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COMITÉ EJECUTIVO DEL FONDO MULTILATERAL
 PARA LA APLICACIÓN DEL
 PROTOCOLO DE MONTREAL
Sexagésima sexta Reunión
Montreal, 16 – 20 de abril de 2012

**SISTEMATIZACIÓN Y RACIONALIZACIÓN DE LA PRESENTACIÓN DE INFORMES
SOBRE LA MARCHA DE LAS ACTIVIDADES AL COMITÉ EJECUTIVO
EN TODO EL CONJUNTO DE INFORMES**

1.   En su 64ª reunión, el Comité Ejecutivo pidió a la Secretaría del Fondo: "i) Que convoque una reunión con los órganos bilaterales y de ejecución con miras a definir exactamente la naturaleza, el contenido y la fecha de entrega de la información sobre la situación que se debía proporcionar en los informes sobre la marcha de las actividades, al tiempo que se sigue analizando cómo sistematizar y racionalizar en mayor grado la presentación de informes al Comité Ejecutivo en todo el espectro de informes; ii) Que informe al Comité Ejecutivo en su 65ª reunión de las conclusiones de la reunión antedicha" (decisión 64/6 c)).

2.   Todos los organismos de ejecución aportaron sus contribuciones en la materia a la Secretaría para el 2 de febrero de 2012, y el asunto continuó debatiéndose en la Sede de la Secretaría en una Reunión de coordinación entre organismos, celebrada del 7 al 9 de febrero de 2012.

3.   El documento trata en primer lugar los tipos de informes presentados al Comité Ejecutivo; sigue luego un resumen las propuestas convenidas en la reunión de coordinación entre organismos y concluye con recomendaciones.

Tipos de informes presentados al Comité Ejecutivo

4.   El Comité Ejecutivo requiere un número considerable de informes que definen el espectro de la presentación de informes en el marco del Fondo Multilateral. Los informes requeridos son: Informe anual sobre la marcha de las actividades y financiero, demoras en la presentación de tramos anuales, planes administrativos, solicitudes anuales al Programa de asistencia al cumplimiento e informes sobre la marcha de las actividades, proyectos terminados con saldos, asuntos de cumplimiento, requisitos específicos de presentación de informes, solicitudes de tramos para los planes anuales de ejecución de los acuerdos plurianuales, solicitudes de renovación de fortalecimiento institucional y evaluación cualitativa del desempeño de los organismos de ejecución, informes sobre terminación de proyectos y conciliación de los estados de cuentas. Con la excepción de los asuntos de cumplimiento, que se tratan en la cuestión del orden del día sobre la "Situación de la ejecución de proyectos con demoras y perspectivas de los países que operan al amparo del Artículo 5 en relación con el cumplimiento de las medidas de control siguientes del Protocolo de Montreal", y las solicitudes de renovación de fortalecimiento institucional que se tratan en los programas de trabajo o en sus enmiendas, estos documentos constituyen asuntos separados del orden del día. Por consiguiente, la presentación de informes se restringe a las necesidades de cada cuestión del orden del día. Es posible que, con respecto al mismo proyecto, pueda haber un asunto que se trata en más de una cuestión del orden del día y, por consiguiente, constituirá un inevitable caso de plantear diferentes preguntas sobre el mismo proyecto para diferentes cuestiones del orden del día.

5.   En la tabla siguiente se presenta un resumen de la naturaleza, el contenido y la fecha de entrega de los informes sobre la marcha de las actividades.

Informes de situación	Naturaleza	Contenido	Fecha de entrega
Informe anual sobre la marcha de las actividades y financiero	Vigilar el logro de hitos, impedimentos de los proyectos para que el Comité Ejecutivo tome medidas/conocimiento, fechas clave de los proyectos, información financiera conciliada con los estados de cuenta anuales.	Definidas por directrices operacionales.	Datos financieros al 31 de diciembre y observaciones con la información más reciente.
Informe sobre la marcha de los planes anuales de ejecución/demoras en la presentación de tramos.	Evaluar el logro de las actividades previstas en el tramo anterior, cualquier aplicación de la cláusula de flexibilidad y actividades reescalonadas, logro de reducciones del consumo y 20% del desembolso de los tramos.	Formato de acuerdo plurianual acompañado de narrativa escrita/Motivo de la demora en la presentación de tramos.	Según el cronograma especificado en el acuerdo plurianual.

