



联合国



环境规划署

Distr.
GENERALUNEP/OzL.Pro/ExCom/77/24
25 October 2016

ORIGINAL: ENGLISH

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

2017-2019年工发组织业务计划

1. 本文件提出2017-2019年工发组织业务计划¹并列有：为2017-2019年期间淘汰消耗臭氧层物质计划的活动；工发组织业务计划业绩指标和供执行委员会审议的建议。工发组织2017-2019年业务计划的说明随附本文件之后。

秘书处的评论

2. 表1按年份开列工发组织业务计划中所列活动的价值。

表1: 已提交的2017-2019年工发组织业务计划的资源分配(千美元)*

项目	2017年	2018年	2019年	共计 (2017-2019 年)	2020年	2020年后 共计
履约所要求的						
核准氟氯烃淘汰管理计划	6,762	18,164	1,369	26,295	6,726	482
氟氯烃生产项目编制- 第一阶段	107	0	0	107	0	0
氟氯烃生产- 第一阶段	0	533	533	1,065	533	0
氟氯烃淘汰管理计划第一阶段	0	693	0	693	132	0
氟氯烃淘汰管理计划第一阶段- 额外 资金	899	389	0	1,288	0	0
氟氯烃淘汰管理计划项目编制-第二 阶段	631	1,460	0	2,091	0	0
氟氯烃淘汰管理计划项目编制第二 阶段	36,927	61,614	80,509	179,050	79,927	112,052

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2017-2019年工发组织业务计划草案。本文件载列的业务计划涉及会议提出的问题。

项目	2017年	2018年	2019年	共计 (2017-2019 年)	2020年	2020年后 共计
氟氯烃淘汰管理计划第三阶段	0	0	0	0	39,226	156,904
标准活动						
体制建设	1,378	1,303	1,198	3,880	1,303	0
核心单位	2,069	2,084	2,098	6,252	2,113	0
总计	48,773	86,239	85,708	220,720	129,960	269,438

* 酌情包括机构支助费用。

秘书处对履约所要求的活动的意见

氟氯烃生产行业第一阶段

3. 朝鲜民主主义人民共和国氟氯烃生产淘汰管理计划第一阶段共列入 170 万美元（包括 2017 年项目编制活动的 107000 美元）。

氟氯烃淘汰管理计划第一阶段

4. 在工发组织业务计划中，有一个国家（阿拉伯叙利亚共和国²）的氟氯烃淘汰管理计划第一阶段尚未核准。为该国列报的价值为 824,997 美元，其中 692,600 美元用于 2017 至 2019 年。

5. 工发组织业务计划中包括了两个国家（巴林和厄瓜多尔）淘汰管理计划第一阶段之外的额外项目，2017-2019 年数额为 129 万美元。所提额外项目请求属于执行委员会不同决定的范围，其中容许这些国家在第一阶段执行期间提交额外项目。

低消费量国家氟氯烃淘汰管理计划第二阶段

6. 2017-2019 年低消费量国家实现氟氯烃基准消费量削减 35% 的淘汰管理第二阶段的供资总额为 15260 美元，实现 67.5% 削减的供资总额为 637 万美元（2017-2019 年期间没有提出请求）。

非低消费量国家氟氯烃淘汰管理计划第二阶段

7. 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 3.6464 亿美元（包括 2017-2019 年期间的 1.7904 亿美元）。各行业细目见表 2。

表 2: 按行业分列的非低消费量国家氟氯烃淘汰管理计划第二阶段的资金分配 (千美元)

行业	2017-2019 年	2020年	2020年后	共计	占总数的百分比
硬质泡沫塑料	4,000	114	240	4,354	1.2
挤塑聚苯乙烯泡沫塑料	64,200	23,540	74,916	162,656	44.6
制冷组件	1,221	467	0	1,688	0.5
制冷空调	81,685	27,262	0	108,947	29.9
制冷制造	15,322	15,247	20,909	51,478	14.1
制冷维修	12,607	10,767	12,145	35,518	9.7
总计	179,035	77,397	108,211	364,642	100.0

