



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
第八十次会议
2017年11月13日至17日，蒙特利尔

工发组织 2018-2020 年业务计划

1. 本文件提出 2018-2020 年工发组织业务计划，¹ 包括以下内容：为 2018-2020 年期间规划的淘汰消耗臭氧层物质活动；业务计划业绩指标；供执行委员会审议的建议。本文件附有工发组织 2018-2020 年业务计划的说明。

2018-2020 年期间规划的活动

2. 表 1 按年份开列了工发组织业务计划所列各项活动的价值。

表 1: 工发组织 2018-2020 年业务计划中提交的资源分配办法 (千美元)*

	2018 年	2019 年	2020 年	共计 (2018- 2020 年)	2020 年后 共计
履约所需资源					
核定氟氯烃淘汰管理计划	48,475	32,757	34,686	115,918	92,469
氟氯烃生产项目编制-第一阶段	0	107	0	107	0
氟氯烃生产 - 第一阶段	0	0	533	533	1,065
氟氯烃淘汰管理计划第一阶段	0	693	0	693	500
氟氯烃淘汰管理计划第一阶段 - 额外资金	389	899	0	1,288	0
氟氯烃淘汰管理计划项目编制 - 第二阶段	1,294	620	91	2,005	86

¹ 2017 年 9 月 5 日至 7 日在蒙特利尔举行的机构间协调会议讨论了 2018-2020 年工发组织业务计划草案。本文件载列的业务计划处理了会议上提出的问题。

	2018 年	2019 年	2020 年	共计 (2018- 2020 年)	2020 年后 共计
氟氯烃淘汰管理计划第二阶段	366	10,844	15,769	26,978	55,092
氟氯烃淘汰管理计划第三阶段	0	0	0	0	196,130
履约所需资源小计	50,523	45,919	51,079	147,522	345,342
氢氟碳化合物活动					
氢氟碳化合物-扶持活动	954	0	0	954	0
氢氟碳化合物-投资	3,776	1,819	0	5,595	0
氢氟碳化合物-投资-项目编制	32	0	0	32	0
氢氟碳化合物活动小计	4,762	1,819	0	6,581	0
标准活动					
体制建设	1,002	1,838	663	3,504	0
核心单位	2,084	2,098	2,113	6,295	0
标准活动小计	3,086	3,937	2,777	9,799	0
总计	58,371	51,675	53,856	163,902	345,342

* 包括适用的机构支助费用。

3. 某些拟议活动的补充资料载于下文。

氟氯烃生产 - 第一阶段

4. 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所列价值共计 170 万美元（包括 2018 年项目编制活动的 107 000 美元）。

氟氯烃淘汰管理计划第一阶段

5. 工发组织业务计划中为阿拉伯叙利亚共和国列报的价值共计 120 万美元，其中 2018 年至 2020 年期间为 692 600 美元。² 但是，该国的氟氯烃淘汰管理计划第一阶段尚未核准，未将其提交第八十次会议。

6. 工发组织业务计划将两个国家（巴林和厄瓜多尔）氟氯烃淘汰管理计划第一阶段之外的额外项目列入其中，2018-2020 年数额为 129 万美元。这些额外项目请求是按照执行委员会不同决定提出的，其中容许这些国家在第一阶段执行期间提交额外项目。

氟氯烃淘汰管理计划第二阶段

7. 2018-2020 年低消费量国家氟氯烃淘汰管理计划第二阶段的供资总额为 63,996 美元，用于把氟氯烃基准消费量削减 35%，637 万美元（包括 2018-2020 年期间的 230 万美元）用于把基准消费量减少 67.5%。

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%。

8. 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情况见表 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资金分配办法（千美元）

行业	2018-2020 年	2020 年后	共计	占总数的百分比 (%)
硬质泡沫塑料	3,328	229	3,557	4.7
制冷空调	2,831	396	3,227	4.3
制冷组件	467	467	934	1.2
制冷制造	5,513	31,678	37,191	49.2
制冷维修	12,453	18,275	30,728	40.6
共计	24,593	51,044	75,637	100.0

