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执行蒙特利尔议定书  
多边基金执行委员会  
第五十一次会议  
2007年3月19日至23日，蒙特利尔

与多年期协定的监测和报告有关的问题( 根据第 49/6 ( E ) 和  
第 50/4 号决定采取的行动 )

执行蒙特利尔议定书多边基金执行委员会的会前文件不妨碍文件印发后执行委员会可能作出的任何决定。  
为节省经费起见，本文件印数有限。请各代表携带文件到会，不索取更多副本。

1. 执行委员会在第 49/6 号决定中要求基金秘书处“制定合适的报告格式以跟踪在年度工作方案中取得的累积进展，在标准化的概览表中提供第 47/50 号决定中所要求的信息，其中着眼于对整体的报告要求进行简化和合理化，并向执行委员会第五十一次会议作出报告”。

## 概览表

2. 秘书处经与各执行机构讨论后，制定了一个概览表草案。议定的格式载入附件一中。该概览表将代替现有的多年期协定的各期拨款的送文表。

3. 醒目字段将容纳秘书处提供的数据。表 7 至表 10 中的空白字段将容纳各执行机构提供的数据。秘书处正在创建一个数据库来收集这些数据，并促使基于网络的数据输入和磋商。这些表格的样板版本将经过测试后用于提交执行委员会第五十二次会议的多年期协定各期拨款的项目文件。另外，秘书处正在考虑为下期拨款的年度执行报告和拨款申请的制定和审议提供相关电子文件库的链接。

## 处理监测和报告执行困难的创新性方法

4. 在其第五十次会议上，执行委员会要求“基金秘书处和各执行机构在第五十一次会议上，按照针对第 49/6(e)号决定制定的文件来处理以创新性方法来监督和报告多年期协定的延期问题，包括监督和报告任何执行困难。（第 50/40(b)号决定）”。本文件的这一部分是关于解决执行困难的一个提案。

5. 在与执行委员会的协定中，各机构承诺提供半年期进展报告。在其第十七次会议上，执行委员会同意每年只须一份进展报告，但要求对出现执行延期的项目提供附加的状况和进展报告。在该次会议上，将预计完成日期比原计划日期迟 12 个月、或在项目核准后 18 个月没有任何支出的项目确定为出现执行延期的项目。

6. 在第五十次会议上，执行委员会就第 47/50(b)(ii)就活动完成日期所提项目完成日期的有关问题审议了一份文件。它还提及了第四十九次会议第 49/12(b)号决定中要求世界银行提交年度各期拨款完成日期的决定（第 49/12(b)）。正如“关于第 49/12 号决定第(b)款和第(g)款提出的项目完成日期和资金支出问题的文件”（UNEP/OzL.Pro/ExCom/50/55）指出，世界银行所提供的完成日期不能促使当前监测延期项目和多年期协定的系统妥善运作。这将使得在 2010 年或 2011 年完成日期前对这些项目进行监测变得非常困难，届时，采取任何促进执行的活动恐怕都为时已晚。

7. 多年期协定的年度执行计划中载有详细的进度报告、核查报告和工作方案。他们为执行委员会关于发放多年期协定执行的预定资金提供了基础。若实现了消费和/或生产目标，不论在前一期年度拨款中规定的活动的执行进展如何，均发放下一期年度多年期协定拨款。若当前监测延期项目的系统不能监测多年期协定的执行情况，应制定一个符合下述

原则的创新性系统：应使用监测工具来协助各机构和国家来消除多年期协定中各项活动实施的阻碍（第 47/50（b）（ii）号决定）。

8. 项目撤销程序不适用于多年期协定，因为多年期协定和大多数结束性淘汰管理计划都受处罚条款的制约，具有弹性条款，而非项目撤销程序。根据执行延期的现有决定，对于任何不受制于项目撤销规定的项目，可要求执行机构就执行困难提供附加的状况报告。多年期协定的执行困难可以使用同样的方法进行监督。在不受制于项目撤销程序的项目的审查报告中，秘书处提议，对出现执行延期或在解决延期问题上没有进展的项目，各机构应该提交一份附加的状况报告。根据现有的监测系统，各执行机构和秘书处通常对额外状况报告的必要性达成共识。在达成此共识的情况下，将对执行委员会提出该问题。执行委员会、秘书处和各执行机构通常根据在执行委员会会议当前会议上，或会议之际临时提供的信息修改对额外状况报告的建议。不论如何，应由执行委员会决定是否有必要提出额外的状况报告。