² 已核准为该国作为氟氯烃淘汰管理计划之外独立项目的制冷和空调行业淘汰 12.9ODP 吨氟氯烃提供资金，占基准的 9.6%。

非低消费量国家氟氯烃淘汰管理计划第三阶段

8. 一个非低消费量国家（中国）2019年后制冷空调行业氟氯烃淘汰管理计划第三阶段的供资总额为 1.9613 亿美元。

秘书处对标准活动的意见

体制建设

9. 业务计划中列有用于体制建设活动的 518 万美元，其中 2017 年至 2019 年期间为 388 万美元，³ 2020 年为 130 万美元。

核心单位费用

10. 核心单位费用⁴ 预计将以目前商定的 0.7% 的年费率增加。

对 2017-2019 年工发组织业务计划的调整

11. 在机构间协调会议期间，同意根据执行委员会的相关决定，对双边和执行机构的业务计划进行调整。在审查经修订的 2017 - 2019 年工发组织业务计划时，秘书处注意到未将下列调整列入其中：

表 3: 对 2017 - 2019 年工发组织业务计划的调整

调整	2017-2019 年(千美元)	2020 年和 2020 年后 (千美元)
反映已到期但未提交第七十七次会议的氟氯烃淘汰管理计划付款价值（阿尔及利亚、巴哈马、布隆迪、科特迪瓦、赤道几内亚、加蓬、几内亚、莫桑比克、缅甸、卡塔尔、苏里南、多哥和土耳其）	3,780	0
已提交第七十七次会议以符合最初提交的拟议供资数额的新氟氯烃淘汰管理计划活动（第二阶段）	-312	-290
根据第 71/42 号决定进行的氟氯烃淘汰管理计划第二阶段项目编制	-0.134	0
按第 74/50 (c) (xii) 号决定规定低消费量国家达到实现氟氯烃基准消费量减少 35% 或 67.5% 最大允许值的氟氯烃淘汰管理计划第二阶段	0	-5
按最高成本效益为 4.80 美元/公斤计算的非低消费量国家制冷维修行业氟氯烃淘汰管理计划第二阶段	-0.5	-0.68
按最大成本效益为 7.00 美元/公斤计算的非低消费量国家泡沫塑料行业氟氯烃淘汰管理计划第二阶段 ⁵	0	-11

12. 表 4 列有秘书处对 2017 - 2019 年工发组织业务计划拟做调整的结果，在 2017 - 2019 年多边基金综合业务计划中也对此作了处理。⁶

³ 根据第 74/51(c)号决定，按比历史商定水平高 28% 的数额核准所有体制建设项目和展期，其中每年体制建设供资的最低数额为 42500 美元。

⁴ 工发组织 2017 年核心单位费用申请已提交第七十七次会议（UNEP / OzL.Pro / ExCom / 77/33）。

⁵ 如机构间协商会议所商定的。

表 4: 工发组织经调整的 2017 - 2019 年业务计划的资源分配 (千美元) *

项目	2017 年	2018 年	2019 年	共计 (2017-2019 年)	2020 年	2020 年后 共计
履约所要求的						
核准的氟氯烃淘汰管理计划	10,542	18,164	1,369	30,075	6,726	482
氟氯烃生产项目编制-第一阶段	107	0	0	107	0	0
氟氯烃生产-第一阶段	0	533	533	1,065	533	0
氟氯烃淘汰管理计划第一阶段	0	693	0	693	132	0
氟氯烃淘汰管理计划第一阶段 - 额外资金	899	389	0	1,288	0	0
氟氯烃淘汰管理计划项目编制-第二阶段	631	1,460	0	2,091	0	0
氟氯烃淘汰管理计划第二阶段	36,645	61,959	80,133	178,738	80,888	110,785
氟氯烃淘汰管理计划第三阶段	0	0	0	0	39,226	156,904
标准活动						
体制建设	1,378	1,303	1,198	3,880	1,303	0
核心单位	2,069	2,084	2,098	6,252	2,113	0
总计	52,272	86,584	85,332	224,188	130,921	268,171

* 酌情包括机构支助费用。

业绩指标

13. 工发组织根据第 71/28 号决定在其业务计划说明中提出了业绩指标。 几经讨论后, 工发组织和秘书处商定了表 5 所列的目标。

表 5: 工发组织业绩指标

指标类型	简称	计算	2017 年目标
规划—核准	已核准各期付款	已核准的付款次数与计划的付款次数*	36
规划—核准	已核准项目/活动	已核准的项目/活动数量与计划的项目/活动数量 (包括项目编制活动)**	13
执行	已分配资金	基于进度报告中提出的估计分配数	2235 万美元
执行	淘汰消耗臭氧层物质	核准下一期付款时本期付款所淘汰的消耗臭氧层物质与业务计划所规划的消耗臭氧层物质淘汰量	436.08 ODP 吨
执行	各项活动的项目完成情况	进度报告中所有活动的项目完成情况与规划情况(不包括项目编制)	60
管理	财务完成速度	各项目完成 12 个月后的财务完成程度	项目完成 12 个月后
管理	及时提交项目完成报告	及时提交项目完成报告与商定提交的报告	按时
管理	及时提交进度报告	及时提交进度报告和业务计划并及时作出回应, 除非另有商定	按时