与氢氟碳化合物相关的活动

9. 氢氟碳化合物活动包括扶持活动（2018 年为阿根廷、刚果民主共和国、格林纳达、利比亚、尼日尔和乌干达提供 953,750 美元）和投资活动（2018 年在中国、厄瓜多尔、黎巴嫩、墨西哥、摩洛哥和越南投资 560 万美元）（包括 32,100 美元的项目编制费用）。

10. 从有关国家政府获取意向书/核可函是将氢氟碳化合物活动纳入业务计划的先决条件之一。工发组织提交了这些活动所需的所有函件。

核心单位费用

11. 核心单位费用³ 预计将以迄今商定的 0.7% 的年费率增加。

秘书处提议的调整

12. 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作出调整。在审查工发组织订正的 2018-2020 年业务计划时，秘书处注意到未将下列调整数列入其中：

表 3：对工发组织 2018-2020 年业务计划作出的调整（千美元）

调整数	2018-2020 年	2020 年后
显示根据协定核准的实际数额，包括未提交第八十次会议的氟氯烃淘汰管理计划各次付款数额的氟氯烃淘汰管理计划的价值	-1,465	-465
显示实际提交日期的体制建设价值	94	0
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	-0.1	0
根据第 79/46 (c) 号决定进行的氢氟碳化合物扶持活动	-9	0

³ 已将工发组织 2018 年核心单位费用申请提交第八十次次会议 (UNEP/OzL.Pro/ExCom/80/29)。

13. 表 4 列有秘书处提议对 2018-2020 年工发组织业务计划作出调整的结果，在多边基金 2018-2020 年综合业务计划中也作出了这些调整。⁴

表 4：工发组织经调整的 2018-2020 年业务计划资源分配办法（千美元）*

	2018 年	2019 年	2020 年	共计 (2018- 2020 年)	2020 年后 共计
履约所需资源					
核准的氟氯烃淘汰管理计划	48,796	32,694	32,963	114,453	92,004
氟氯烃生产项目编制-第一阶段	0	107	0	107	0
氟氯烃生产-第一阶段	0	0	533	533	1,065
氟氯烃淘汰管理计划第一阶段	0	693	0	693	500
氟氯烃淘汰管理计划第一阶段 - 额外资金	389	899	0	1,288	0
氟氯烃淘汰管理计划项目编制 - 第二阶段	1,294	620	91	2,005	86
氟氯烃淘汰管理计划第二阶段	366	10,844	15,769	26,978	55,092
氟氯烃淘汰管理计划第三阶段	0	0	0	0	196,130
履约所需资源小计	50,844	45,857	49,356	146,057	344,876
氢氟碳化合物活动					
氢氟碳化合物-扶持活动	945	0	0	945	0
氢氟碳化合物-投资	3,776	1,819	0	5,595	0
氢氟碳化合物-投资-项目编制	32	0	0	32	0
氢氟碳化合物活动小计	4,753	1,819	0	6,572	0
标准活动					
体制建设	1,096	1,406	1,096	3,598	0
核心单位	2,084	2,098	2,113	6,295	0
标准活动小计	3,180	3,504	3,209	9,893	0
总计	58,776	51,180	52,565	162,521	344,876

* 包括适用的机构支助费用。

⁴ UNEP/OzL.Pro/ExCom/80/16。

业绩指标

14. 工发组织根据第 71/28 号决定在其业务计划说明部分提交了业绩指标。几经讨论后，工发组织和秘书处商定了表 5 所列的各项指标。

表 5: 工发组织业绩指标

指标类型	简要名称	计算办法	2018 年目标
规划数—核准数	核准的付款次数	按照规划次数核准的付款次数*	40
规划数—核准数	核准的项目/活动数目	按照规划数目核准的项目/活动数目（包括项目编制活动）**	52
执行情况	支付的资金数额	根据进度报告中的付款估计数确定	25, 351, 715 美元
执行情况	消耗臭氧层物质淘汰数	核准下次付款时按照业务计划所载规划淘汰量实现的本次付款期间消耗臭氧层物质淘汰量	870.0 ODP 吨
执行情况	活动的项目完成数	进度报告中按照规划数实现的所有活动（不包括项目编制活动）的项目完成数	57
行政管理	财务收尾速度	项目完成后 12 个月内的财务收尾程度	项目完成后 12 个月内
行政管理	及时提交项目完成情况报告	按照商定按时提交项目完成报告的情况	按时
行政管理	及时提交项目进度报告	按时提交进度报告和业务计划及答复的情况，另行商定者除外	按时