9. 对于所有机构经批准的项目和活动不再使用完成日期或年度进展报告或财务报告作为建议额外状况报告的根据，取而代之的是用新的方法来根据对年度执行方案的考虑提出建议。建议中将包括状况报告的原因，及是否就该报告达成了共识。额外状况报告将作为执行延期报告的一部分提交执行委员会的下次会议。该报告将以执行延期报告的格式提交，但以各个协定、而非年度拨款期次为基础。它将涉及自上次报告以来就建议中查明的问题所采取的行动，并对就进展、一定进展、无进展等情况进行评估。该问题应涉及某个特定的执行问题，对此问题应在下一次预定的年度执行计划提交前采取某些行动。如果有一定进展或没有进展，应向下次会议提交一个额外状况报告。不过，正在提交年度执行方案的会议无须任何年度报告。

10. 在年度进展报告数据库中对有关多边基金就多年期协定出资的所有活动和项目的备注应涉及总体协定的最近状况，包括自上次报告以来采取的行动、实现的里程碑（以及那些未实现的里程碑何时实现）以及淘汰的可持续性方面存在的风险。这样，数据库的备注栏中将载有最新信息，而财务信息将继续根据截至 12 月 31 日的账目进行纪录。

## 建议

11. 谨建议执行委员会考虑：

- (a) 注意到在 UNEP/OzL.Pro/ExCom/51/14 号文件中所载的有关多年期协定监测和报告问题的报告；并
- (b) 决定：

- (一) 执行困难是指在年度执行计划的审议中没有发现任何进展的活动；
- (二) 在多年协定中的执行困难的状况报告应基于年度执行计划的审议期间提出的各项建议；
- (三) 若相关机构没有就额外状况报告达成共识，执行委员会将决定报告的必要性；
- (四) 状况报告应以执行延期项目报告的格式成交，并应从该议程项目的角度进行审议；且
- (五) 在关于该具体问题的进展得到评估之前，或在下次年度执行方案提交之前均要提交状况报告

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**DRAFT OVERVIEW TABLES FOR MULTI-YEAR AGREEMENTS**  
**A5 Example country**

(1) PROJECT TITLE: National ODS phase-out plan

**(2) EXECUTIVE COMMITTEE APPROVALS AND PROVISIONS**

| CODE             | AGENCY      | EXCOM PROVISION   | Fulfilled | According to (Agency/ Country/ Verification/ Secretariat/ ExCom) |
|------------------|-------------|---|-----------|--|
| XY/PHA/39/INV/10 | UN Agency   | Approval  | Yes       | ExCom  |
| XY/PHA/39/TAS/05 | UN Agency   | The sub-project should not commence until the legislation controlling CFC imports is in place and measures have been taken to ensure that the local market prices of CFCs and non-ODS refrigerants are similar. Also, the subproject is approved without prejudice to the operation of the Montreal Protocol's mechanisms dealing with non-compliance issues. | Yes       | Verification   |
| XY/PHA/39/TAS/08 | UN Agency   | Approved without prejudice to the operation of the Montreal Protocol's mechanisms dealing with non-compliance issues.   | n/a       | n/a  |
| XY/PHA/39/TAS/09 | UN Agency   | Approved without prejudice to the operation of the Montreal Protocol's mechanisms dealing with non-compliance issues.   | n/a       | n/a  |
| XY/PHA/46/INV/11 | UN Agency   | Approved on the understanding that the licensing and quota system would be implemented with the utmost urgency, and without prejudice to the operation of the Montreal Protocol's mechanism for addressing non-compliance.  | no        | Agency   |
| XY/PHA/50/INV/14 | UN Agency   |   | n/a       | n/a  |
| XY/PHA/39/TRA/06 | Other IA/BA | Approved without prejudice to the operation of the Montreal Protocol's mechanisms dealing with non-compliance issues.   | n/a       | n/a  |
| XY/PHA/39/TRA/07 | Other IA/BA | Approved without prejudice to the operation of the Montreal Protocol's mechanisms dealing with non-compliance issues.   | n/a       | n/a  |

Source: Inventory

**(3) ARTICLE 7 DATA (ODP TONNES)**

| Chemical | Baseline | 1995 | 1996 | 1997 | 1998 | 1999 | 2000 | 2001 | 2002 | 2003 | 2004 | 2005 |
|----------|----------|------|------|------|------|------|------|------|------|------|------|------|
| CFC      | 40.8     | 40.3 | 40.1 | 41.9 | 46.5 | 53.1 | 61.9 | 68.8 | 49.9 | 35.0 | 36.6 | 14.3 |
| CTC      | 3.1      | 3.1  | 3.1  | 3.1  | 3.1  | 3.1  | 3.1  | 1.3  | 0.0  | 2.9  | 0.0  | 0.0  |
| Halons   | 0.0      | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  |
| MBR      | 0.0      | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  | 0.0  |
| TCA      | 0.0      | 0.0  | 0.0  | 0.2  | 0.0  | 0.0  | 0.1  | 0.1  | 0.6  | 0.1  | 0.0  | 0.0  |

Source: A7 Data from the Ozone Secretariat

**(4) LATEST COUNTRY PROGRAMME SECTORAL DATA (ODP TONNES)**

Year: 2005

| Chemical | Aerosol | