



# 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

## 2017-2019年世界银行业务计划

1. 本文件介绍世界银行 2017-2019 年业务计划<sup>1</sup>，包括 2017-2019 年期间为逐步淘汰消耗臭氧层物质所规划的活动；业务计划的业绩指标；供执行委员会审议的建议。世界银行 2017-2019 年业务计划的说明附于文件之后。

### 秘书处的评论

2. 表 1 按年份分列世界银行业务计划所载活动的价值。

表 1：世界银行提交的 2017-2019 年业务计划的资源分配情况（千美元）\*

项目	2017 年	2018 年	2019 年	共计 (2017- 2019 年)	2020 年	2020 年后 共计
<b>履约所要求的</b>						
核准的氟氯烃淘汰管理计划	6,680	8,795	4,701	20,176	4,196	783
氟氯烃生产-第二阶段	29,306	29,306	29,306	87,917	29,306	172,777
氟氯烃淘汰管理计划第二阶段	22,816	36,422	35,197	94,435	35,291	94,169
<b>标准活动</b>						
体制强化	0	677	0	677	677	0
核心单位	1,725	1,737	1,749	5,211	1,761	0
<b>总计</b>	<b>60,526</b>	<b>76,937</b>	<b>70,953</b>	<b>208,416</b>	<b>71,232</b>	<b>267,729</b>

\* 包括适用机构支助费用。

### 秘书处对履约所要求的活动的意见

#### 生产行业第二阶段

<sup>1</sup> 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世界银行 2017-2019 年业务计划草案。本文件所载业务计划根据会议所提问题作了修改。

3. 业务计划为中国氟氯烃生产淘汰管理计划共开列 2.9 亿美元。这一数额包括第二阶段 2017-2020 年每年 2,931 万美元和 2020 年后 1.7278 亿美元（2021 至 2030 年平均每年供资 1727.8 万美元）。

4. 不过根据第 69/28 (e) 号决定，假定包括机构支助费用在内的最大供资额为 4.0656 亿美元<sup>2</sup>，氟氯烃生产淘汰管理计划第一阶段之后从 2017 年开始平均年度供资额应为 2,187 万美元，因此，2017 至 2020 年期间的拟议供资额比平均年度供资额高出 34%。

5. 2015 年第七十五次会议核准向中国氟氯烃生产淘汰管理计划第一阶段最后一次付款 2530 万美元。如第 71/23 (c) 号决定所示，中国计划提交氟氯烃生产淘汰管理计划的年度执行计划，要求 2017 年提供第二阶段第一次付款。

6. 世界银行指出，氟氯烃生产淘汰管理计划第二阶段要淘汰的氟氯烃数量为 5,824.8 ODP 吨，远远高于第一阶段的 3,970 ODP 吨。虽然业务计划第一和第二阶段氟氯烃拟议淘汰量达基准的 34%，但供资（2.1754 亿美元<sup>3</sup>）达最大供资总额（4.0656 亿美元）的 54%。

### 氟氯烃淘汰管理计划第二阶段

7. 氟氯烃淘汰管理计划第二阶段的供资总额为 2.239 亿美元（包括 2017 至 2019 年期间的 9,444 万美元）。该行业的细目见表 2。

表 2：按行业分列的氟氯烃淘汰管理计划第二阶段的供资分布情况（千美元）

行业	2017-2019 年	2020 年	2020 年后	共计	占总额百分比
灭火	31	3		34	0.0
一般泡沫塑料	391	195		586	0.3
硬质泡沫塑料	75,720	27,695	91,165	194,579	86.9
硬质泡沫塑料和挤塑聚苯乙烯	5,632	1,609	805	8,046	3.6
制冷空调	2,368	789	702	3,859	1.7
商用制冷	2,974	1,348	270	4,592	2.1
制冷维修	6,320	3,160	1,053	10,533	4.7
溶剂	946	473	158	1,576	0.7
生产行业监督	54	18	18	90	0.0
共计	94,435	35,291	94,169	223,895	100.0