* 如果有机构出于另一个合作机构或牵头机构的原因，未能提交某次付款申请，在取得该机构同意后，可减少其目标数。

** 如果执行委员会尚未就项目编制活动的供资问题做出决定，则不应将其估算在内。

建议

15. 谨提议执行委员会：

- (a) 注意到 UNEP/OzL.Pro/ExCom/80/20 号文件所载工发组织 2018-2020 年业务计划；
- (b) 核准 UNEP/OzL.Pro/ExCom/80/20 号文件表 5 所载工发组织的绩效指标。

UNIDO
BUSINESS PLAN 2018



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Pre-session documents of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol are without prejudice to any decision that the Executive Committee might take following issuance of the document.

EXECUTIVE SUMMARY

The 2018 Business Plan of UNIDO together with the forecast for 2019 and 2020 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 79/46, 78/3(g), 77/27(c), 75/3(b)(i), 74/50, 74/18(b), 72/40, 74/21, 74/50(c), 71/18, 71/42 and 57/6(c). It also reflects the discussions held in Montreal during the Inter-Agency Coordination Meeting from 5 to 7 September 2017. 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, HCFC investment, demonstration projects and enabling activities to facilitate the early ratification of the Kigali Amendment. The countries' needs have been calculated based on approved HPMPs and based on reported HCFC Baseline consumption.

In 2018, UNIDO will submit for approval by the Executive Committee forward commitments amounting to USD 48.5 million. New activities are focusing mainly on HCFC phase-out, demonstration projects, enabling activities and the renewal of institutional strengthening projects with a total value of USD almost 8.6 million (including Core Unit Funding). In addition, USD 1,293,900 is earmarked for the preparation of Stage II HPMPs in 2018. As listed in the business plan, about 86 % (USD 50.5 million) of UNIDO's 2018 Business Plan is focusing on the phase out of HCFCs.

Decision 79/41 has maintained the administrative cost regime adopted by Decisions 67/15, namely 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 2018-2020 have been budgeted based on a maximum 0.7 % increase. Thus, USD 2,083,870 has been allocated in the 2018 Business Plan for the Core Unit for the year 2018.

The total amount foreseen in UNIDO's 2018 Business Plan, including forward commitments, new investment, non-investment activities, project preparation and funding of core unit is USD 58,371,062 including support costs and with an impact of 881 ODP tonnes.

USD 61,674,868 worth of projects are earmarked for 2019 with an impact of 724 ODP tonnes, while for 2020 USD 53,855,635 with an impact of 801 ODP tonnes are forecasted.

A. MULTILATERAL FUND TARGETS

1. CONTEXT

UNIDO prepared its business plan for 2018 to 2020 based on ExCom Decisions 79/46, 78/3(g), 77/27(c), 75/3(b)(i), 74/50, 74/18(b), 72/40, 74/21, 74/50(c), 71/18, 71/42 and 57/6(c). as well as the Government requests received from Article 5 countries. An inter-agency coordination meeting was held between 5 and 7 September 2017 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. In addition, the Kigali Amendment of the Montreal Protocol and related ExCom decisions also had an important impact on UNIDO's planning.

As agreed with the Secretariat, activities which were part of UNIDO's 2017 business plan, but could not be submitted either to the 79th or to the 80th Meeting of the Executive Committee, are reflected in the present business plan. Furthermore, any projects submitted to, but not approved at the 80th Meeting should be added afterwards to the 2018 Business Plan.

During the 2018-2020 business plan cycle, UNIDO also foresees the implementation of trust fund projects (e.g. Argentina, China, Libya, Mexico) and continued strong cooperation with donor countries, particularly with Italy and Spain.