* 如某机构因另一合作机构或牵头机构之故导致不能提交付款, 在取得该机构同意后, 可削减该机构的目标。

** 如执行委员会尚未就其供资问题作出决定, 不应对项目编制进行评估。

⁶ UNEP/OzL.Pro/ExCom/77/20。

建议

14. 执行委员会不妨考虑：

- (a) 注意到 UNEP/OzL.Pro/ExCom/77/24 号文件所载工发组织 2017-2019 年业务计划；
 - (b) 核准 UNEP/OzL.Pro/ExCom/77/24 号文件表 5 所载工发组织的业绩指标。
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UNIDO
BUSINESS PLAN 2017



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

EXECUTIVE SUMMARY

The 2017 Business Plan of UNIDO together with the forecast for 2018 and 2019 represents the Rolling Business Plan of Montreal Protocol activities of the Organization. Funding estimates up to 2020 and beyond have also been provided. This provides useful information for Executive Committee members on the funding needed to reach the 2020 control measures for HCFCs.

UNIDO's Business Plan was prepared based on the previous rolling business plan, taking into consideration the approvals and experience of previous years, the requests received from Article 5 countries, priorities established and the decisions taken by the Executive Committee, in particular Decision 74/50, 74/18(b), 72/40, 74/21, 74/50 and 71/42. It also reflects the discussions held in Montreal during the Inter-Agency Coordination Meeting between 31 August and 1 September 2016. It is also largely inspired from the historical decision of the 19th Meeting of the Parties agreeing on the acceleration of the phase-out of HCFCs, and the relevant ExCom decisions on HPMPs and HCFC investment and demonstration projects. The countries' needs have been calculated based on approved HPMPs and based on reported HCFC Baseline consumption.

In 2017, UNIDO will submit for approval by the Executive Committee forward commitments amounting to USD 6.76 million. New activities are focusing mainly on HCFC phase-out and the renewal of institutional strengthening projects with a total value of USD 42 million (including Core Unit Funding). In addition, USD 738,000 is earmarked for the preparation of Stage II HPMPs in 2017. As listed in the business plan, about 89.8 % (USD 43.8million) of UNIDO's 2017 Business Plan is focusing on the phase out of HCFCs.

Decision 67/15 has maintained the administrative cost regime with the following modifications: For new projects with a value over USD 250,000 as well as for institutional strengthening and project preparation activities approved at the 67th Meeting of the Executive Committee and after are subject to 7% agency fee. Support cost for Agreements made before the 67th Meeting of the Executive Committee remained valid, except for the second and subsequent tranches of HPMPs approved at the 66th Meeting of the Executive Committee, where the 7.5% agency fee has been reduced to 7 % in line with Decision 72/20. For new projects with a value at or below USD 250,000, an agency fee of 9 % is provided. Furthermore, for Core Unit Funding an annual increase of maximum 0.7% is allowed for the current triennium. For this reason and in line with the Fund Secretariat's recommendation, Core Unit Costs for the years 2017-2020 have been budgeted based on a maximum 0.7 % increase. Thus, USD 2,069,385 has been allocated in the 2017 Business Plan for the Core Unit for the year 2018.

The total amount foreseen in UNIDO's 2017 Business Plan, including forward commitments, new investment, non-investment activities, project preparation and funding of core unit is USD 48,773,352 including support costs and with an impact of 553 ODP tonnes.

USD 86,239,013 worth of projects are earmarked for 2018 with an impact of 1,065 ODP tonnes, while for 2019 USD 85,707,555 with an impact of 784 tonnes of ODP tonnes are forecasted.

A. MULTILATERAL FUND TARGETS

1. CONTEXT

UNIDO prepared its business plan for 2016 to 2018 based on ExCom Decisions 74/50, 74/18(b), 72/40, 74/21, 74/50 and 71/42 as well as the Government requests received from Article 5 countries. An inter-agency coordination meeting was held between 31 August and 1 September 2016 in Montreal, Canada. Considering the draft business plans submitted by all implementing and bilateral agencies and the compliance-oriented model, the Secretariat identified the countries that are in need of assistance in order to comply with the various phase-out schedules, for which no activities were included in the business plans of implementing agencies and pointed out cases where a duplication of activities occurred among the various implementing agencies. The countries' needs have been calculated for most countries based on the actual HCFC baseline data as well as based on approved HPMP Agreements.

