



## 联合国 环境规划署

Distr.  
GENERAL

UNEP/OzL.Pro/ExCom/76/63  
12 April 2016

CHINESE  
ORIGINAL: ENGLISH

执行蒙特利尔议定书  
多边基金执行委员会  
第七十六次会议  
2016年5月9日至13日，蒙特利尔

### 审查执行委员会运作情况（第 73/70 号决定(H) 段）

#### 背景

1. 在第七十三次会议上，执行委员会讨论了在 2014 年试行每年举行两次会议的方法，该方法系经第 70/23 号决定同意，执行委员会又决定自 2015 年起继续举行两次执行委员会会议，与此同时，如需要，也可能举行一次短会审议项目提案，还决定在 2016 年执行委员会的第一次会议上审议每年两次会议的方法（第 73/70 号决定）。本说明的附件一载有第 70/23 号和第 73/70 号决定的文字。
2. 根据 2014 年和 2015 年每年两次会议方法运作情况，秘书处依照第 73/70 号决定(h) 段编制了本文件。文件还述及第七十五次会议期间讨论执行委员会运作程序时提出的执行机构的问责问题。在机构间协调会议（IACM）期间，<sup>1</sup> 与各双边和执行机构讨论了分析的主要结论和上述程序性问题，本文件载有各机构的反馈意见。
3. 附件二载有关于 2014 年和 2015 年每年两次会议方法的经验的总结。附件三载有供执行委员会参考的议事规则。

#### 2014 年和 2015 年每年举行两次会议经验的分析的结论

4. 继进行分析后，秘书处就每年两次会议方法的安排得出了以下结论：
  - (a) 2015 年，执行委员会具有应付每次为期 5 天的两次会议的工作量；
  - (b) 经修订的项目提案安排实施效果令人满意，其中包括提交氟氯烃淘汰管理计划付款申请的时间表（第 70/23 号决定(b)(一)段）、体制强化项目的安排

<sup>1</sup> 2016 年 3 月 1 日至 2 日，蒙特利尔。

(第 70/23 号决定(b)(二)段)、供资金额 500 万美元的氟氯烃淘汰管理计划付款申请的一揽子核准(第 70/23 号决定(b)(三)段)，以及在有关实现消耗臭氧层物质削减目标的核实情况提交前，核准氟氯烃淘汰管理计划的付款申请(第 72/19 号决定)；

- (c) 每年编制的标准文件数目较少；<sup>2</sup>
- (d) 年度周期能较容易地迎合 14 个星期(或更长)的提交氟氯烃淘汰管理计划新阶段的项目提案的时限，这让秘书处和各双边和执行机构能够圆满解决绝大多数与有关氟氯烃淘汰管理计划相关的问题；
- (e) 年度时间表为秘书处提供了更多时间同各双边和执行机构讨论相关事项，包括每年两次的机构间协调会议；以及
- (f) 各双边和执行机构有更多时间执行实地项目。

5. 秘书处还注意到，执行委员会会议的年度费用大约减少了 430,000 美元，执行委员会成员每年旅行次数是两次而不是三次。

### 优化每年两次会议的方法

6. 秘书处在审查期间，在顾及执行委员会今后工作量的情况下，确定了一系列能够优化每年两次会议方法的实施的调整措施。

### 年度进展报告

7. 2014 和 2015 年，关于进展情况报告的议程项目是执行委员会在每年的第二次会议上审议的，该会议召开时间比 2014 年之前所试行的每年三次会议的方法晚四个月。因此，在执行委员会审议时，2014 和 2015 年进展报告中所载信息已过时 10 或 11 个月。

8. 尽早在每年第一次全面会议上审议年度进展报告，能够解决及时性的问题，也有助于均衡第一和最后一次会议之间的工作量。为了让各双边和执行机构有时间按照要求的时限向第一次会议提交其年度进展报告，最好是将第一次会议的时间定在 6 月。

### 关于国家方案执行情况的报告

9. 文件“国家方案数据和履约前景”<sup>4</sup>主要提供了关于第 5 条国家的消耗臭氧层物质的消费、生产以及各类氟氯烃和替代物的价格的数据和分析。该文件分别在第七十四次和第七十五次会议进行了审议，并提交给履约委员会。为 2015 年第七十四次会议编制的国家方案分析系基于 2013 年的数据，因为编制报告时未能获得 2014 年的数据。<sup>5</sup>第七十五次会议的国家方案分析依据的是 2014 年的数据，但并不完整，因为截至 2015 年 10 月 6

<sup>2</sup> 标准文件包括：临时议程、临时议程说明、秘书处的活动、收支情况、关于余额和资金供应情况的报告、付款申请提交的拖延、国家方案数据和履约前景以及项目审查期间所查明问题概览。

<sup>3</sup> 这一数额依据的是 UNEP/OzL.Pro/ExCom/73/58 号文件中所提为执行委员会额外会议的估计费用。

<sup>4</sup> UNEP/OzL.Pro/ExCom/74/11 和 UNEP/OzL.Pro/ExCom/75/19 分别由 2015 年 5 月和 11 月的第七十四次和第七十五次会议审议，并分别作为 UNEP/OzL.Pro/ImpCom/54/INF/R.3 和 UNEP/OzL.Pro/ImpCom/55/INF/R.3，于 2015 年 7 月和 10 月提交履约委员会 (ImpCom) 的第五十四次和第五十五次会议。

<sup>5</sup> UNEP/OzL.Pro/ExCom/74/11 系于 2015 年 4 月 15 日印发。

日，145个国家中仅111个国家提交了国家方案数据。<sup>6</sup>

10. 鉴于国家方案数据是及时评估各国履约前景从而解决潜在问题的关键，执行委员会要求第5条国家如果可能，在执行委员会第一次会议之前八个星期并且不晚于5月1日提交国家方案数据报告，但有一项谅解，即：如果执行委员会决定重新实行一年三次会议的做法，便需要重新考虑提交国家方案数据的时限（第74/9号决定）。虽然一些国家表示它们能够在5月1日之前提交国家方案数据，但秘书处仍然没有足够时间为5月的第一次会议编制关于以往年份的国家方案数据的分析。6月举行第一次全面会议，将让秘书处能够对消耗臭氧层物质的数据和履约前景进行更切实的分析，但条件是有足够多的国家及时地提供了本国的国家方案数据。

