



联合国
环境规划署

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执行蒙特利尔议定书
多边基金执行委员会
第七十七次会议
2016年11月28日至12月2日，蒙特利尔

环境规划署 2017—2019 年业务计划

1. 本文件提出了环境规划署 2017—2019 年业务计划，¹包括以下内容：为 2017—2019 年期间规划的淘汰消耗臭氧层物质活动；业务计划绩效指标；供执行委员会审议的建议。本文件附有环境规划署 2017—2019 年业务计划的说明。

秘书处的评论

2. 表 1 按年份开列了环境规划署业务计划所列各项活动的价值。

表 1: 环境规划署 2017—2019 年业务计划中提交的资源分配办法(千美元)*

项目	2017 年	2018 年	2019 年	共计 (2017-2019 年)	2020 年	2020 年后 共计
履约活动所需资源						
核定氟氯烃淘汰管理计划	2,848	2,700	260	5,808	2,753	759
氟氯烃淘汰管理计划第一阶段	86	118	0	203	58	0
氟氯烃淘汰管理计划项目编制 – 第二阶段	136	2,316	0	2,452	0	0
氟氯烃淘汰管理计划第二阶段	5,013	7,183	5,622	17,818	13,498	164,797
氟氯烃淘汰管理计划项目编制 – 第三阶段	0	0	0	0	102	0
氟氯烃淘汰管理计划第三阶段	0	0	0	0	136	294
标准活动						
体制建设	7,053	4,524	7,053	18,631	4,524	0
履约协助方案	10,931	11,259	11,596	33,786	11,944	0

¹ 2016 年 8 月 31 日至 9 月 1 日在蒙特利尔举行的机构间协调会议讨论了环境规划署 2017—2019 年业务计划草案。本文件所载业务计划处理了该次会议上提出的问题。

项目	2017年	2018年	2019年	共计 (2017-2019年)	2020年	2020年后 共计
总计	26,067	28,099	24,531	78,697	33,016	165,850

* 包括适用的机构支助费用。

秘书处关于所需履约活动的评论

氟氯烃淘汰管理计划第一阶段

3. 在环境规划署的业务计划中，有两个国家(毛里塔尼亚和南苏丹)的氟氯烃淘汰管理计划第一阶段尚未得到核准。业务计划为这两个国家分配了 261 850 美元，包括用于 2017 至 2019 年期间的 203 355 美元。南苏丹的氟氯烃淘汰管理计划已提交第 77 次会议。²

低消费量国家的氟氯烃淘汰管理计划第二阶段

4. 低消费量国家氟氯烃淘汰管理计划第二阶段供资总额为：238 683 美元（包括为 2017 至 2019 年期间提供 178 240 美元）用于把基线氟氯烃消费量减少 35%，1 413 万美元用于把消费量减少 67.5%（包括为 2017 至 2019 年期间提供 121 305 美元）。

非低消费量国家的氟氯烃淘汰管理计划第二阶段

5. 非低消费量国家氟氯烃淘汰管理计划第二阶段供资总额为 1.8175 亿美元，包括为 2017 至 2019 年期间提供 1 752 万美元。

氟氯烃淘汰管理计划第三阶段的项目编制

6. 氟氯烃淘汰管理计划第三阶段的项目编制供资总额（智利、刚果民主共和国和秘鲁）为 101 700 美元，用于 2019 年以后的期间。

低消费量国家的氟氯烃淘汰管理计划第三阶段

7. 两个低消费量国家（亚美尼亚和摩尔多瓦共和国）的氟氯烃淘汰管理计划第三阶段的供资总额为 429 670 美元，用于 2019 年以后的期间。

秘书处的评论和标准活动

体制建设

8. 列入了用于体制建设活动的 2 315 万美元，其中 1 863 万美元分配给 2019 至 2019 年期间，³ 452 万美元分配给 2020 年。

履约协助方案

9. 履约协助方案的费用预计将按照迄今商定的每年 3% 的速度增加。环境规划署为其 2019 至 2019 年期间履约协助方案提交了一项三年期滚动战略，供第 77 次会议结合其 2017 年履约协助方案预算申请⁴予以审议。

² UNEP/OzL.Pro/ExCom/77/63。

³ 按照第 74/51(c)号决定，核准所有体制建设项目和项目延长，供资数额比过去商定的数额高 28%，每年最低体制建设供资数额为 42 500 美元。

对环境规划署 2017—2019 年业务计划的调整

10. 在机构间协调会议期间，根据执行委员会的有关决定商定了对双边机构和执行机构业务计划的调整。秘书处检查经修订的环境规划署 2017—2019 年业务计划时注意到，其中没有列入以下调整：

表 2：对环境规划署 2017—2019 年业务计划的调整

调整	2017-2019 年 (千美元)	2020 年及 2020 年以后 (千美元)
应该支付但尚未提交第 77 次会议的氟氯烃淘汰管理计划付款的数额（安提瓜和巴布达、莫桑比克、秘鲁和菲律宾）	72	0
与最初提交第 77 次会议的拟议供资数额相应的新的氟氯烃淘汰管理计划活动（第一和第二阶段）	1,306	-149,556
按照第 71/42 号决定为氟氯烃淘汰管理计划第二阶段编制项目	-21	0
低消费量国家氟氯烃淘汰管理计划第二阶段价值增至最大程度，以根据第 74/50(c)(十二)号决定把氟氯烃基线消费量削减 35% 或 67.5%。	0	-61
有制冷设备维修部门的非低消费量国家氟氯烃淘汰管理计划第二阶段经费，按 4.80 美元/公斤的最高成本效益计算	0	-102

11. 表 3 开列了秘书处提议对环境规划署 2017—2019 年业务计划所作调整的结果，还结合蒙特利尔基金 2017—2019 年综合业务计划⁵提出了这些调整。

表 3：经调整的环境规划署 2017—2019 年业务计划的资源分配办法（千美元）*

项目	2017 年	2018 年	2019 年	共计 (2017-2019 年)	2020 年	共计 2020 年后
履约活动所需资源						
核定氟氯烃淘汰管理计划	2,920	2,700	260	5,880	2,753	759
氟氯烃淘汰管理计划第一阶段	86	146		232	70	
氟氯烃淘汰管理计划项目编制 - 第二阶段	116	2,315		2,431		
氟氯烃淘汰管理计划第二阶段	5,402	7,647	6,047	19,096	13,852	14,713
氟氯烃淘汰管理计划项目编制 - 第三阶段				0	102	
氟氯烃淘汰管理计划第三阶段				0	136	294
标准活动						
体制建设	7,053	4,524	7,053	18,631	4,524	
履约协助方案	10,931	11,259	11,596	33,786	11,944	
总计	26,508	28,590	24,956	80,055	33,381	15,766

* 包括适用的机构支助费用。

⁴ UNEP/OzL.Pro/ExCom/77/32。

⁵ UNEP/OzL.Pro/ExCom/77/20。

绩效指标

12. 环境规划署按照第 71/28 号决定在其业务计划的说明部分提交了绩效指标。环境规划署和秘书处经过几次讨论，商定了表 4 所列各项指标。

表 4：环境规划署绩效指标

指标类型	简称	计算办法	2017 年指标
规划—核准	核准的付款	规划的付款次数中获得核准的次数*	42
规划—核准	核准的项目/活动	规划的项目/活动数中获得核准的数目（包括项目编制活动）**	63
执行	支付的资金	以进度报告中的估计付款数为依据	13,121,810 美元
执行	淘汰的 ODS	在业务计划所规划的淘汰量中，下一次付款得到核准时本次付款的 ODS 淘汰量	193.77 ODP 吨
执行	完成的项目活动	在进度报告规划完成的所有活动中，完成的项目数（不包括项目编制活动）	82
行政	财务工作完成速度	在项目活动完成后 12 个月内完成财务工作的项目数	14
行政	按时提交项目完成报告	按照商定按时提交项目完成报告	按时
行政	按时提交进度报告	按时提交进度报告和业务计划及答复，除非另有商定	按时