### 秘书处对标准活动的意见

#### 体制强化

8. 业务计划为体制强化活动开列 135 万美元，其中 2017 至 2019 年 676,584 美元<sup>4</sup>，2020 年 676,584 美元。

<sup>2</sup> 3.85 亿美元加支助费用 2,156 万美元。

<sup>3</sup> 第一阶段 1.0032 亿美元，第二阶段 1.1722 亿美元，包括机构支助费用。

<sup>4</sup> 根据第 74/51(c)号决定，核准所有体制强化项目和项目续展，供资额比原商定数额增加 28%，年度最低供资额 42,500 美元。

## 核心单位费用

9. 世界银行未增加 2017 年核心单位预算<sup>5</sup>。

### 世界银行 2017-2019 年业务计划的调整

10. 机构间协调会议期间，根据执行委员会的相关决定，商定对双边和执行机构的业务计划进行调整。在审查世界银行 2017-2019 年订正业务计划时，秘书处注意到业务计划未列入以下调整：

表 3：世界银行 2017-2019 年业务计划的调整

调整	2017-2019 年 (千美元)	2020 年和 2020 年后 (千美元)
根据第 71/23(c) 号决定从 2017 年开始的氟氯烃生产淘汰管理计划第二阶段	-22, 295	38, 535
提交第七十七次会议的氟氯烃淘汰管理计划新活动（第二阶段）以匹配最初提交的拟议供资额	1, 176	-317

11. 表 4 列出了秘书处对世界银行 2017-2019 年业务计划拟议调整后的结果，多边基金 2017-2019 年综合业务计划也列出了这个结果<sup>6</sup>。

表 4：经调整的世界银行 2017-2019 年业务计划资源分配情况（千美元）

项目	2017 年	2018 年	2019 年	共计 (2017- 2019 年)	2020 年	2020 年 后共计
<b>履约所要求的</b>						
核准的氟氯烃淘汰管理计划	6, 680	8, 795	4, 701	20, 176	3, 134	1, 846
氟氯烃生产-第二阶段	21, 874	21, 874	21, 874	65, 623	21, 874	218, 743
氟氯烃淘汰管理计划第二阶段	22, 219	38, 194	35, 197	95, 611	34, 974	94, 169
<b>标准活动</b>						
体制强化	0	676. 584	0	677	676. 584	0
核心单位	1, 725	1, 737	1, 749	5, 211	1, 761	0
总计	52, 498	71, 278	63, 522	187, 298	62, 421	314, 758

## 业绩指标

12. 根据第 71/28 号决定，世界银行在其业务计划说明中提交了业绩指标。经过几次讨论，世界银行和秘书处商定了表 5 所示的目标。

<sup>5</sup> 世界银行 2017 年核心单位费用要求已提交第七十七次会议(UNEP/OzL.Pro/ExCom/77/33)。

<sup>6</sup> UNEP/OzL.Pro/ExCom/77/20。

表 5：世界银行的业绩指标

指标类别	简称	计算	2017 年目标
规划-核准	已核准各次付款	已核准付款次数/规划付款次数*	7
规划-核准	已核准项目/活动	已核准项目或活动数量/规划的项目或活动数量（包括项目编制活动）**	1
执行	已分配资金	基于进度报告中提出的估计分配额	5,400 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/业务计划所规划的消耗臭氧层物质淘汰量	1,979.4 ODP 吨
执行	各项活动的项目完成情况	项目完成情况/进度报告中规划的所有活动完成情况（不包括项目编制）	13
管理	财务完成速度	项目完成 12 个月后各个项目在财务方面的完成程度	90%
管理	及时提交项目完成报告	及时提交项目完成报告/商定提交的报告	准时
管理	及时提交进度报告	及时提交进度报告以及业务计划和答复，除非另有商定	准时

\* 如某机构因另一合作机构或牵头机构之故而不能提交付款，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。