The Business Plan is also largely inspired from the historical decision of the 19th Meeting of the Parties agreeing on the acceleration of the phase-out of HCFCs, and the Decision 74/50 on the draft criteria for funding HCFC phase-out in the consumption sector for Stage II of HCFC Phase-Out Management Plans and other relevant ExCom decisions on HPMPs and HCFC investment and demonstration projects.

As agreed with the Secretariat, activities which were part of UNIDO's 2016 business plan, but could not be submitted either to the 76th or to the 77th Meeting of the Executive Committee, are reflected in the present business plan. Furthermore, any projects submitted to, but not approved at the 77th Meeting should be added afterwards to the 2017 Business Plan.

During the 2017-2019 business cycle, UNIDO also foresees the implementation of trust fund projects (e.g. Iran, Mexico, Morocco, South Africa and Tunisia) and continued strong cooperation with donor countries, particularly with Italy and Spain.

2. RESOURCE ALLOCATION

In 2017, UNIDO is planning to submit USD 46.7 million worth of projects, the majority of which is focused on phase-out of HCFCs, plus core unit funding in the value of about USD 2 million.

HCFC phase-out activities form large part of UNIDO's 2017 Business Plan. Most HPMPs for non-LVCs include investment projects for the conversion of manufacturing enterprises to HCFC-free alternatives taking into consideration new technological developments to ensure sustainable conversion of HCFC-based manufacturing enterprises.

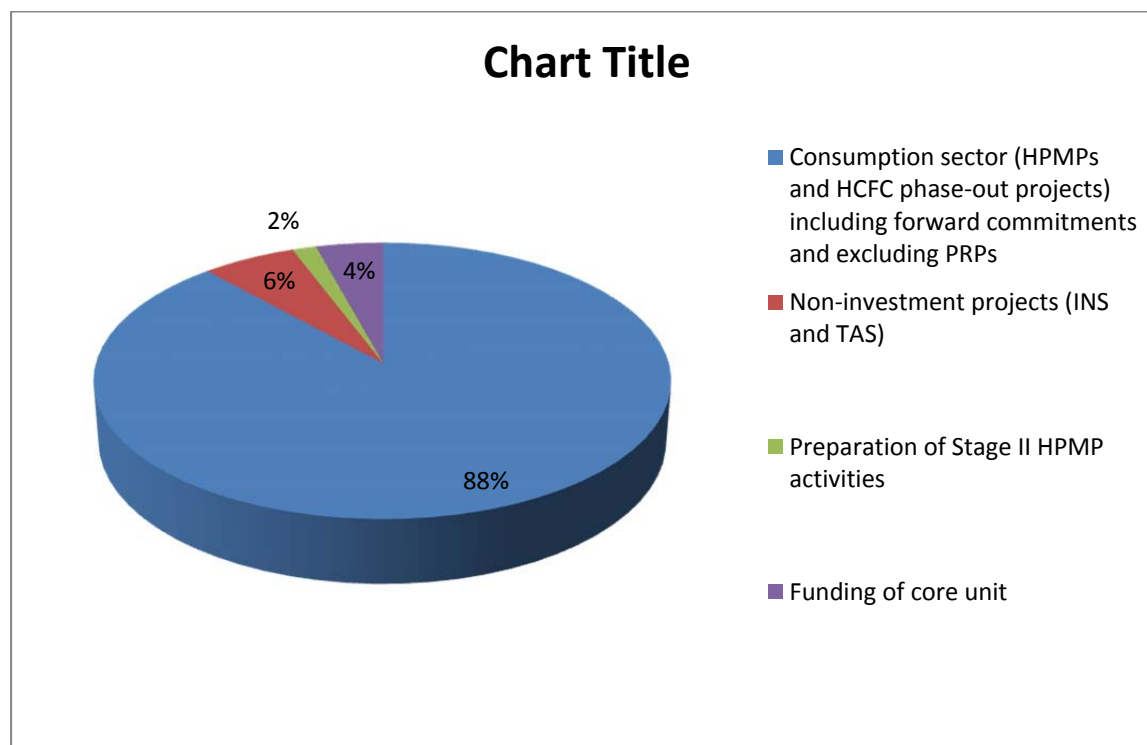
In line with earlier discussions, funding requests for the preparation of Stage II HPMPs should be submitted 2 years before the last tranche of Stage I. However, there are exceptions, in particular in non-LVC countries with extended commitments, whereby no funding is scheduled between 2015 and 2017 or 2018. In such cases, project preparation is required 1 or 2 years before the penultimate tranche of Stage I. UNIDO made careful consideration of each country to ensure smooth implementation, without interruptions between Stage I and Stage II activities.

Furthermore, renewal of institutional strengthening projects also form part of UNIDO's 2017-2019 Business Plan.

The total budget for 2017 for the above activities is USD 46,703,968 plus USD 2,069,385 core unit funding for UNIDO. Table 1 below summarizes the resource allocation of UNIDO's 2016 Business Plan.

Table 2: Resource allocation

Pos.	Type/sector	Value (\$ 000) (incl. support cost)	Share of Business Plan allocation (%)
(a)	Consumption sector (HPMPs and HCFC phase-out projects) including forward commitments and excluding PRPs	43,074	88.3
(b)	Non-investment projects (INS and TAS)	2,892	5.9
(c)	Preparation of Stage II HPMP activities	738	1.5
(d)	Funding of core unit	2,069	4.24
	Total	48,773	100%

Resource Allocation as per Table 1

The details of the 2017-2019 rolling Business Plan are spelled out in the Business Plan Database.

3. GENERAL OVERVIEW ON ASSISTANCE TO COUNTRIES IN NON-COMPLIANCE

In UNIDO's portfolio, there is currently no country being in non-compliance with the HCFC phase-out schedule. UNIDO has been providing continuous assistance to countries that had been in non-compliance in previous years (Bosnia and Herzegovina, Democratic People's Republic of Korea, Guatemala, Libya and Ecuador).

All activities presented in UNIDO's business plan aim at providing assistance to A5 countries to comply with their obligations towards the Montreal Protocol. Should there be any countries in non-compliance under UNIDO's responsibility, UNIDO will work closely with the countries concerned to bring them back to compliance and will assist them to report the required data to the Ozone Secretariat.

4. PROGRAMME EXPANSION

In the years 2017 to 2019 UNIDO aims to enhance its assistance to Article 5 countries by strengthening its project portfolio through the implementation of HCFC phase-out management plans and HCFC phase-out investment projects.

UNIDO continues providing support with Stage II HPMPs to all the countries assisted during Stage I. Furthermore, Stage II HPMP of Sao Tome is added to UNIDO's portfolio.

The main objective of this Business Plan is to assist Article 5 countries in meeting their obligations under the Montreal Protocol, in particular the 35% reduction target in 2020 for HCFCs. However, in some cases UNIDO in agreement with the beneficiary countries has set more ambitious objectives and targets 67.5% reduction.

The analysis of the activities of UNIDO's Business Plan reveals that the major share of UNIDO's MP project portfolio consists of HPMPs including HCFC investment activities in different sub-sectors.

In 2017, UNIDO will continue to cover all regions (Latin America and the Caribbean, Africa, Asia and Pacific, Europe) with planned activities in various sectors and countries (including project preparation and non-investment activities).

The following section summarizes the activities contained in UNIDO's 2017 Business Plan sorted by region.

Africa

In Africa, funding requests for nine countries, with a total value of USD 4,310,528 will be submitted in 2017. The main concentration will be in HPMPs, as well as preparatory assistance projects for HPMP Stage II. UNIDO is cooperating with UNEP on several HPMPs in African countries.

Asia

In Asia requests for funding for nine countries with a value of USD 38,099,461 will be submitted in 2017. This represents about 78.1 % of the total Business Plan for 2017. The main concentration will be in HPMPs, HCFC investment projects, as well as preparatory assistance projects for HPMP Stage II.

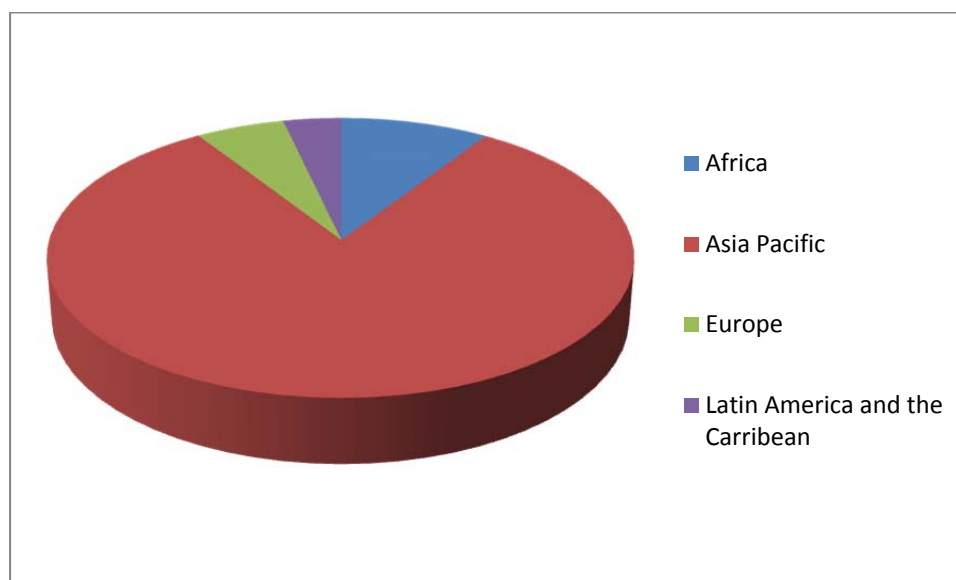
Europe

In Europe, requests for four countries with a value of USD 2,573,309 will be submitted in 2017, three targeting the phase-out of HCFCs and three institutional strengthening.

Latin America and the Caribbean

In Latin America and the Caribbean Region, requests for two countries, with a value of USD 1,683,000 will be submitted in 2017. The main concentration will be in HPMPs, including Stage I and Stage II activities as well.

UNIDO's 2017 Business Plan by Region



PERFORMANCE INDICATORS

The 71st Meeting of the Executive Committee has reviewed the performance indicators. The new weightings, based on Decision 71/28, are indicated in the below table.

Type of Indicator	Short title	Calculation	Weighting	Target 2017
Planning--Approval	Tranches approved	Number of tranches approved vs. those planned	10	23
Planning--Approval	Projects/activities Approved	Number of projects/activities approved vs. those planned (including project preparation activities)	10	12

Type of Indicator	Short title	Calculation	Weighting	Target 2017
	Sub-total		20	
Implementation	Funds disbursed	Based on estimated disbursement in progress report	15	USD 25.5 million
Implementation	ODS phase-out	ODS phase-out for the tranche when the next tranche is approved vs. those planned per business plans	25	ODPt
Implementation	Project completion for Activities	Project completion vs. planned in progress reports for all activities (excluding project preparation)	20	47
	Sub-total		60	
Administrative	Speed of financial completion	The extent to which projects are financially completed 12 months after project completion	10	12 months after operational completion
Administrative	Timely submission of project completion reports	Timely submission of project completion reports vs. those agreed	5	On time
Administrative	Timely submission of progress reports	Timely submission of progress reports and business plans and responses unless otherwise agreed	5	On time
	Sub-total		20	
	Total		100	

Based on Decision 71/28, the performance indicator on milestone activities for MYAs was changed as listed now in the above table.

INITIATIVES TO ENSURE COMPLIANCE

Successful and timely implementation of ongoing activities is essential for the current compliance period.

Special attention is provided to countries that may previously have been in non-compliance and that have decisions outlining plans of actions with time-specific benchmarks for return to compliance.

UNIDO has continued to provide supportive initiatives in order to ensure timely project completion of projects approved so far, and to facilitate compliance of the recipient countries with their MP obligations, which supported successful project implementation:

- Regular follow up of the implementation process is being done by the staff of the ozone office together with UNIDO's national and international consultants and project managers. This ensures that effective actions on critical issues such as resolving bottlenecks in site preparation, customs clearance, installation, commissioning and safety certification, monitoring of CFC-related equipment are taken.
- UNIDO is frequently attending Regional Network Meetings and respective workshops providing additional support to our counterpart countries.
- Communication and interaction between regional and country offices about the implementation process has ensured the smooth flow of project plans. As in previous years, directors of UNIDO regional and country offices are regularly briefed at UNIDO HQs on ongoing and possible future activities. They are involved in the implementation process and are following up the progress of the programmes. In turn, the representatives brief headquarter staff working in a specific country on the regular activities in the field and problems faced, if any.
- UNIDO also provides, when requested, support such as policy assistance, putting in place relevant legislation etc. Additionally, UNIDO project managers are visiting the project site, if definitely required.
- Based on recommendation of the Implementation Committee, additional assistance will be offered to the countries with delays in reporting of its ozone-depleting substance data