#### 提交两次会议方法下的核查报告

11. 由于给每年第一次会议的付款申请文件应于3月提交，几个国家氟氯烃消费量的官方数据无法获得，因此，难于将这些数据纳入向第一次会议提交的往年消费量的核查之中。<sup>7</sup>如果第一次会议定于6月举行，向秘书处提交付款申请的时限将落在4月，从而能够连同付款申请一道提交氟氯烃淘汰管理计划核查报告。

#### 执行委员会今后工作量和提交文件的时限

12. 执行委员会2016-2018年的工作量将包括每次会议中所涉及的标准议程项目，以及可能来自缔约方会议的可能的额外工作。<sup>8</sup>表1列出了直至2020年的多边基金2016-2018年综合业务计划所载项目和活动的数量，同时表明，就项目提案而言，执行委员会的工作量有可能多于2018年和2020年通常的工作量，因为很多低消费量国家将提交其氟氯烃淘汰管理计划的第二阶段。

**表 1: 2016-2018 年业务计划活动的类型和数量<sup>9</sup>**

需要履约的活动或标准成本活动*	2016	2017	2018	2019	2020
体制强化项目	72	67	71	67	71
已核准多年期协定	125	38	62	9	111
氟氯烃生产行业淘汰管理计划——第一阶段	1				
氟氯烃生产行业淘汰管理计划——第二阶段			1	1	1
氟氯烃生产行业淘汰管理计划——第三阶段		1	1	1	1

<sup>6</sup> UNEP/OzL.Pro/ExCom/75/19 系于 2015 年 10 月 22 日印发。

<sup>7</sup> 执行委员会鼓励向年度的第一次会议提交氟氯烃淘汰管理计划付款申请的牵头双边和执行机构提交付款申请当年之前一年的国家消费指标的核查报告。如果核查报告尚来不及提交第一次会议，则只有在秘书处收到核查报告确认在付款申请之前一年，该国遵守了《蒙特利尔议定书》以及该国政府与执行委员会之间的《协定》，方能向双边和执行机构移交任何已核准的付款的资金（第 72/19 号决定）。

<sup>8</sup> 例如，如果对《蒙特利尔议定书》做任何新修订，都会给执行委员会的工作带来影响，请注意，蒙特利尔议定书缔约方经由第 XXVII/1 号决定（关于氢氟碳化合物的迪拜途径）决定在《蒙特利尔议定书》内努力对氢氟碳化合物作出修订。

<sup>9</sup> UNEP/OzL.Pro/ExCom/75/21，根据第 75/22 号决定调整。

需要履约的活动或标准成本活动*	2016	2017	2018	2019	2020
氟氯烃淘汰管理计划第二/第三阶段的项目编制	22	7	128	13	
氟氯烃淘汰管理计划第一和第二阶段以及氟氯烃淘汰管理计划投资项目	63	71	94	66	197
低全球升温潜能值替代品示范项目	6				
共计（包括履约协助方案/核心单位）	301	189	362	162	386
总值（美元）	147.9	148.3	201.2	157	199.9

\* 根据三年期业务计划

13. 在处理每年两次会议而非三次会议的工作量方面，秘书处仍面临着挑战，因为会前审查阶段以及处理项目的工作人员的数目没有变化。尽管秘书处赞赏地注意到各双边和执行机构在规定时限之前提交了若干项目提案，不过，将提交项目提案的时限提前两个星期，将为秘书处提供更多的时间来处理更多的工作量。

14. 在机构间协调会议期间，执行机构对时限的提前表示了某种关切。秘书处认为，现行对时限作出例外处理的做法能够解决这一关切。<sup>10</sup>

#### 闭会期间的会议

15. 已经提交、但因项目审查进程而后再撤销或推迟的项目提案，以及拖延的付款申请，均须等待到下一次会议由执行委员会进行审议。如果有关国家存在不履约风险，<sup>11</sup>其付款申请可于是闭会期间的（短）会议上进行审议（第 73/70 号决定(b)段）。闭会期间会议的预算须事先商定。会议安排须遵循执行委员会会议的议事规则，<sup>12</sup>包括秘书处必须在会议之前六个星期将会议日期和地点通知所有成员。

16. 在充资年份内，执行委员会最后一次会议在缔约方会议之前举行，因此，可能有必要在缔约方会议之前就须考虑执行委员会应如何处理缔约方会议提出的可能需要于次年的年初举行一次闭会期间会议的要求。

#### 拟议对执行委员会会议的议程的改变

17. 秘书处的分析认为，可以考虑通过调整议程来让过去数年内不时修改过的议程项目和文件标准化。附件四提出了关于用以下标准类别为议程项目和文件进行分类的提案：议程；秘书处的活动；财务事项；业务规划；评价；方案执行情况；项目提案；政策文件；生产行业分组；给缔约方大会的报告。

18. 附件五考虑了附件四提出的分类，介绍了第一次和第二次会议的说明性修订议程。年度进展报告工作列入了第一次会议的议程，而不是像 2014 和 2015 年那样列入最后一次会议的议程。第一次会议的议程还包括审议各执行机构业绩的数量和质量方面的评价，因为这样秘书处才会有机会在发生以往一年的进展报告和财务报告提交第一次会议的情况下编制评价。秘书处将上述“评价以往一年的业务计划”的议程分项目改称为“评价执行机