Informes de situación	Naturaleza	Contenido	Fecha de entrega
Demoras en la ejecución e informes de situación adicionales	Continuar tratando proyectos hasta que se resuelvan los impedimentos con el resultado posible de que el Comité Ejecutivo adopte medidas o tome nota/conocimiento	Breves informes junto con los requisitos de la columna Observaciones de los informes sobre la marcha de las actividades y financieros.	Hasta eliminarse el impedimento o, para los proyectos con demoras, hasta que se evalúe el proyecto con progresos o se termine.
Proyecto con requisitos específicos de presentación de informes	Tratar proyectos para los cuales el Comité ha solicitado informes específicos.	Informe general de situación detallado que trata a veces información específica sobre si se han planeado actividades para los saldos remanentes.	Depende de la decisión específica del Comité Ejecutivo.
Proyectos terminados con saldos	Continuar tratando los saldos hasta que todos los fondos se desembolsen o se devuelvan para volver a programarlos.	Información sobre saldos devueltos y pendientes y fechas en que se cerrarían las cuentas y se devolverían los fondos según corresponda.	Cada reunión.

Propuestas de la reunión de coordinación entre organismos

6.   En esta sección se tratan las propuestas específicas para sistematizar y racionalizar los informes de los organismos de ejecución y de la Secretaría del Fondo.

7.   El número de columnas de datos en la base de detos del libro de trabajo Excel del informe anual sobre la marcha de las actividades se reduciría si se eliminan columnas redundantes e innecesarias. Los organismos recibirán datos preinsertados y macros de verificación basados en la información existente en las bases de datos de la Secretaría del Fondo para aquella información que no requiera actualizarse. Se convino en varios hitos para la preparación y ejecución de tramos del plan de gestión de eliminación de HCFC y, como consecuencia, se revisaron las directrices operacionales para el Informe sobre la marcha de las actividades y financiero (véase el adjunto). Una de las dos columnas de observaciones tratará la marcha de las actividades hasta el 31 de diciembre mientras que la otra proporcionará los datos más recientes disponibles. También existió acuerdo en reducir y simplificar la parte narrativa, en particular con la sección de novedades en los países. Los organismos de ejecución y la Secretaría intentarían limitar las preguntas relativas a las propuestas de proyectos y, en el caso de los organismos, los volúmenes de documentación presentados como parte de esas propuestas. Se debatió la noción de un sistema de información basado en la web pero no se expresó deseo alguno en migrar a tal sistema por el momento. El Comité Ejecutivo podría tomar nota de que la Secretaría y los organismos de ejecución han convenido en modificar las directrices operacionales para la presentación de informes sobre la marcha de las actividades y financieros, reducir en la medida de lo posible la documentación en la parte narrativa del Informe anual sobre la marcha de las actividades y financiero y propuestas de proyectos así como las preguntas relativas a las propuestas de proyectos y consideraron la posibilidad de introducir un sistema de información basado en la web para el Informe anual sobre la marcha de las actividades y financiero.

8.   La presentación de informes sobre demoras en la ejecución, demoras en los tramos anuales, asuntos de cumplimiento, requisitos específicos de presentación de informes, presentación de informes sobre proyectos de demostración y proyectos terminados con saldos podría racionalizarse si se pudiera reducirla a dos veces por año, lo que ha sido considerado en el contexto del examen por el Comité de la

posibilidad de reunirse dos veces por año. Se convino en que esta propuesta debería presentarse, dado que así se podría reducir en un tercio la presentación de informes para estos asuntos. No obstante, cabe señalar que mantener tres reuniones por año con informes de situación a solo dos de ellas podría resultar en que trascurrieran hasta ocho meses sin un informe de situación a menos que se modifique el calendario de reuniones a dos reuniones por año. El Comité Ejecutivo convino en examinar la cuestión del número de reuniones anuales en la primera reunión de 2013 a la luz de la carga de trabajo relacionada con los planes de gestión de la eliminación de los HCFC, así como sobre cualquier otra cuestión que pueda plantearse en ese momento (decisión 61/48 b)).