2. RESOURCE ALLOCATION

In 2018, UNIDO is planning to submit USD 56.3 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 2.08 million.

HCFC phase-out activities form large part of UNIDO's 2018 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 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.

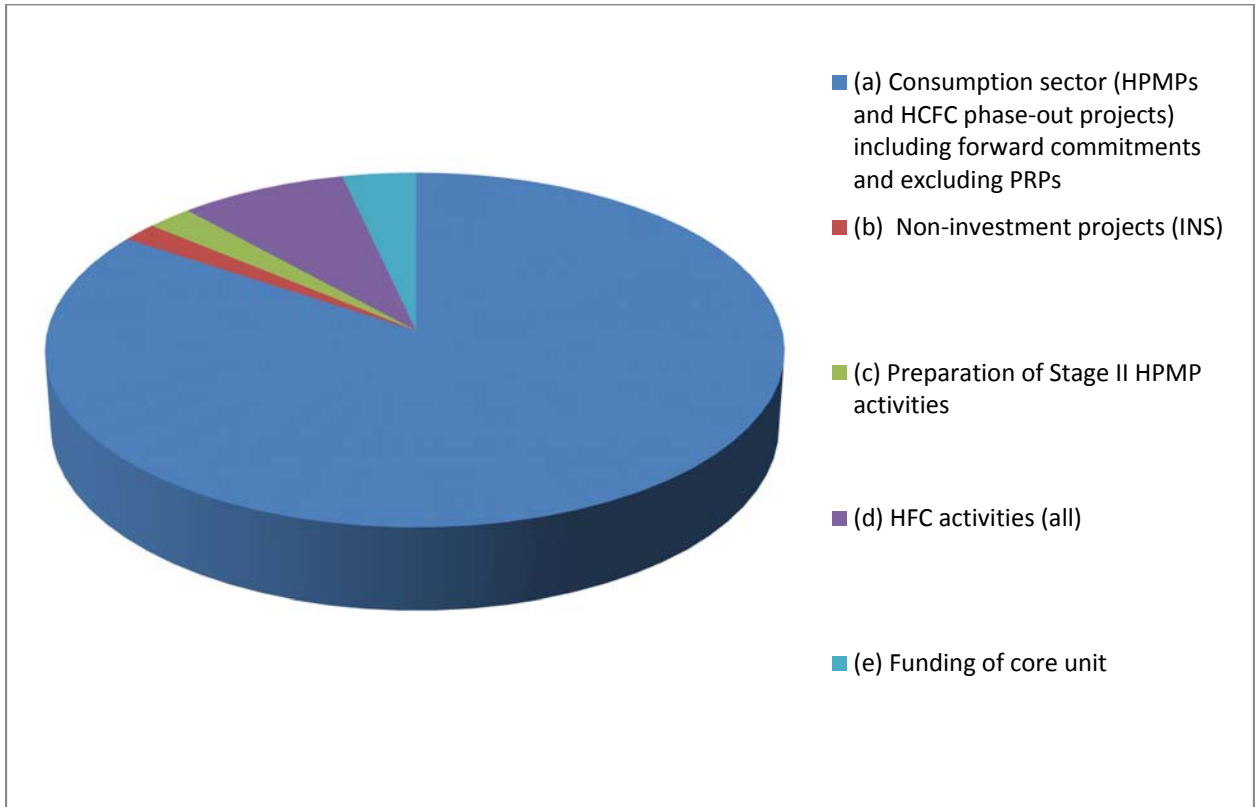
Furthermore, renewal of institutional strengthening projects also form part of UNIDO's 2018-2020 Business Plan.

The total budget for 2018 for the above activities is USD 56,287,192 plus USD 2,083,870 core unit funding for UNIDO. Table 1 below summarizes the resource allocation of UNIDO's 2018 Business Plan.