<sup>10</sup> 目前，执行机构可以要求改变提交日期，但条件是须预先通知，同时该要求应当有理由。

<sup>11</sup> 截至第七十五次会议，未发生过让某一国家面临不履约风险的付款申请推延或延误的情况。

<sup>12</sup> 第 III/22 号决定(b)段和 UNEP/OzL.Pro/3/11 的附件六。

构的业绩”，以便更准确地反映该项目下所涉及的事项。<sup>13</sup> 其他议程项目的安排将保持不变。

### 执行委员会会议的拟议时间安排

19. 现提议的执行委员会会议的时间安排如下：

- 第一次会议：6月的第二或第三周；
- 最后一次会议：11月的第三或第四周或12月的第一周。

20. 执行委员会会议的最终日期必须考虑到蒙特利尔议定书缔约方不限成员名额工作组（OEWG）和缔约方会议的日期，这些会议通常分别安排在6/7月或10/11月举行。<sup>14</sup>

21. 表2是关于调整提交年度进展报告和项目提案的时限的建议。提交[来自各双边和执行机构的]报告，包括业务计划，项目完成情况报告以及关于付款申请提交的拖延的报告，其时限将保持不变。提交第5条国家的国家方案数据报告的时限毋需进行调整。<sup>15</sup>

**表 2：对提交年度进展报告和项目提案的时限的拟议调整**

项目	执行委员会会议之前星期数	
	现行时限	拟议时限
年度进展报告	12周（最后一次会议）	每年的4月15日或第一次会议（如果该会议早于6月第二个星期召开的话）之前8周
氟氯烃淘汰管理计划第一或第二阶段	14周	16周
价值超过500万美元的项目	12周	14周
其他提交	8周	10周

### 执行委员会运作程序

就自身项目发言的执行机构和执行委员会成员的问责

22. 在第七十五次会议讨论执行委员会的主要程序的议程项目时，<sup>16</sup> 主任通知执行委员会成员，他将与各执行机构讨论关于它们的问责的关切，以及第5条国家是否适当参与秘书处与各执行机构之间的讨论。

23. 在为机构间协调会议编制的关于执行委员会的运作的文件中，向各执行机构提到了这一事项，该文件中的一节涉及就自身项目发言的执行机构和执行委员会成员的问责

<sup>13</sup> 文件介绍了对各执行机构以往一年业务计划以及进展报告和财务报告中所确定的绩效指标方面的绩效的量化评价：每一绩效指标的趋势分析；以及根据自国家臭氧机构干事收到的执行机构绩效进行的定性评估。

<sup>14</sup> 2010年以来（不包括2016年），6月中旬至7月中下旬之际，设立了不限成员名额工作组，而缔约方会议于10月底至11月底举行。详见：<http://ozone.unep.org/en/meetings/meeting-reports-new>。

<sup>15</sup> 要求第5条国家，如果可行，在每年执行委员会第一次会议之前八个星期，并且不晚于5月1日提交国家方案数据报告，但有一项谅解，即如果执行委员会决定重新采取一年三次会议的做法，应重新审视提交国家方案数据的时限（第74/9号决定(b)(四)段）

<sup>16</sup> UNEP/OzL.Pro/ExCom/75/83号文件第296至300段。

题。<sup>17</sup> 该文件回顾说，秘书处仅与各双边和执行机构进行交流，执行机构则与第 5 条国家进行交流，第 5 条国家与某一执行机构的有效交流，为国家提供了在执行委员会会议审议项目之前回答关于其项目提案的任何询问和问题的机会。

24. 讨论期间，两个执行机构提出了各机构能够在执行委员会会议上就秘书处的评论作出澄清的问题，它们指出，双边和执行机构能够就项目提案提供详细的信息。秘书处解释说，在项目审查进程以及会前文件印发后，都有充足时间就秘书处的评论意见作出澄清。主任进一步解释说，让各机构在全体会议上就项目提案进行评论，将给掌握会议的进程带来困难，并指出，各机构都出席了在较正式地讨论项目提案的执行委员会会议的间隙举行的联络小组的会议。关于提交项目提案的问题，秘书处向各执行机构强调了遵守现时有效的各项程序的要求。秘书处还认为，关于改变提交时限的建议，将让执行机构能够有较长的时间同第 5 条国家讨论项目审查期间秘书处提出的任何事项，从而让执行委员会成员毋需再就其自身的项目发言。

25. 如果出现执行委员会要求某一国家提供更多信息以便审议是否应核准项目的情况，允许有关机构在会议期间有足够时间同该国进行联络以进一步讨论该事项，不论该国与会与否。程序公平为没有派代表出席执行委员会会议的国家提供了直至接近会议闭幕的时间就该事项作出回应。此外，一次执行委员会会议上可以审议超过 100 个国家的项目和活动，而且，虽然执行委员会成员可能从自身的区域挑选国家，但并非每一个有项目的第 5 条国家都能出席审议其项目的会议。

26. 还应指出的是，禁止成员就他们在其中拥有直接利益的项目发言的做法来自 1995 年的《对蒙特利尔议定书财务机制的评价》，<sup>18</sup> 该评价认为，执行委员会在达成共识时遇到困难，特别是当执行委员会的一个成员国对辩论的结果具有直接利益的时候。

### 执行委员会入门读本

27. 2016 年执行委员会入门读本包括最新组织图、关于执行委员会运作的主要程序的信息，其中包括秘书处以及各执行机构向执行委员会提供咨询意见方面的作用，以及每一执行机构的简况。

## 建议

28. 执行委员会不妨考虑：

- (a) 注意到根据第 73/70 号决定(h)段编制的关于执行委员会的运作的文件 (UNEP/OzL.Pro/ExCom/76/63) ；
- (b) 同意从 2017 年起继续召开两次执行委员会会议，最好是在 6 月第二周或第三周举行第一次会议，在 11 月底或 12 月第一周举行第二次会议，如果需要

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<sup>17</sup> 对于执行委员会成员，MLF/IACM.2016/1/11 号文件承索即发。该文件请各机构参阅 UNEP/OzL.Pro/ExCom/68/47 和 UNEP/OzL.Pro/ExCom/75/83 号文件，特别是以下要求：从业务规划，到项目编制阶段，在审查秘书处的来文以及必要时在执行委员会会议上审议项目提案的始终，同受益国进行协商；在规定时限到期前，将有关国家对提交秘书处的每一项目提案的赞同函，连同项目提案的其他组成部分一起，提交秘书处；以及，项目审查期间，同受益国进行适当协商，并核可对项目的任何修改。

<sup>18</sup> COWI 顾问公司，1995 年，《关于蒙特利尔议定书财务机制的研究》，环境规划署，1995 年 3 月。

审议项目提案或缔约方对蒙特利尔议定书的特殊请求，有可能举行一次额外的短会；

- (c) 指出：
- (一) 关于进展报告和财务报告：
- a. 将请各双边和执行机构在每年 4 月 15 日之前，或在早于 6 月的第二周举行的第一次会议之前八周向秘书处提交其以往一年的年度进展报告和财务报告；
  - b. 各双边和执行机构的综合进展报告和相关进展报告将在每年的第一次会议上审议；
- (二) 关于业务规划，对于以往一年的业务计划执行情况的评价将在每年的第一次会议上审议；
- (三) 关于以下的项目提案，将请各双边和执行机构在项目提案将要审议的执行委员会会议之前向秘书处提交完整的项目提案，以便让秘书处有时间进行审查，让各机构有时间同有关国家讨论秘书处的评论意见和对评论意见的答复：
- a. 氟氯烃生产淘汰管理计划、氟氯烃淘汰管理计划或行业淘汰计划，并同时提交一份第一次付款申请的协定草案和拟议的执行方案，在执行委员会会议之前 16 周提交；
  - b. 消费行业氟氯烃淘汰项目，申请供资金额超过 500 万美元，在执行委员会会议之前 14 周提交；
  - c. 所有其他全面的项目提案，在执行委员会会议之前 10 周提交；
- (d) 请秘书处根据本文件附件四中的分类方法，重新安排执行委员会会议的议程项目；
- (e) 在 2018 年执行委员会第一次会议上审查每年举行两次执行委员会会议的方法。

## Annex I

### DECISIONS ON THE OPERATION OF THE EXECUTIVE COMMITTEE

#### Decision 70/23

The Executive Committee decided:

- (a) To take note of the document on the operation of the Executive Committee (UNEP/OzL.Pro/ExCom/70/55), prepared pursuant to decision 69/24;
- (b) To convene two meetings of the Executive Committee in 2014 on a trial basis, preferably in mid-April/early-May for the first meeting, and prior to the Twenty Sixth Meeting of the Parties for the second meeting, on the understanding that:
  - (i) The revised schedule of tranche requests for stage I of HCFC phase-out management plans (HPMPs) for Article 5 countries would be submitted between the first and the last meetings, as contained in Annex XXIV to the present report;
  - (ii) The terminal report and the plan of future action associated with the renewal of institutional strengthening projects could be submitted to the meeting immediately preceding the set date, namely, six months before the end of the previously approved period, to avoid any delay in the approval of such projects and on the understanding that they were in compliance with all relevant decisions;
  - (iii) Tranche requests for HPMPs with a funding level of up to US \$5 million (including agency support costs) would be included in the list of projects and activities recommended for blanket approval, provided that they contained no policy issues and all technical and cost issues had been agreed between the Secretariat and relevant bilateral and/or implementing agencies;
  - (iv) The 2014-2016 business plan of the Multilateral Fund would be submitted to the last meeting of the year, beginning in 2013;
  - (v) The document on the 2014 business plan and tranche submission delays would be submitted to both the first and last meetings of the year, thus amending decision 53/3(c);
  - (vi) A revised 2015-2017 business plan could be submitted to the first meeting of 2015 following the adoption of the 2015-2017 replenishment of the Multilateral Fund by the Parties to the Montreal Protocol;
  - (vii) The evaluation of the 2013 business plans would be submitted to the last meeting in 2014;
  - (viii) With regard to progress and financial reports:
    - a. Bilateral and implementing agencies would be requested to continue submitting their annual progress and financial reports to the Secretariat by 1 May each year;



- b. The Secretariat would be requested to finalize the consolidated progress report and the relevant progress reports of the bilateral and implementing agencies and to post those documents on the Secretariat's intranet, once finalized, for consideration to the last meeting of the year;
  - c. The Secretariat would be authorized to request relevant bilateral and implementing agencies to provide status reports on issues identified during the review of the annual progress and financial reports;
- (c) To note that the Executive Committee could request the Secretariat to organize an intersessional meeting to discuss any urgent policy issues or project proposals that would need to be addressed between the first and last meetings where the compliance of an Article 5 country with its obligations under the Montreal Protocol was at risk; and
- (d) To review the two meetings per year scenario at the last meeting of 2014.

### **Decision 73/70**

The Executive Committee decided:

- (a) To note the review of the operation of the Executive Committee prepared pursuant to decision 70/23(d) contained in document UNEP/OzL.Pro/ExCom/73/59;
- (b) To agree to continue convening two meetings of the Executive Committee from 2015 onwards with the possibility of holding an additional brief meeting if required between those meetings to consider project proposals;
- (c) To note:
  - (i) That the three-year business plan of the Multilateral Fund would be submitted to the last meeting of the year;
  - (ii) That a document entitled "Country programme data and prospects for compliance" would be submitted to the first and last meetings of the year;
  - (iii) With regard to progress and financial reports:
    - a. That bilateral and implementing agencies would be requested to submit their annual progress and financial reports to the Secretariat 12 weeks in advance of the last meeting of the year;
    - b. That the consolidated progress report and the relevant progress reports of the bilateral and implementing agencies would be considered at the last meeting of the year;
- (d) To note that, in the absence of an agreement by the Executive Committee on the composition of the Sub-group on the Production Sector, the documents for the first meeting of the Sub-group in a given year would be conveyed only to the heads of Executive Committee delegations, with the consent of the country or countries concerned;

- (e) To invite bilateral and implementing agencies to submit projects proposals and reports in advance of the prescribed deadlines wherever possible, in order to facilitate their timely review by the Secretariat;
- (f) To request the Secretariat to continue reviewing the standard agenda items of the Executive Committee meetings with a view to streamlining and improving the efficiency of the operation of the Executive Committee;
- (g) To request the Secretariat to prepare a document on the main procedures of the operation of the Executive Committee, including the roles of the Secretariat and the implementing agencies regarding their provision of advice to the Executive Committee and, where applicable, to beneficiary countries, in order to provide a basis for discussion of the roles and responsibilities of the Executive Committee, the Secretariat and implementing agencies of the Multilateral Fund, for presentation to the Executive Committee at its last meeting in 2015, with a view to improving understanding and initiating changes where necessary; and
- (h) To review the scenario of two Executive Committee meetings per year at the first meeting of the Committee in 2016.



## Annex II

### SUMMARY OF THE EXPERIENCE OF THE TWO MEETINGS PER YEAR REGIME

1. The most significant issues relating to the summary of the experience of the two meetings per year scenario are presented below.

#### Annual schedule and venue of Executive Committee meetings

2. The first and last meetings of 2014 and 2015 were held in accordance with decisions 71/52, 73/75 and 74/50 as indicated in Table 1. All meetings took place in Montreal with the exception of the 73<sup>rd</sup> meeting, which took place in Paris. Table 1 also includes the dates of Montreal Protocol meetings and IACMs to illustrate the distribution of Montreal Protocol and Multilateral Fund meetings in 2014 and 2015.

**Table 1: Schedule of Executive Committee and related meetings in 2014 and 2015**

Meeting	Location	Dates
<b>2014</b>		
IACM	Montreal	11-13 February 2014
72 <sup>nd</sup> Executive Committee	Montreal	12-16 May 2014
34 <sup>th</sup> OEWG	Paris	14 - 18 July 2014
IACM	Montreal	2-3 September 2014
73 <sup>rd</sup> Executive Committee	Paris	9-13 November 2014
26 <sup>th</sup> Meeting of the Parties to the Montreal Protocol (MOP)	Paris	17 – 21 November 2014
<b>2015</b>		
35 <sup>th</sup> OEWG	Bangkok	22 - 24 April 2015
IACM	Montreal	26-27 February 2015
74 <sup>th</sup> Executive Committee	Montreal	18-22 May 2015
36 <sup>th</sup> OEWG	Paris	20 - 24 July 2015
IACM	Montreal	31 August - 2 September 2015
36 <sup>th</sup> OEWG-resumed/27 <sup>th</sup> MOP	Dubai	29 October -5 November 2015
75 <sup>th</sup> Executive Committee	Montreal	16 -20 November 2015

3. Several Secretariat staff attended the Montreal Protocol meetings, which, despite some challenges due to the dates being close to Executive Committee meetings, provided an opportunity to finalize negotiations with the bilateral and implementing agencies on a number of projects.

#### Conduct of the 2015 meetings

4. The Secretariat prepared 56 and 85 meeting documents and a number of production sector documents, for the 74<sup>th</sup> and 75<sup>th</sup> meetings, respectively. The agenda of each meeting was completed successfully within the five day time frame and the draft reports of both meetings were adopted in plenary.

5. The Sub-group on the Production Sector and several other contact or informal groups met in the margins of the 74<sup>th</sup> and 75<sup>th</sup> meetings. Several separate side meetings were scheduled either prior to the morning plenary sessions, over lunch breaks, following afternoon plenary sessions, or when the morning or afternoon plenary session was cancelled.

*Adjustments to the annual cycle and re-arrangement of the agenda items*

6. The re-arrangement of the agenda items for the 74<sup>th</sup> and 75<sup>th</sup> meetings was implemented in accordance with decisions 70/23 and 73/70 including consideration of the agenda items below as follows:

- (a) The three year business plan of the Multilateral Fund at the last meeting of the year;
- (b) Implementation of the current year's business plan and tranche submission delays at both the first and last meetings of the year;
- (c) The evaluation of the previous year's business plans at the last meeting of the year;
- (d) Bilateral and implementing agencies' annual progress reports at the last meeting of the year; and
- (e) Country programme data and prospects for compliance at each meeting.

*Optional inter-sessional meeting*

7. No intersessional meetings were required in 2014 or 2015.

*Documents for the Sub-group on the production sector*

8. In accordance with decision 73/70(d), as there was no agreement on the composition of the Subgroup on the Production Sector for 2015 prior to the 74<sup>th</sup> meeting, three production sector documents classified as "Restricted" were conveyed by email to the heads of Executive Committee delegations prior to the 74<sup>th</sup> meeting, after the consent of the country concerned was obtained through an exchange of correspondence with the Chief Officer. Production sector documents with the "Limited" classification were posted on the password protected area of the website accessible by Executive Committee members.

Arrangement for business planning (decision 73/70(c)(i))

9. The arrangement for consideration of the evaluation of the current year's business plan and tranche submission delays at the first and last meetings and consideration of the three year business plan at the last meeting continued to work satisfactorily. Although the 2015-2017 business plans of the bilateral and implementing agencies were considered at the 73<sup>rd</sup> meeting in advance of the 2015-2017 replenishment of the Multilateral Fund (26<sup>th</sup> MOP), the decision adopted by the 26<sup>th</sup> MOP on the replenishment was addressed in the document "Update on the implementation of the 2015-2017 business plans and financial planning for the triennium 2015-2017"<sup>19</sup> presented to the 74<sup>th</sup> meeting. The Secretariat concluded that handling items on business planning at the last meeting of the year in a replenishment year was workable.

Revised arrangements with respect to project proposals

*Scheduling of tranches of HCFC phase out management plans (decision 70/23(b)(i))*

10. Bilateral and implementing agencies did not report any issues as a result of the revised schedule<sup>20</sup>

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<sup>19</sup> UNEP/OzL.Pro/ExCom/74/5 , Corr.1 and Add.1

<sup>20</sup> Annex XXIV of the Report of the 70<sup>th</sup> meeting of the Executive Committee (UNEP/OzL.Pro/ExCom/70/59) contains the revised schedule for the submission of tranche requests for stage I of HPMPs.

for the submission of tranche requests for stage I of HCFC phase out management plans (HPMPs) to the first and last meetings of the year.

*Tranches of HPMPs approved without verification of the achievement of ODS reduction targets (decision 72/19)*

11. In 2015 tranches of stage I of HPMPs for 30 countries and the Pacific Island Countries (PICs)<sup>21</sup> were approved at the 74<sup>th</sup> meeting and tranches for 31 countries were approved at the 75<sup>th</sup> meeting. Of the stage I tranches for countries submitted to the 74<sup>th</sup> meeting, ten were submitted in accordance with decision 72/19<sup>22</sup>, which allowed their submission without a report on the verification of HCFC consumption for the preceding year<sup>23</sup>. The ten tranches were subsequently approved with the release of funds from the Treasurer conditional on receipt and review of the relevant verification report.

*Blanket approval for tranche requests for HPMPs with a funding level of up to US \$5 million (decision 70/23(b)(iii))*

12. Tranche requests for HPMPs with a funding level of up to US \$5 million (including agency support costs) that had no policy issues and for which all technical and cost issues had been agreed between the Secretariat and relevant bilateral and/or implementing agencies, were included in the list of projects and activities recommended for blanket approval. All such projects were subsequently approved by the Executive Committee.

*Arrangements for institutional strengthening (IS) projects*

13. A number of IS renewal requests were submitted between six and 11 months in advance of their renewal dates in accordance with decision 70/23(b)(ii)<sup>24</sup>. The Secretariat noted that in the case of IS projects being submitted 10 or 11 months in advance of their renewal date, it might have been possible for the project to have been submitted for consideration at the subsequent Executive Committee meeting without risking any delay to the project.

#### Submission deadlines

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<sup>21</sup> The HPMP for the PICs addresses HCFC consumption in Cook Islands, Kiribati, the Marshall Islands, the Federated States of Micronesia, Nauru, Niue, Palau, Samoa, Solomon Islands, Tonga, Tuvalu and Vanuatu.

<sup>22</sup> At the 72<sup>nd</sup> meeting the Executive Committee encouraged lead bilateral and implementing agencies submitting HPMP tranche requests to the first meeting of the year to include a verification report of national consumption targets for the year immediately preceding the year in which the tranche was submitted. If the verification reports were not ready in time for the first meeting of the year, the transfer of any approved funds for tranches to the bilateral and implementing agencies would occur only after receipt by the Secretariat of the verification report confirming that, in the year immediately preceding the tranche request, the country had been in compliance with the Montreal Protocol and the Agreement between its Government and the Executive Committee (decision 72/19).

<sup>23</sup> One of the pre-conditions for approval of funding future tranches of HPMPs under the Agreements between Article 5 countries and the Executive Committee is the submission of an independent verification report stating that the consumption targets have been met. This pre-condition is applicable to all non-low-volume-consuming (LVC) countries and to a selection of 20 per cent of approved HPMPs in LVC countries each year in line with decision 61/46(c).

<sup>24</sup> The Executive Committee convened two meetings of the Executive Committee in 2014 on a trial basis on the understanding that, *inter alia*, the terminal report and the plan of future action associated with the renewal of institutional strengthening projects could be submitted to the meeting immediately preceding the set date, namely, six months before the end of the previously approved period, to avoid any delay in the approval of such projects and on the understanding that they were in compliance with all relevant decisions.

14. Bilateral and implementing agencies made considerable efforts to submit activities by the prescribed deadlines to facilitate the review process by the Secretariat. The majority of submissions for stage I and II of HPMPs, projects over US \$5 million and tranches of HPMPs were received by the 14 week, 12 week, and 8 week deadlines, respectively. UNEP's IS requests and a number of tranches of HPMPs were submitted in advance of the 8 week deadline.

#### Workload of the Executive Committee<sup>25</sup>

15. In terms of the number of funding requests and the total amount of funds approved, the workload in 2015 was significantly higher than that of 2014<sup>26</sup>. Furthermore, a number of important policy documents were considered in 2015<sup>27</sup>. The workload in terms of the number of standard documents<sup>28</sup> considered by the Executive Committee was reduced compared to years prior to 2014 because standard documents were prepared only twice instead of three times per year in 2014 and 2015.

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<sup>25</sup> The Secretariat reviewed comprehensive data since the 63<sup>rd</sup> meeting on the number of agenda items, documents, funding requests, and side meetings, by meeting and year, and the amount of total funding approved per meeting

<sup>26</sup> In 2015 the Executive Committee approved 376 investment projects and work programme activities in 141 countries at a total value of US\$ 185.5 million including support costs compared to 229 activities in 91 countries in 2014 at a total value of US \$109.6 million. Funding requests for 2015 included stage I of HPMP for two countries and stage II for seven countries, tranches of MYAs for 68 countries, project preparation for demonstration projects, feasibility studies on district cooling, two projects to demonstrate low-GWP technologies, and surveys for ODS alternatives in 126 countries.

<sup>27</sup> Policy documents considered in 2015 included, *inter alia*, the review of IS projects, the draft criteria for funding HCFC phase-out in the consumption sector for stage II of HPMPs, the analysis of the remaining eligible HCFC consumption in various sectors and subsectors of potential demonstration relevance, the template for the agreements of stage II of the HPMP, the Multilateral Fund Climate Impact Indicator, the calculation of funding to conduct inventories or surveys on ODS alternatives, and the format for such surveys.

<sup>28</sup> Standard documents include, the Provisional agenda, Annotated provisional agenda, Secretariat activities, Status of contributions and disbursements, Report on balances and availability of resources, Tranche submission delays, Country programme data and prospects for compliance, and the Overview of issues identified during project review.

## Annex III

### **RULES OF PROCEDURE FOR MEETINGS OF THE EXECUTIVE COMMITTEE OF THE MULTILATERAL FUND FOR THE IMPLEMENTATION OF THE MONTREAL PROTOCOL**

#### **APPLICABILITY**

Unless otherwise provided for by the Montreal Protocol or by the decision of the Parties, or excluded by the Rules of Procedure hereunder, the Rules of Procedures for meetings of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer shall apply *mutatis mutandis* to the proceedings of any meeting of the Executive Committee.

#### **Rule 1**

These Rules of procedure shall apply to any meeting of the Executive Committee for the Interim Multilateral Fund under the Protocol on Substances that Deplete the Ozone Layer convened in accordance with Article 11 of the Protocol.

#### **DEFINITIONS**

#### **Rule 2**

For the purposes of these rules:

1. "Executive Committee" means the Executive Committee for the Interim Multilateral Fund as established by decision II/8 at the Second Meeting of the Parties to the Montreal Protocol.
2. "Committee members" means Parties selected as members of the Executive Committee for the Interim Multilateral Fund.
3. "Meeting" means any meeting of the Executive Committee for the Interim Multilateral Fund.
4. "Chairman" means the Committee member selected Chairman of the Executive Committee.
5. "Secretariat" means the Multilateral Fund Secretariat.
6. "Fund" means the Interim Multilateral Fund.

#### **PLACE OF MEETINGS**

#### **Rule 3**

The meetings of the Executive Committee shall take place at the seat of the Fund Secretariat, unless other appropriate arrangements are made by the Fund Secretariat in consultation with the Executive Committee.

#### **DATES OF MEETINGS**

#### **Rule 4**

1. Meetings of the Executive Committee shall be held at least twice every year.
2. At each meeting, the Executive Committee shall fix the opening date and duration of the next meeting.

*“The Executive Committee shall have the flexibility to hold two or three meetings annually, if it so decides, and shall report at each Meeting of the Parties on any decision taken there. The Executive Committee should consider meeting, when appropriate, in conjunction with other Montreal Protocol meetings.” (Paragraph 8 of the “Terms of reference of the Executive Committee” as modified by the Meeting of the Parties in its decision XIX/11).*



**Rule 5**

The Secretariat shall notify all Committee members of the dates and venue of meetings at least six weeks before the meeting.

**OBSERVERS**

**Rule 6**

1. The Secretariat shall notify the President of the Bureau and the implementing agencies *inter alia* UNEP, UNDP, UNIDO and the World Bank of any meeting of the Executive Committee so that they may participate as observers.

2. Such observers may, upon invitation of the Chairman, participate without the right to vote in the proceedings of any meeting.

**Rule 7**

1. The Secretariat shall notify any body or agency, whether national or international, governmental or nongovernmental, qualified in the field related to the work of the Executive Committee, that has informed the Secretariat of its wishes to be represented, of any meeting so that it may be represented by an observer subject to the condition that their admission to the meeting is not objected to by at least one third of the Parties present at the meeting. However, the Executive Committee may determine that any portion of its meetings involving sensitive matters may be closed to observers. Nongovernmental observers should include observers from developing and developed countries and their total number should be limited as far as possible.

2. Such observers may, upon invitation of the Chairman and if there is no objection from the Committee members present, participate without the right to vote in the proceedings of any meeting in matters of direct concern to the body or agency which they represent.

**AGENDA**

**Rule 8**

In agreement with the Chairman and the Vice Chairman, the Secretariat shall prepare the provisional agenda for each meeting.

**Rule 9**

The Secretariat shall report to the meeting on the administrative and financial implications of all substantive agenda items submitted to the meeting, before they are considered by it. Unless the meeting decides otherwise, no such item shall be considered until at least twenty-four hours after the meeting has received the Secretariat's report on the administrative and financial implications.

**Rule 10**

Any item of the agenda of any meeting, consideration of which has not been completed at the meeting, shall be included automatically in the agenda of the next meeting, unless otherwise decided by the Executive Committee.

**REPRESENTATION AND CREDENTIALS**

**Rule 11**

The Executive Committee shall consist of seven Parties from the group of Parties operating under paragraph 1 of Article 5 of the Protocol and seven Parties from the group of Parties not so operating. Each group shall select its Executive Committee members. The members of the Executive Committee shall be formally endorsed by the Meeting of the Parties.

**Rule 12**

Each Committee member shall be represented by an accredited representative who may be accompanied by such alternate representatives and advisers as may be required.

**OFFICERS**

**Rule 13**

If the Chairman is temporarily unable to fulfil the obligation of the office, the Vice Chairman shall in the interim assume all the obligations and authorities of the Chairman.

**Rule 14**

If the Chairman or Vice Chairman is unable to complete the term of office the Committee members representing the group which selected that officer shall select a replacement to complete the term of office.

**Rule 15**

1. The Secretariat shall:

- (a) Make the necessary arrangements for the meetings of the Executive Committee, including the issue of invitations and preparation of documents and reports of the meeting;
- (b) Arrange for the custody and preservation of the documents of the meeting in the archives of the international organization designated as secretariat of the Convention; and
- (c) Generally perform all other functions that the Executive Committee may require.

**Rule 16**

The Chief Officer of the Secretariat shall be the Secretary of any meeting of the Executive Committee.

**VOTING**

**Rule 17**

Decisions of the Executive Committee shall be taken by consensus whenever possible. If all efforts at consensus have been exhausted and no agreement reached, decisions shall be taken by a two thirds majority of the Parties present and voting, representing a majority of the Parties operating under paragraph 1 of Article 5 and a majority of the Parties not so operating present and voting.

**LANGUAGES**

**Rule 18**

The meeting of the Executive Committee shall be conducted in those official languages of the United Nations required by members of the Executive Committee. Nevertheless the Executive Committee may agree to conduct its business in one of the United Nations official languages.

**AMENDMENTS TO RULES OF PROCEDURE**

**Rule 19**

These rules of procedure may be amended according to Rule 17 above and formally endorsed by the Meeting of the Parties to the Montreal Protocol.

**OVERRIDING AUTHORITY OF THE PROTOCOL**

**Rule 20**

In the event of any conflict between any provision of these rules and any provision of the Protocol, the Protocol shall prevail.



**Annex IV**

**PROPOSED CLASSIFICATION OF AGENDA ITEMS**

<b>Agenda #</b>	<b>Agenda item</b>	<b>Sub-item description</b>
1	Opening of the meeting	Introduction by Chair
2	Organizational matters	Provisional agenda Annotated provisional agenda
3	Secretariat activities	
4	Financial matters	Status of contributions and disbursements Report on balances and availability of resources Final accounts of the Multilateral Fund Reconciliation of the account Approved 201#, 201# and 201# budgets and proposed 20XX budget of the Fund Secretariat
5	Country programme data and prospects for compliance	
6	Business planning	Status of current business plan (update on the implementation of...) Financial planning Consolidated business plan Business plans of the bilateral and implementing agencies Tranche submission delays
7	Evaluation	Consolidated project completion report Multi-year agreement database Desk studies and evaluation reports Draft evaluation programme
8	Programme implementation	Consolidated progress report Progress reports of bilateral and implementing agencies Evaluation of the performance of implementing agencies Status reports and reports on projects with specific reporting requirements
9	Project proposals	Overview of issues identified during project review Bilateral cooperation Agency work programme (non-investment activities) Compliance assistance programme budget Agency core unit costs Investment projects
10	Policy papers	
11	Reports to the MOP	Report of the Executive Committee to the MOP Reports prepared as per MOP decisions
12	Sub-group on the Production sector	Report of sub-group (production)



**Annex V**  
**ILLUSTRATIVE AGENDA FOR 2017 ONWARDS**  
**FIRST MEETING**

1. Opening of the meeting.
2. Organizational matters:
  - (a) Adoption of the agenda;
  - (b) Organization of work.
3. Secretariat activities.
4. Financial matters:
  - (a) Status of contributions and disbursements;
  - (b) Report on balances and availability of resources;
5. Country programme data and prospects for compliance.
6. Business planning:
  - (a) Update on the implementation of the current year business plan<sup>1</sup>;
  - (b) Tranche submission delays.
7. Evaluation:
  - (a) Consolidated project completion report;
  - (b) Multi-year agreement database;
  - (c) Desk studies and evaluation reports;
8. Programme implementation:
  - (a) Progress reports as at 31 December of the previous year (includes status reports):
    - (i) Consolidated progress report;
    - (ii) Bilateral agencies;
    - (iii) UNDP;
    - (iv) UNEP;
    - (v) UNIDO;

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<sup>1</sup> The document presented to the first meeting of a triennium may include a section on financial planning.

- (vi) World Bank;
  - (b) Evaluation of the performance of implementing agencies;
  - (c) Reports on projects with specific reporting requirements.
9. Project proposals:
- (a) Overview of issues identified during project review;
  - (b) Bilateral cooperation;
  - (c) Work programmes:
    - (i) UNDP;
    - (ii) UNEP;
    - (iii) UNIDO;
    - (iv) World Bank.
  - (d) Investment projects.
10. Policy issues.
11. Draft Report of the Executive Committee to the Meeting of the Parties to the Montreal Protocol.<sup>1</sup>
12. Report of the Sub-group on the Production Sector.
13. Other matters.
14. Adoption of the report.
15. Closure of the meeting.

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<sup>1</sup> This agenda item will be included if that year's Meeting of the Parties is scheduled to take place before the last Executive Committee meeting of the year.

## SECOND MEETING

1. Opening of the meeting.
2. Organizational matters:
  - (a) Adoption of the agenda;
  - (b) Organization of work.
3. Secretariat activities.
4. Financial matters:
  - (a) Status of contributions and disbursements;
  - (b) Report on balances and availability of resources;
  - (c) Accounts of the Multilateral Fund:
    - (i) Final 201# accounts;
    - (ii) Reconciliation of the accounts.
  - (d) Approved 20XX, 20XX and 20XX budgets and proposed 20XX budget of the Fund Secretariat.
5. Country programme data and prospects for compliance.
6. Business planning:
  - (a) Update on the implementation of the current year business plan;
  - (b) Consolidated business plan of the Multilateral Fund;
  - (c) Business plans of the implementing agencies:
    - (i) Bilateral agencies;
    - (ii) UNDP;
    - (iii) UNEP;
    - (iv) UNIDO;
    - (v) World Bank.
  - (d) Tranche submission delays.
7. Evaluation:
  - (a) Consolidated project completion report;



- (b) Multi-year agreement database;
  - (c) Desk studies and evaluation reports;
  - (d) Draft monitoring and evaluation work programme for the year 201#.
8. Programme implementation:
- (a) Status reports and reports on projects with specific reporting requirements.
9. Project proposals:
- (a) Overview of issues identified during project review;
  - (b) Bilateral cooperation;
  - (c) Amendments to work programmes:
    - (i) UNDP;
    - (ii) UNEP;
    - (iii) UNIDO;
    - (iv) World Bank;
  - (d) UNEP's Compliance Assistance Programme (CAP) budget for 20XX;
  - (e) 20XX core unit costs for UNDP, UNIDO and the World Bank;
  - (f) Investment projects (e.g., tranches of stage I HPMPs; stage II HPMPs).
10. Policy issues.
11. Draft Report of the Executive Committee to the Meeting of the Parties.<sup>31</sup>
12. Report of the Sub-group on the Production Sector.
13. Other matters.
14. Adoption of the report.
15. Closure of the meeting.

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<sup>31</sup> This agenda item will be included if that year's Meeting of the Parties is scheduled to take place following the last Executive Committee meeting of the year.