievement of Conditions of Approval, Milestones, Relevant Issues concerning next Targets) | Remarks (Latest information) |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |

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# Annex III

## COUNTRY & REGION CODE LISTING

| Region | Country | Code |
|--------|---------|------|
| Africa | Algeria | ALG |
| | Angola | ANG |
| | Benin | BEN |
| | Botswana | BOT |
| | Burkina Faso | BKF |
| | Burundi | BDI |
| | Cameroon | CMR |
| | Cape Verde | CBI |
| | Central African Republic (the) | CAF |
| | Chad | CHD |
| | Comoros (the) | COI |
| | Congo (the) | PRC |
| | Cote d'Ivoire | IVC |
| | Democratic Republic of the Congo (the) | DRC |
| | Djibouti | DJI |
| | Egypt | EGY |
| | Equatorial Guinea | EQG |
| | Eritrea | ERI |
| | Ethiopia | ETH |
| | Gabon | GAB |
| | Gambia (the) | GAM |
| | Ghana | GHA |
| | Guinea | GUI |
| | Guinea-Bissau | GBS |
| | Kenya | KEN |
| | Lesotho | LES |
| | Liberia | LIR |
| | Libyan Arab Jamahiriya (the) | LIB |
| | Madagascar | MAG |
| | Malawi | MLW |
| | Mali | MLI |
| | Mauritania | MAU |
| | Mauritius | MAR |
| | Morocco | MOR |
| | Mozambique | MOZ |
| | Namibia | NAM |
| | Niger (the) | NER |
| | Nigeria | NIR |
| | Region: AFR | AFR |
| | Rwanda | RWA |
| | Sao Tome and Principe | STP |
| | Senegal | SEN |
| | Seychelles | SEY |
| | Sierra Leone | SIL |
| | Somalia | SOM |
| | South Africa | SOA |
| | South Sudan | SSD |
| | Sudan (the) | SUD |
| | Swaziland | SWA |
| | Togo | TOG |
| | Tunisia | TUN |
| | United Republic of Tanzania (the) | URT |

| Region | Country | Code |
|--------|---------|------|
| Asia and the Pacific | Afghanistan | AFG |
| | Bahrain | BAH |
| | Bangladesh | BGD |
| | Bhutan | BHU |
| | Brunei Darussalam | BRU |
| | Cambodia | KAM |
| | China | CPR |
| | Cook Islands (the) | CKI |
| | Democratic People's Republic of Korea (the) | DRK |
| | Fiji | FIJ |
| | India | IND |
| | Indonesia | IDS |
| | Iran (Islamic Republic of) | IRA |
| | Iraq | IRQ |
| | Jordan | JOR |
| | Kiribati | KIR |
| | Kuwait | KUW |
| | Lao People's Democratic Republic (the) | LAO |
| | Lebanon | LEB |
| | Malaysia | MAL |
| | Maldives | MDV |
| | Marshall Islands (the) | MAS |
| | Micronesia (Federated States of) | FSM |
| | Mongolia | MON |
| | Myanmar | MYA |
| | Nauru | NAU |
| | Nepal | NEP |
| | Niue | NIU |
| | Oman | OMA |
| | Pakistan | PAK |
| | Palau | TTR |
| | Papua New Guinea | PNG |
| | Philippines (the) | PHI |
| | Qatar | QAT |
| | Region: ASP | ASP |
| | Samoa | SAM |
| | Saudi Arabia | SAU |
| | Singapore | SIN |
| | Solomon Islands | SOI |
| | Sri Lanka | SRL |
| | Syrian Arab Republic | SYR |
| | Thailand | THA |
| | Timor-Leste | TLS |
| | Tonga | TON |
| | Tuvalu | TUV |
| | United Arab Emirates (the) | UAE |
| | Vanuatu | VAN |
| | Viet Nam | VIE |
| | Yemen | YEM |

| Country | Code |
|---|---|
| Uganda | UGA |
| Zambia | ZAM |
| Zimbabwe | ZIM |