9. Actualmente, los informes sobre la situación de un proyecto pueden considerarse en el contexto de la cuestión del orden del día "Informe sobre la ejecución de proyectos aprobados con requisitos específicos de presentación de informes" y como seguimiento de un asunto de cumplimiento identificado en el Informe anual sobre la marcha de las actividades y financiero en la cuestión del orden del día "Situación de la ejecución de los proyectos con demoras y perspectivas de los países que operan al amparo del Artículo 5 en relación con el cumplimiento de las medidas de control siguientes del Protocolo de Montreal". Se propone que los informes sobre la situación de ejecución de un proyecto se traten en una cuestión del orden del día con un nuevo título "Informes de situación y cumplimiento". En algunos casos, por ejemplo de informes sobre la terminación de proyectos de demostración que pueden proporcionar información tecnológica detallada, la Secretaría podría incluir dichos informes en una cuestión distinta del orden del día o como documento de información.

10. La información sobre la marcha de las actividades de acuerdos plurianuales debería incluirse en la columna de observaciones del Informe anual sobre la marcha de las actividades y financiero y en la parte narrativa del Plan anual de ejecución. La información presentada en cada informe debería ser coherente con la del otro, explicándose cualesquiera diferencias que existan.

11. Para los planes de gestión de eliminación de HCFC, el informe tradicional sobre la marcha de las actividades que se incluye en el Plan anual de ejecución no es necesario si no se ha solicitado un tramo de financiación. La información sobre la marcha de las actividades se incluiría en la columna de observaciones del Informe anual sobre la marcha de las actividades y financiero según se describió anteriormente. En aquellos casos en que se trate de no cumplimiento y de la posible aplicación de la cláusula de penalización, sería necesario un informe sobre el Plan anual de ejecución que se examinaría en el marco de la cuestión del orden del día "Propuestas de proyectos".

12. Dejaría de ser necesaria la presentación de un informe sobre los planes anuales de ejecución pendientes de los planes nacionales de eliminación, planes de gestión de la eliminación definitiva, planes sobre metilbromuro (aplicables si no hay más tramos de financiación) y planes de gestión de refrigerantes. En su lugar, se presentaría el informe de terminación de proyectos con cualquier informe de verificación que resulte necesario y con la tabla 8 del formato de acuerdo plurianual aprobado que contiene información sobre terminación financiera por actividad. En el caso de que no se completen los informes de terminación de proyectos, podrían presentarse informes de verificación tan pronto como se cuente con ellos en el contexto de la nueva cuestión del orden del día propuesta sobre Informes de situación y cumplimiento o en el Informe anual sobre la marcha de las actividades y financiación.

13. El PNUMA prepara actualmente dos informes detallados sobre la marcha de las actividades en las actividades de su Programa de asistencia al cumplimiento cada año: uno en el Informe anual sobre la marcha de las actividades y financiero en la segunda reunión del año que informa sobre aproximadamente 400 proyectos en marcha, incluyendo el Programa de asistencia al cumplimiento, y el otro en el contexto de la aprobación del Programa de asistencia al cumplimiento anual en la tercera reunión del año. Se propone que sólo se presente un informe anual sobre el Programa de asistencia al cumplimiento cada año en la tercera reunión del año.

Recomendaciones

14.   El Comité Ejecutivo podría considerar lo siguiente:

a)   tomar nota del documento titulado "Sistematización y racionalización de la presentación de informes sobre la marcha de las actividades al Comité Ejecutivo en todo el conjunto de informes", que figura en el documento UNEP/OzL.Pro/ExCom/66/18;

b)   pedir:

i)   que la información anteriormente requerida para la cuestión del orden del día "Informe sobre la ejecución de proyectos aprobados con requisitos específicos de presentación de informes" se notifique en el contexto de todos los informes de situación conjuntamente con asuntos sobre cumplimiento en una cuestión del orden del día y en un documento titulados "Informes de situación y cumplimiento";

ii)   que la información sobre acuerdos plurianuales en la columna de observaciones del Informe anual sobre la marcha de las actividades y financiero se incluya en la parte narrativa del Plan anual de ejecución explicándose cualesquiera diferencias que hubieren;

iii)   que los planes anuales de ejecución dejen de ser necesarios en ausencia de solicitudes de tramos de financiación, salvo en aquellos casos en que hay una cuestión sobre la aplicación de la cláusula de penalización;

iv)   que los organismos presenten informes de terminación de proyectos con cualquier informe de verificación disponible, conjuntamente con la Tabla 8 del formato de acuerdo plurianual aprobado, en vez de los planes anuales de ejecución para los planes de gestión de refrigerantes, planes de gestión de la eliminación definitiva, planes nacionales de eliminación y metilbromuro, y en el caso de que no se complete el informe sobre terminación de proyectos, podría presentarse un informe de verificación tan pronto como esté finalizado en el contexto de un informe de situación, si el informe de verificación está completo para la primera o tercera reunión del Comité Ejecutivo, o en el Informe anual sobre la marcha de las actividades y financiero; y

v)   que el PNUMA presente su informe anual detallado sobre la marcha de las actividades relativo a las actividades del Programa de asistencia al cumplimiento a la tercera reunión del año en el contexto de la aprobación del Programa de asistencia al cumplimiento anual e identifique cualquier impedimento a la ejecución de proyectos del Programa de asistencia al cumplimiento en el Informe anual sobre la marcha de las actividades y financiero.