Table 1: Resource allocation

Pos.	Type/sector	Value (\$) Incl. support costs	Share of Business Plan allocation (%)
(a)	Consumption sector (HPMPs and HCFC phase-out projects) including forward commitments and excluding PRPs	49,229,599	84.3
(b)	Non-investment projects (INS)	1,002,080	1.7
(c)	Preparation of Stage II HPMP activities	1,293,900	2.2
(d)	HFC activities (all)	4,761,613	8.2
(e)	Funding of core unit	2,083,870	3.6
	Total	58,371,062	100

Resource Allocation as per Table 1



The details of the 2018-2020 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 (Democratic People's Republic of Korea and Libya).

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 2018 to 2020 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.

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 2018, 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 2018 Business Plan sorted by region.

Africa

In Africa, funding requests for nine countries, with a total value of USD 5,006,836 will be submitted in 2018. 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. Furthermore, enabling activities and institutional strengthening requests will also be submitted

Asia

In Asia requests for funding for nine countries with a value of USD 35,285,585 will be submitted in 2018. This represents about 60.6 % of the total Business Plan for 2018. The main concentration will be in HPMPs, HCFC investment projects, demonstration projects, as well as preparatory assistance projects for HPMP Stage II.

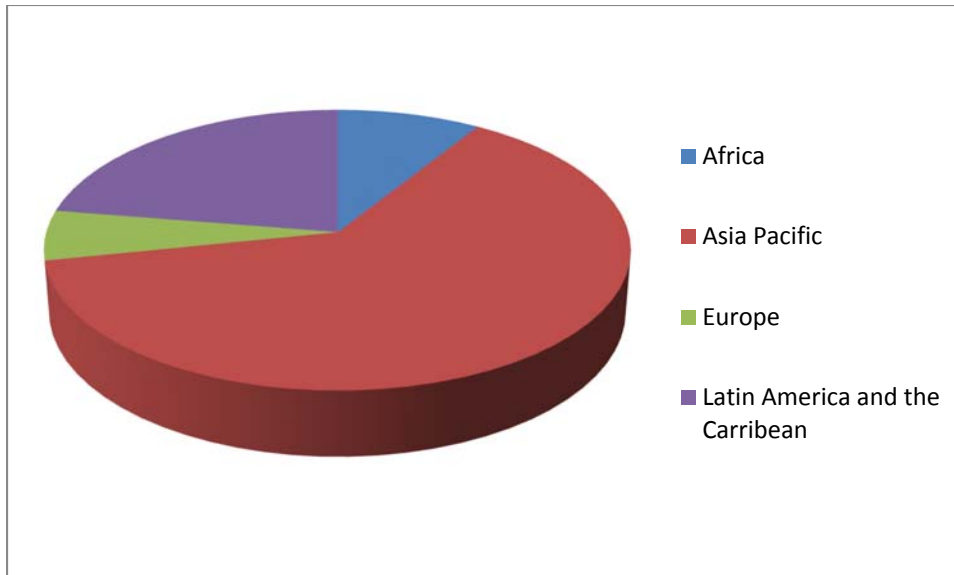
Europe

In Europe, requests for eight countries with a value of USD 3,168,197 will be submitted in 2018, targeting the phase-out of HCFCs and institutional strengthening.

Latin America and the Caribbean

In Latin America and the Caribbean Region, requests for two countries, with a value of USD 12,615,624 will be submitted in 2018. The main concentration will be in HPMPs, including Stage I and Stage II activities, demonstration projects and enabling activities.

UNIDO's 2018 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 2018
Planning--Approval	Tranches approved	Number of tranches approved vs. those planned	10	25
Planning--Approval	Projects/activities Approved	Number of projects/activities approved vs. those planned (including project preparation activities)	10	35
	Sub-total		20	
Implementation	Funds disbursed	Based on estimated disbursement in progress report	15	USD 25.3 million
Implementation	ODS phase-out	ODS phase-out for the tranche when the next tranche is approved vs. those planned per business plans	25	600 ODPt
Implementation	Project completion for Activities	Project completion vs. planned in progress reports for all activities (excluding project preparation)	20	50
	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	5	On time

Type of Indicator	Short title	Calculation	Weighting	Target 2018
		business plans and responses unless otherwise agreed		
	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