| Region | Country | Code |
|---|---|---|
| Latin America and the Caribbean | Antigua and Barbuda | ANT |
| | Argentina | ARG |
| | Bahamas (the) | BHA |
| | Barbados | BAR |
| | Belize | BZE |
| | Bolivia (Plurinational State of) | BOL |
| | Brazil | BRA |
| | Chile | CHI |
| | Colombia | COL |
| | Costa Rica | COS |
| | Cuba | CUB |
| | Dominica | DMI |
| | Dominican Republic (the) | DOM |
| | Ecuador | ECU |
| | El Salvador | ELS |
| | Grenada | GRN |
| | Guatemala | GUA |
| | Guyana | GUY |
| | Haiti | HAI |
| | Honduras | HON |
| | Jamaica | JAM |
| | Mexico | MEX |
| | Nicaragua | NIC |
| | Panama | PAN |
| | Paraguay | PAR |
| | Peru | PER |
| | Region: LAC | LAC |
| | Saint Kitts and Nevis | STK |
| | Saint Lucia | STL |
| | Saint Vincent and the Grenadines | STV |
| | Suriname | SUR |
| | Trinidad and Tobago | TRI |
| | Uruguay | URU |
| | Venezuela (Bolivarian Republic of) | VEN |

| Region | Country | Code |
|---|---|---|
| Europe | Albania | ALB |
| | Armenia | ARM |
| | Bosnia and Herzegovina | BHE |
| | Croatia | CRO |
| | Cyprus | CYP |
| | Georgia | GEO |
| | Kyrgyzstan | KYR |
| | Malta | MAT |
| | Montenegro | MOG |
| | Region: EUR | EUR |
| | Republic of Moldova (the) | MOL |
| | Romania | ROM |
| | Serbia | YUG |
| | Slovenia | SLO |
| | The Former Yugoslav Republic of Macedonia | MDN |
| | Turkey | TUR |
| | Turkmenistan | TKM |
| | | |
| Global | Global | GLO |

**Annex IV**

**SECTOR CODE LISTING\***

| Sector | Code | Subsector |
|---|---|---|
| Aerosol | ARS | Contract filler |
| | | Filling plant |
| | | HCFC phase out plan |
| | | LPG purification |
| | | Metered dose inhalers |
| | | Preparation of project proposal |
| | | Sectoral phase out plan |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Destruction | DES | Demonstration |
| | | Preparation of project proposal |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Foam | FOA | Demonstration |
| | | Flexible molded |
| | | Flexible slabstock |
| | | HCFC phase out plan |
| | | Integral skin |
| | | Multiple-subsectors |
| | | Phenolic |
| | | Polyol production |
| | | Polystyrene/polyethylene |
| | | Preparation of project proposal |
| | | Rigid |
| | | Rigid (insulation refrigeration) |
| | | Sectoral phase out plan |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Fumigant | FUM | Methyl bromide |
| | | Non-investment programme |
| | | Preparation of project proposal |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Halon | HAL | Banking |
| | | Extinguisher |
| | | Extinguisher/fixed system |
| | | Fixed system |
| | | Halon conversion |
| | | HCFC phase out plan |
| | | Preparation of project proposal |
| | | Recovery/recycling |
| | | Sectoral phase out plan |
| | | Technical assistance/support |
| | | Training programme/workshop |

| Sector | Code | Subsector |
| --- | --- | --- |
| Multi-sector | MUS | Investment projects |
| | | Preparation of project proposal |
| | | Training programme/workshop |
| Other | OTH | Preparation of project proposal |
| | | Technical assistance/support |
| | | Tobacco fluffing |
| | | Training programme/workshop |
| Process agent | PAG | CTC phase out |
| | | Preparation of project proposal |
| | | Process conversion |
| | | Sectoral phase out plan |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Phaseout plan | PHA | CFC phase out plan |
| | | CTC phase out plan |
| | | HCFC phase out plan |
| | | ODS phase out plan |
| | | Preparation of project proposal |
| Production | PRO | CFC closure |
| | | CFC conversion |
| | | Halon closure |
| | | HCFC phase out plan |
| | | MB closure |
| | | ODS closure |
| | | Preparation of project proposal |
| | | TCA closure |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Refrigeration | REF | Air conditioning |
| | | Chiller |
| | | Commercial |
| | | Commercial (refrigerant) |
| | | Compressor |
| | | Domestic |
| | | Domestic (refrigerant) |
| | | Domestic/commercial |
| | | End-user |
| | | HCFC phase out plan |
| | | MAC |
| | | MAC compressor |
| | | MAC recovery/recycling |
| | | Multiple-subsectors |
| | | Preparation of project proposal |
| | | Project preparation/supervision |
| | | Recovery/recycling |
| | | Refrigerant management plan |
| | | Sectoral phase out plan |
| | | Technical assistance/support |
| | | Training programme/workshop |