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 electronic version~~printed copy~~ will be ~~distributed~~included 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 ICountry 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 25th 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>

<u>***</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.

<u>***</u>**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.

<u>**</u>**Approved Funding plus Adjustment** - The sum of Approved Funding and Adjustment.

<u>**</u>**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.

<u>Latest Planned Date of Completion - 22nd Mtg / 28th Mtg / 31st Mtg / 34th Mtg / 37th Mtg- Planned Date of Completion</u> —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/<u>Remarks (Latest Information)</u> - 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 - Grant agreement signature - Bids prepared and requested - Contracts awarded - Equipment delivered - Commissioning and trial runs - De-commissioning and/or destruction of redundant baseline equipment	- Legal arrangements - Initial stages of project implementation begins - Intermediate goals achieved - Project completion and follow-up

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

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)

1

Annex III

COUNTRY & REGION CODE LISTING

Region	Country	Code	Region	Country	Code
Africa	Algeria	ALG	Asia and the Pacific	Afghanistan	AFG
	Angola	ANG		Bahrain	BAH
	Benin	BEN		Bangladesh	BGD
	Botswana	BOT		Bhutan	BHU
	Burkina Faso	BKF		Brunei Darussalam	BRU
	Burundi	BDI		Cambodia	KAM
	Cameroon	CMR		China	CPR
	Cape Verde	CBI		Cook Islands (the)	CKI
	Central African Republic (the)	CAF		Democratic People's Republic of Korea (the)	DRK
	Chad	CHD		Fiji	FIJ
	Comoros (the)	COI		India	IND
	Congo (the)	PRC		Indonesia	IDS
	Cote d'Ivoire	IVC		Iran (Islamic Republic of)	IRA
	Democratic Republic of the Congo (the)	DRC		Iraq	IRQ
	Djibouti	DJI		Jordan	JOR
	Egypt	EGY		Kiribati	KIR
	Equatorial Guinea	EQG		Kuwait	KUW
	Eritrea	ERI		Lao People's Democratic Republic (the)	LAO
	Ethiopia	ETH		Lebanon	LEB
	Gabon	GAB		Malaysia	MAL
	Gambia (the)	GAM		Maldives	MDV
	Ghana	GHA		Marshall Islands (the)	MAS
	Guinea	GUI		Micronesia (Federated States of)	FSM
	Guinea-Bissau	GBS		Mongolia	MON
	Kenya	KEN		Myanmar	MYA
	Lesotho	LES		Nauru	NAU
	Liberia	LIR		Nepal	NEP
	Libyan Arab Jamahiriya (the)	LIB		Niue	NIU
	Madagascar	MAG		Oman	OMA
	Malawi	MLW		Pakistan	PAK
	Mali	MLI		Palau	TTR
	Mauritania	MAU		Papua New Guinea	PNG
	Mauritius	MAR		Philippines (the)	PHI
	Morocco	MOR		Qatar	QAT
	Mozambique	MOZ		Region: ASP	ASP
	Namibia	NAM		Samoa	SAM
	Niger (the)	NER		Saudi Arabia	SAU
	Nigeria	NIR		Singapore	SIN
	Region: AFR	AFR		Solomon Islands	SOI
	Rwanda	RWA		Sri Lanka	SRL
	Sao Tome and Principe	STP		Syrian Arab Republic	SYR
	Senegal	SEN		Thailand	THA
	Seychelles	SEY		Timor-Leste	TLS
	Sierra Leone	SIL		Tonga	TON
	Somalia	SOM		Tuvalu	TUV
	South Africa	SOA		United Arab Emirates (the)	UAE
	South Sudan	SSD		Vanuatu	VAN
	Sudan (the)	SUD		Viet Nam	VIE
	Swaziland	SWA		Yemen	YEM
	Togo	TOG			
	Tunisia	TUN			
	United Republic of Tanzania (the)	URT			

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_COST1"

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