## 建议

13. 执行委员会不妨考虑：

- (a) 注意到 UNEP/OzL.Pro/ExCom/77/25 号文件所载世界银行 2017-2019 年业务计划；
- (b) 核准 UNEP/OzL.Pro/ExCom/77/25 号文件表 5 所列世界银行的业绩指标。

# 2017-2019 BUSINESS PLAN



**WORLD BANK GROUP**

## INVESTMENT AND NON-INVESTMENT OPERATIONS FUNDED BY THE MULTILATERAL FUND OF THE MONTREAL PROTOCOL

Presented to the  
77<sup>th</sup> Meeting of the Executive Committee  
of the Multilateral Fund

3 October 2016



# I. MULTILATERAL FUND TARGETS

## A. Meeting the Objectives of the Multilateral Fund

1. The three-year rolling Business Plan for the World Bank has been prepared on the basis of approved and projected funding needs of client countries covering the years 2017-2019.
2. The objectives of the proposed 2017-2019 Business Plan for the World Bank are to:
  - a) Assist Article 5 countries in sustaining and meeting the two obligations pertaining to HCFC consumption and production phase-out – the 10% reduction post 2015 and the 35% reduction in 2020 and also to meet the extended HCFC phase-out commitment under each country's Agreement with the Executive Committee.
  - b) Ensure Article 5 partner countries' implementation of institutional strengthening (IS) activities.
3. The proposed 2017-2019 Business Plan of the World Bank includes annual work programs of sector plans and national plans, previously approved, to phase out HCFCs, as well as the renewal of the institutional strengthening activities. In light of the decisions taken at the ExCom, the Bank's Business Plan includes a number of stage II HCFC phase-out sector plans and a Stage II gradual production phase-out plan.
4. The expected impact of proposed new investment activities for the 2017-2019 period are summarized in Table I – 1, below. It should be noted that activities planned for these years are included on an indicative basis, and that they may later be revised as part of individual project submissions or future year World Bank business plan submissions.

Table I-1: Expected impact of new investment activities anticipated to be requested by the World Bank for the years 2017-2019 (ODP tonnes)

	2017	2018	2019	Total
HCFC Sector Plans Stage II	470.21	692.09	680.32	1,842.61
HCFC Production Phase-out Plan Stage II (China)	1,456.20	1,456.20	1,456.20	4,368.60
Total	1,926.41	2,148.29	2,136.52	6,211.21

5. Other than the ODP to be phased out from new investment activities proposed for the 2017-2019 period, additional phase-out of 175 ODP tons will be achieved by 2019 through the ongoing implementation of previously approved multi-year projects. This additional phase-out is summarized in Table I-2.

Table I-2: Expected impact of approved investment activities anticipated to be requested by the World Bank for the years 2017-2019 (ODP tonnes)

	2017	2018	2019	Total
HCFC Sector Plans Stage I	39.21	30.51	0.00	69.72
HCFC Sector Plans Stage II	19.43	46.68	39.17	105.28
Total	58.64	77.19	39.17	175.00

## **Strategic approach to HCFC phase-out in the proposed 2017-2019 Business Plan**

6. Balancing supply and demand of HCFC Production and Consumption: China is the world's largest producer, consumer of HCFCs for ODS use. Based on preliminary 2015 information, China consumed 62% of its production for ODS use and export the rest. The closure of 5 HCFC producers at the beginning of 2015 will have implications on the supply of HCFCs to both the domestic and export markets. Additional reduction in HCFC production capacity required by China to meet the compliance target in 2020 will further complicate the supply and demand balance.

7. To assist China in meeting the consumption and production compliance targets in 2020, it is necessary to carry out detailed analysis and study to ensure that phase-out by chemical matches the situation in the consumption sectors in both China and export markets. The World Bank had already delivered stage II HCFC PU foam sector phase-out plan for the ExCom's consideration in 2016 and proposes to submit Stage II HCFC gradual production phase out plan to the ExCom in 2017. In preparing these plans, close consultations with other implementing agencies during their preparation of other Stage II sector plans for China and with other Article 5 countries with high HCFC consumption had been carried out.

8. Support for the introduction of flammable refrigerant in refrigeration and air-conditioning sector: In reviewing potential alternatives to replace HCFC and HFC refrigerants being developed, many candidates are classified as A2L - mildly flammable refrigerants or A3 – flammable refrigerants. Safety concern is a significant barrier to overcome before the market could widely adopt A2L refrigerants. Based on the World Bank experience in Thailand, there are significant barriers to overcome before RAC equipment using these new refrigerants could be safely introduced into the market. Regulations, building codes, and national standards need to be modified to ensure these products could be safely manufactured, installed, and serviced. The same approach will be undertaken in Viet Nam stage II HPMP implementation where both A2L and A3 refrigerants will be introduced into the market.

9. For many Article 5 countries, RAC servicing sector is considered informal and most service technicians do not have formal technical training and learn their skills on the job. Attempts to improve technical capacity of service technicians for the refrigeration sector have been done previously during the phase-out of CFCs. However, due to easy entry into this trade and high turnover rate of service technicians, most technicians trained during the CFC phase-out period have already moved on to other professions. Given that training is not a mandatory requirement in most countries, very few service technicians active in the market today have undergone any training.

10. The World Bank proposes a number of preparation activities for Thailand's Stage II HCFC Phase-out Management Plans in the 2017-2019 World Bank Business Plan. The sectors to be targeted by Thailand's Stage II HPMP will include conversion of commercial refrigeration manufactures and HCFC phase-out in the servicing sector. Service technician certification system will ensure that RAC service technicians can safely perform their service and equipment will be properly installed which minimize the risk of accident during operations. This would help promote the adoption of low-GWP alternatives. Moreover, proper installation will ensure that equipment operates at the optimal design points where energy consumption performance will be at its best. The Bank will consider activities to set up service technician certification system wherever feasible in these countries.



## B. Resource Allocation in 2017

11. The proposed 2017 Business Plan includes deliverables of ten investment activities in the following six countries: Argentina, China, Indonesia, Philippines, Thailand and Vietnam. The total amount of funding requested for ongoing and new investment activities in the proposed 2017 Business Plan is US\$58.9 million.

12. The funding distribution for ongoing and new investment activities included in the proposed 2017 Business Plan is summarized below.

Table I-3: Summary of funding distribution for investment activities in the proposed 2017 World Bank Business Plan

	Total amount of funds requested in 2017 (US\$ 000s)*	Percent of total	Estimated impact in 2017 (ODP tonnes)	Percent of total
HCFC Sector Plans Stage I	4,347.99	7.4%	39.21	2.0%
HCFC Sector Plans Stage II	25,147.53	42.8%	489.64	24.7%
HCFC Production Phase-out Plan Stage I (China)	29,305.80	49.8%	1,456.20	73.4%
Total	58,801.32	100%	1,985.05	100%

\* Figures include agency support costs

13. The total deliverables contained in the proposed 2017 World Bank Business Plan, including investment, non-investment and preparatory activities amounts to US\$58.9 million (including agency support costs and core unit costs). The breakdown of the total deliverables is summarized below.

Table I-4: Summary of all activities included in the proposed 2017 World Bank Business Plan

Type of activity included in the proposed 2016 Business Plan	Number of activities	Amount requested (US\$ 000s)*
HCFC Sector Plans Stage I	1	4,347.99
HCFC Sector Plans Stage II	8	25,147.53
HCFC Gradual Production Phase-out Plan Stage II (China)	1	29,305.80
Institutional Strengthening	0	0.00
Core Unit Cost	1	1,725.00
Total	11	60,526.32

\* Figures include agency support costs

## C. Resource Allocation Beyond 2017

14. The breakdown of the resource allocation beyond 2017 in the 2017-2019 Business Planning is summarized below.

Table I-5: World Bank's proposed resource allocation plan for 2018-2019 (in US\$ 000s)

Type of activity	Total amount of funds requested in 2017 (US\$)	Estimated impact in 2017 (ODP tonnes)	Total amount of funds requested in 2018 (US\$)	Estimated impact in 2018 (ODP tonnes)
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	000s)		000s)	
HCFC Sector Plans Stage I	3,383.57	30.51	0.00	0.00
HCFC Sector Plan Stage II	41,833.59	738.76	39,898.27	719.49
HCFC Gradual Production Phase-out Plan Stage II (China)	29,305.80	1,456.20	29,305.80	1,456.20
HCFC Sector Plans Stage II Preparation	0	N/A	0	N/A
Institutional Strengthening	676.58	N/A	0.00	N/A
Core Unit Cost	1,737.08	N/A	1,749.23	N/A
Total	76,936.61	2,225.47	70,953.31	2,175.69

## II. PLANNED BUSINESS ACTIVITIES

### A. Ongoing Approved Activities

15. Investment projects for which funding is requested in the 2017-2019 BP: As of September 2016, the World Bank's Montreal Protocol portfolio consists of three ongoing multi-year projects for which funding will be solicited in 2017-2019: HCFC phase-out management and sector plans in Indonesia, Thailand, and Vietnam.

16. Non-investment projects and activities: As of September 2016, the World Bank's portfolio includes 2 ongoing institutional strengthening projects (Thailand and Jordan) that will be completed by the end of 2016.

### B. Program Expansion in 2017 and Beyond

17. A list of detailed new and approved activities to be implemented during 2017-2019, their associated levels of funding, projected ODP impact and country specific remarks is submitted as a separate table.

#### New submissions

18. HCFC consumption phase-out Stage II: As part of the World Bank 2017-2019 Business Plan, the World Bank plans to submit stage II HPMP proposals and HCFC sector plans for Argentina, China, the Philippines, and Thailand.

19. HCFC production phase-out Stage II (China): The World Bank plans to submit stage II HPPMP in 2017. This stage will involve additional closure and require careful planning to ensure that phase-out by chemical matches the situation in the consumption sectors for both domestic and global markets. To ensure achievement of the total capacity to be dismantled as per the agreement, examination at the plant level is needed to come up with options on how to meet the target.

20. China Gradual Production Sector Stage II will start implementation in 2017, however, all the figures included in the business plan are indicative and need further industrial consultation with China as more experience needs to be gained and many uncertainties exist in the production sector.

### **C. Measures to Expedite Implementation of Approved Projects and Those Critical to Compliance**

21. 2017 will be the first year that Stage II HPMPs and HCFC sector plans<sup>1</sup>, including those approved in early 2016 will be under implementation by the World Bank's partner countries. Consequently, the Bank will utilize all resources at its disposal to support countries in overseeing conversions in manufacturing and HCFC production phase-down while revising and introducing new policy and legislation at the sector and national levels. This support will include at minimum two supervision missions per project, greater use of video and teleconferencing, and provision of targeted technical and policy expertise as required. Alongside implementation, the Bank will ensure that its partners maintain a longer term vision of their national HCFC phase-out programs vis-à-vis MP obligations beyond 2015. It will for example, act to bridge project technical assistance activities at the country level with international technological developments so that countries may be better prepared when initiating Stage II work (as early as next year for a couple countries).

22. The Bank is planning to continue the organization of East Asia regional workshops again in 2017 for technical and procedural guidance to partner countries from the World Bank and external experts, exchange of views, and cross-fertilization on efficient and effective HCFC phase-out implementation. The Bank is also exploring opportunities to organize workshops in other regions such as the Middle East and Central/South America. Another workshop will also be organized in 2017 to promote synergy between climate, energy efficiency and ozone activities. This workshop will be the third of its kind that was successfully organized in 2015. The workshop will be complemented by sector-specific technical reviews of new and emerging low-GWP alternatives by the Bank's Ozone Operations Resource Group directed towards the specific needs of partner countries.

23. Lastly, in helping partner countries consider options for addressing Stage II consumption phase-out, particularly where grant funding may be limited due to eligibility, cost-effectiveness ceilings and specific sector funding boundaries, the World Bank is exploring means to better integrate the MP agenda into its main line of work. Beyond the identification of synergies in the Bank's larger lending portfolio, there will be continuing efforts in 2017 to seek out concrete opportunities that allow ODS sector phase-out to be twinned with new projects aiming for green growth and improving energy efficiency in industry, energy, agriculture, infrastructure, and other sectors.

### **III. PERFORMANCE INDICATORS**

24. As per Decision 71/28, the following performance indicators are included in the World Bank's 2017-2019 Business Plan:

#### **A. Planning--Approval Performance Indicators**

25. Number of tranches of multi-year agreements approved vs. those planned (Weighting: 10)

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<sup>1</sup> With the exception of Thailand whose project implementation is delayed due to country situation

Table III-1: Number of annual programs of multi-year agreements planned for 2017

Item	Planned for 2017	Remarks
Tranches of previously approved multi-year agreements to be presented to ExCom in 2017	3	HCFC Phase-out Plan (Thailand: 2015 and 2016 tranches, Vietnam: 2017 tranche)

26. Number of individual projects/ activities (investment, demonstration projects, TAS, IS) approved vs. those planned. (Weighting: 10)

Table III-2: Number of individual projects/ activities planned for 2017

Item	Planned for 2017	Remarks
Number of projects/ activities (investment and demonstration projects, TAS, PRP, IS) approved vs. planned	1	TA for Argentina HCFC production monitoring

## B. Implementation Performance Indicators

27. Funds disbursed (Weighting: 15). In 2017, the World Bank is targeting disbursement of the balance of \$54 million based on estimated disbursement for 2016 in the 2015 Progress Report.

28. ODP phased-out for the tranche when the next tranche is approved vs. those planned per progress reports (Weighting: 25): In 2017, the World Bank expects to phase out a total of 59 ODP tons through implementation of approved multi-year projects.

29. Project completion vs. those planned in progress reports for all activities (excluding project preparation) (Weighting: 20): In 2017, the World Bank expects to bring to completion a total of 8 individual project activities including 2 ODS alternative surveys, 5 investment activities, and 1 technical assistance project.

## C. Administrative Performance Indicators

30. Speed of financial completion after project completion (Weighting: 10): The Bank has set its target for financial completion of all project activities completed in 2014 within 12 months at 90%.

31. Timely submission of project completion reports (Weighting: 5): The Bank plans to submit project completion reports as agreed with the Senior Monitoring and Evaluation Officer.

32. Timely submission of progress reports and responses unless otherwise agreed (Weighting: 5): The Bank plans to submit its 2017 Progress Report by the April deadline.

33. A summary of the World Bank's 2017 performance indicators is included in Table III-3 below.

Table III-3: Summary of World Bank's 2017 performance indicators

Category of Performance Indicator	Title	Weighting	2015 Target
Planning -- Approval	Tranches of previously approved multi-year agreements to be approved in	10	2

<b>Category of Performance Indicator</b>	<b>Title</b>	<b>Weighting</b>	<b>2015 Target</b>
	2017		
	Number of projects/ activities (investment and demonstration projects, TAS, PRP, IS) approved vs. planned	10	5
Implementation	Funds disbursed based on estimated disbursement in progress report	15	54
	ODP phase-out for the tranche vs. that planned per progress reports	25	59 <sup>2</sup>
	Project completion vs. those planned per progress reports (excluding preparation)	20	8
Administrative	Speed of financial completion after project completion	10	90%
	Timely submission of project completion reports	5	On time
	Timely submission of progress reports	5	On time

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<sup>2</sup> Based on the approved activities. This figure will be revised when the planned activities are approved in 2017.