| Sector | Code | Subsector |
|---|---|---|
| | | Transportation refrigeration |
| Several | SEV | Agency programme |
| | | Country programme/country survey |
| | | Document/video/diskette |
| | | Information exchange |
| | | Network |
| | | Ozone unit support |
| | | Project preparation/supervision |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Solvent | SOL | CFC-113 |
| | | Combined CFC-113 and TCA |
| | | CTC |
| | | HCFC phase out plan |
| | | Multiple solvents |
| | | Preparation of project proposal |
| | | Sectoral phase out plan |
| | | TCA |
| | | Technical assistance/support |
| | | Training programme/workshop |
| Sterilant | STE | Preparation of project proposal |
| | | Sterilization services |
| | | Technical assistance/support |
| | | Training programme/workshop |

\* Additional Sector codes may be added as projects are approved.

**Annex V**

## DATA INCONSISTENCIES VERIFICATION

The following queries are used to verify data inconsistencies in the agency progress reports.

Closed Projects (CLO)

- Closed projects without Adjustment and the Balances are not equal to zero
- Closed projects with Adjustment and the Balances are not equal to zero
- Closed projects without Dates of Financial Completion
- Closed projects with Dates Completed Actual
- Closed projects with Planned Dates of Completion
- Closed projects with Estimated Disbursements in Current Year

Completed Projects (COM)

- ~~Projects completed over 1 year should be classified as Financially Completed (FIN)~~
- Completed projects without Dates Completed Actual
- Completed projects with Dates of Financial Completion
- Completed projects with Planned Dates of Completion
- Completed projects with a positive Balances without Estimated Disbursements in Current Year

Financially Completed Projects (FIN)

- Financially completed projects without Dates Completed Actual
- Financially completed projects without Dates of Financial Completion
- Financially completed projects with Estimated Disbursements in Current Year
- Financially completed projects with Planned Dates of Completion

Ongoing Projects (ONG)

- Ongoing projects without Estimated Disbursements in Current Year
- Ongoing projects without Planned Dates of Completion
- Ongoing projects with Dates Completed Actual
- Ongoing projects with Dates of Financial Completion

Transferred Projects (TRF)

- Transferred projects with Adjustments of un-utilized funds and the Balances are not equal to zero
- Transferred projects without Dates of Financial Completion

- Transferred projects with Dates Completed Actual

- Transferred projects with Planned Dates of Completion

- Transferred projects with Estimated Disbursements in Current Year


<u>For All Projects</u>

- Projects without Approved Funding

- Projects that are missing from the Progress Reports

- Projects without Date Approved

- Projects without Date of Completion Per Proposal

- Projects with Funds Disbursed without First Disbursement Dates or vice versa

- Projects with First Disbursement Dates prediction

- Projects without Balances but have Estimated Disbursements in Current Year


<u>Progress Report Data Vs Inventory of Approved Projects</u>

- Compare Progress Reports "ODP to be Phased Out" with Inventory "IMPACT"

- Compare Progress Reports "ODP Phased Out" with Inventory "ODS_PHASEDOUT" for completed projects

- Compare Progress Reports "Approved Funding" with Inventory "FUND_ALLOCATED1"

- Compare Progress Reports "Adjustments" with Inventory "Adjustments"

- Compare Progress Reports "Date Approved" with Inventory "DATE_APPROVAL1"

- Compare Progress Reports "Date Completed Actual" with Inventory "DATE_ACTUAL"

- Compare Progress Reports "Planned Date of Completion Per Proposal with Inventory "DATE_COMPLETION"

- Compare Progress Reports "Code" with Inventory "CODE"

- Compare Progress Reports "~~Administrative~~ Support Costs Approved" with Inventory "~~TOTAL_~~13%SUPPORT_COST<u>1</u>"

- Compare Progress Reports "~~Administrative~~ Support Costs ~~Returned~~<u>Adjustments</u>" with Inventory "<u>Support Costs Adjustments</u>~~TOTAL_13%_TRANSFERRED~~"

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