* 一个机构如果由于另一个合作机构或牵头机构的原因无法提交某次付款的申请，可以经该机构同意降低其指标。

** 如果执行委员会没有就项目编制活动的供资做出决定，就不应对其进行评估。

13. 表 5 开列了第 48/7(e)号决定通过的环境规划署履约协助方案的绩效指标。

表 5：环境规划署履约协助方案绩效指标

绩效指标	数据	评估办法	环境规划署2017年指标
对区域网络/专题会议采取高效率的后续行动	2014-2015年区域网络/专题会议提出的建议清单	这些会议对应该于2016年落实的建议的执行率	执行率达90 %
有效支持国家臭氧机构的工作，特别是对新的国家臭氧机构提供指导	为支持国家臭氧机构的工作所采用的创新方法/手段/产品/服务的清单，特别说明哪些是用于新的国家臭氧机构	为支持国家臭氧机构的工作所采用的创新方法、手段、产品和服务的数目，特别说明用于新的国家臭氧机构的数目	-7 个这样的方法、手段、产品和服务； -所有新的国家臭氧机构都得到能力建设支助
协助实际违约或有可能违约的国家（根据缔约方会议的决定和/或上报的第7条数据和趋势分析）	在网络会议以外得到履约协助方案帮助的实际违约或有可能违约的国家名单	在网络会议以外得到履约协助方案帮助的实际违约或有可能违约的国家数目	所有这样的国家
制作和提供全球和区域宣传产品和服务方面的创新	面向新受众或以新方式向现有受众提供的全球和区域宣传产品和服务的清单	面向新受众或以新方式向现有受众提供的全球和区域宣传产品和服务的数目	7 个这样的产品和服务
履约协助方案区域小组与在所涉区域工作的执行机构和双边机构之间开展密切合作	履约协助方案工作人员与执行机构和双边机构联合执行的任务/开展的活动清单	联合任务/活动的数目	每个区域3 个

建议

14. 谨提议执行委员会：

- (a) 注意到 UNEP/OzL.Pro/ExCom/77/23 号文件所载环境规划署 2017—2019 年业务计划；
- (b) 核准 UNEP/OzL.Pro/ExCom/77/23 号文件表 4 和表 5 所载环境规划署绩效指标。

UNEP 2017-2019 BUSINESS PLAN

PRESENTED TO THE
77TH MEETING OF THE EXECUTIVE COMMITTEE
OF THE MULTILATERAL FUND FOR THE IMPLEMENTATION
OF THE MONTREAL PROTOCOL

OCTOBER 2016



UNITED NATIONS ENVIRONMENT PROGRAMME

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EXECUTIVE SUMMARY

The United Nations Environment Programme (UNEP) is submitting this document for the consideration to the 77th meeting of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol. The document presents UNEP's three-year rolling Business Plan for its Montreal Protocol-related activities covering the years 2017-2019. It comprises:

- Narrative.
- Annex I: Projects planned for submission.

The focus and orientation of UNEP's work under this Business Plan continues to be defined by the evolving needs of countries operating under Article 5 of the Protocol ("Article 5 countries") as they progress in their implementation of the Montreal Protocol, and as they meet and sustain compliance with specific obligations. Through the activities identified in this Business Plan, UNEP will assist the countries with implementing their HCFC phase-out responsibilities including preparing for the 2020 target and subsequent reduction steps, strengthening the government institutions in Article 5 countries responsible for implementing and reporting on their national strategies to comply with the Montreal Protocol, and sustaining Article 5 countries' compliance with ozone depleting substance (ODS) phase out targets already met.

UNEP will achieve its Business Plan objectives by a combination of compliance assistance services delivered through the 2017 Compliance Assistance Programme (CAP),¹ as well as the ongoing and planned national, regional and global projects detailed in this document. The project services include preparation and implementation of HCFC Phase out Management Plans (HPMPs) for both Stages I and II, Institutional Strengthening projects, and technical assistance. In addition to the anticipated Business Plan activities, UNEP will implement HPMP verification projects as and when requested by the Executive Committee during the course of 2017-2019.

UNEP will deliver the projects in this 2017-2019 Business Plan and perform the project development, monitoring and reporting duties required of all Implementing Agencies through the proposed 2017 CAP Work Programme and Budget. In addition to the projects detailed in this Business Plan, UNEP continues to assist several bilateral agencies with the implementation of their Multilateral Fund projects through CAP and also engages in select partnerships for Montreal Protocol objectives complementary to the Multilateral Fund (including projects and activities).²

UNEP is planning project submissions over the next three years as follows: US\$ 26,066,689 for 2017, US\$ 28,099,335 for 2018, and US\$ 24,531,310 for 2019, all inclusive of the respective annual CAP budgets and programme support costs (PSC).

¹ In addition to the projects indicated in this Business Plan, during 2017 UNEP will also provide through its CAP 1,062 country-specific special compliance services, the operation of 10 Regional/sub-Regional Networks of Ozone Officers, facilitation of South-South cooperation, assistance with regional awareness activities, and provision of a global Information Clearinghouse that provides National Ozone Units with services that include information, communication, education, electronic knowledge management and capacity building.

² This Business Plan provides details about the individual *projects* proposed for UNEP implementation from 2017 through 2019. UNEP will report details on its performance with implementing the projects through its UNEP's Annual and Financial Progress Report. For details about *non-project-related* activities and services delivered by UNEP through the CAP, please refer to the 2017 CAP Work Programme and Budget submitted to this same meeting.

For 2017, UNEP will prepare and submit 99 projects to the Executive Committee, including new projects, planned tranches of previously-approved multi-year agreements (MYAs), and the annual CAP Work Programme and Budget for the year 2018.

UNEP proposes to adopt performance indicators for this Business Plan in line with Decisions 73/30 and the guidance received during the two Inter-Agency Coordination Meetings of 2016 (1-3 March and 31 August to 1 September).

I. METHODOLOGY

This section describes the methodology, consultations, guidance and inputs UNEP used when developing this Business Plan:

- During the first half of 2016, UNEP consulted with National Ozone Officers in Article 5 countries on their countries' business planning needs, through dialogues during meetings of Regional Networks of Ozone Officers, as well as via direct contact with Ozone Officers.
- UNEP reviewed and drew experiences gained from implementation of its 2016-2018 Business Plan (UNEP/OzL.Pro/ExCom/75/24), taking into account new trends and emerging developments. UNEP also considered the programmatic direction and activities included in its approved 2016 CAP Work Programme and Budget (UNEP/OzL.Pro/ExCom/75/33/Rev.1).
- UNEP used the Multilateral Fund's 2015-2017 consolidated business plan (UNEP/OzL.Pro/ExCom/75/21) endorsed by the Executive Committee meeting (Decision 75/22) as a guidance document for resource planning for the triennium and identification of countries requiring assistance.
- UNEP also followed the guidance provided by the Multilateral Fund Secretariat during the 2016 Inter-Agency Coordination Meetings.
- UNEP consulted with the other Implementing Agencies and bilateral agencies to increase collaborative and mutually-supportive initiatives and to avoid duplication of effort.
- UNEP considered various Executive Committee decisions as guidance for this Business Plan.

II. MULTILATERAL FUND TARGETS

A. OBJECTIVES OF THE THREE-YEAR BUSINESS PLAN

The focus and orientation of UNEP's work continues to be defined by the evolving needs of Article 5 countries as they progress in their implementation of the Montreal Protocol, and as they meet and sustain compliance with specific obligations.

UNEP's proposed 2017 CAP Work Programme and Budget submitted for the consideration of the 77th Executive Committee meeting details UNEP's vision and approach for CAP in that year. Following that approach, UNEP will provide assistance to Article 5 countries according to four overarching objectives:

- Assisting countries to comply with their upcoming HCFC phase-out commitments.
- Sustaining and enforcing compliance of phase-out targets already met.
- Building capacity to adopt alternatives to HCFCs to achieve climate co-benefits.
- Leveraging partnerships for Montreal Protocol objectives complementary to the Multilateral Fund.
- Clearing house function, regional networks, capacity building, technical cooperation and awareness.

B. RESOURCE ALLOCATION

During this Business Plan period, UNEP plans to prepare and submit for approval the projects as detailed in Annex I: Projects planned for submission 2017-2019. UNEP's proposed resource allocation plan for these projects is as follows:

Project	Type	Value (US\$ inclusive of PSC)			Total 2017-2019
		2017	2018	2019	
Required for compliance					
HPMP Stage I	PHA	2,933,978	2,069,964	203,400	5,207,342
HPMP Stage II preparation	PRP	135,600	2,316,048	0	2,451,648
HPMP Stage II	PHA	5,013,219	7,930,518	5,678,341	18,622,078
Institutional Strengthening	INS	7,053,227	4,524,220	7,053,227	18,630,674
Compliance Assistance Programme	TAS	10,930,665	11,258,585	11,596,342	33,785,592
Grand total		26,066,689	28,099,335	24,531,310	78,697,334

III. PLANNED BUSINESS PLAN ACTIVITIES

This section describes costed projects at the national, regional and global levels proposed by UNEP in the 2017-2019 Business Plan period. All of the projects are included in Annex I.

A. NATIONAL LEVEL

Through this Business Plan, UNEP plans to deliver the following projects at the national level:

- HPMP project preparation and implementation. UNEP will assist 73 with Stage II preparation in accordance with Executive Committee policies and guidelines. UNEP will also assist countries with the implementation of the non-investment components of the HPMPs (both Stages I and II), in cooperation with other Implementing Agencies and bilateral agencies. In total, during this Business Plan UNEP will be the HPMP Lead Agency for 72 countries and Cooperating Agency for 30 countries.
- Institutional Strengthening projects. UNEP provides 104 countries with ongoing technical assistance and administrative support for the implementation of their IS projects, including the submission of IS renewals and assistance with activities covered by these projects. UNEP will submit such projects as per the appropriate timing and when all the necessary pre-conditions have been met (e.g. disbursement rate, reporting obligations). This service is performed as part of CAP services, with 0% PSC to UNEP.
- New project types. There are no new projects included in this Business Plan for the years of 2017-2019.

B. REGIONAL LEVEL

Through this Business Plan, UNEP plans to deliver the following projects at the regional level:

- Regional PIC HPMP preparation (Stage II). The preparation funds will be requested in the year of 2018.

C. GLOBAL LEVEL

Through this Business Plan, UNEP does not plan to deliver the additional project at the global level.

D. NEW PROJECT TYPES

UNEP does not plan to submit the new type of projects during the 2017-2019 period.

IV. PERFORMANCE INDICATORS

UNEP expects that the services, activities and projects identified in the proposed 2017-2019 Business Plan and 2017 CAP Work Programme and Budget the will result in:

- Improved capabilities and technical skills of NOUs staff to effectively carry out approved phase-out programmes and thus ensure sustained compliance;
- Countries in non-compliance received necessary support enabling swift return to compliance;
- Increased high level political commitment to the ozone agreements;
- ODS phase-out obligations mainstreamed into national environmental strategies/policies;
- Early action taken by countries on the HCFC phase out due to HPMP preparation and information services.
- Increased number of Parties to the Montreal Protocol Amendments;
- Enhanced awareness of users and other relevant stakeholders of forthcoming reductions in ODS supply and availability of viable alternatives;
- All client countries reported Article 7 data by established deadlines and quality of reported data improved;
- Majority of client countries submitted outstanding reports on implementation of their Country Programmes to the Multilateral Fund Secretariat;
- Improved and enforced ODS related legal instruments particularly the addition of HCFCs to licensing systems and initiation of HCFC quota systems;
- NOUs provided with best available information that enable them to make decisions on alternative technologies, sound approaches and methodologies;
- Broadened and strengthened regional cooperation in the implementation of the ozone treaties;
- Increased number of countries benefiting from direct country-to-country assistance;
- Concerted actions taken at national and regional levels to combat illegal trade in ODS;
- Improved access to ODS-related technical information and enhanced experience exchange;
- Indirect support provided for the implementation of investment projects through strengthened institutional and legal frameworks.

For 2017, UNEP proposes to use the following performance indicators in line with Decision 75/25 and guidance received during the 2016 Inter-Agency Coordination Meetings:

TABLE 1: PERFORMANCE INDICATORS APPLICABLE TO ALL AGENCIES

Type of Indicator (Existing, Modified, New)	Short Title	Calculation	UNEP proposal for 2017
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Type of Indicator (Existing, Modified, New)	Short Title	Calculation	UNEP proposal for 2017
Planning--Approval	Tranches approved	Number of tranches approved vs. those planned*	37
Planning--Approval	Projects/activities approved	Number of projects/activities approved vs. those planned (including project preparation activities)**	63
Implementation	Funds disbursed	Based on estimated disbursement in progress report US	US\$ 8,151,324
Implementation	ODS phase-out	ODS phase-out for the tranche when the next tranche is approved vs. those planned per business plans	27.9 ODP tonnes
Implementation	Project completion for activities	Project completion vs. planned in progress reports for all activities (excluding project preparation)	51
Administrative	Speed of financial completion	The extent to which projects are financially completed 12 months after project completion	14
Administrative	Timely submission of project completion reports	Timely submission of project completion reports vs. those agreed	On time
Administrative	Timely submission of progress reports	Timely submission of progress reports and business plans and responses unless otherwise agreed	On time

* The target of an agency would be reduced if it could not submit a tranche owing to another cooperating or lead agency, if agreed by that agency.

** Project preparation should not be assessed if the Executive Committee has not taken a decision on its funding.

TABLE 2: PERFORMANCE INDICATORS APPLICABLE TO UNEP'S COMPLIANCE ASSISTANCE PROGRAMME

Performance Indicator	Data	Assessment	UNEP's proposal for 2017
Efficient follow-up to regional network/ thematic meetings	List of recommendations emanating from 2015-2016 regional network/thematic meetings	Implementation rate of those meeting recommendations that are to be implemented in 2017	90% implementation rate
Effective support to NOUs in their work, particularly guidance to new NOUs	List of innovative ways/means/products/ services for supporting NOUs in their work, with specification of those destined for new NOUs	Number of innovative ways, means, products, services for supporting NOUs in their work, with specification of those destined for new NOUs	- 7 such ways, means, products, services; -All new NOUs receive capacity building support.
Assistance to countries in actual or potential non-compliance (as per MOP decisions and/or as per reported Article 7 data and trend analysis)	List of countries in actual or potential on compliance that received CAP assistance outside the network meetings	Number of countries in actual or potential non-compliance that received CAP assistance outside the network meetings	All such countries
Innovations in production and delivery of global and regional information products and services	List of global and regional information products and services destined for new target audiences or that reach existing target audiences in new ways	Number of global and regional information products and services destined for new target audiences or that reach existing target audiences in new ways	7 such products and services
Close cooperation between CAP regional teams and Implementing and bilateral agencies working in the regions	List of joint missions/ undertakings of CAP regional staff with Implementing and bilateral agencies	Number of joint missions/undertakings	3 in each region

V. POLICY, ADMINISTRATIVE AND FINANCIAL ISSUES

None.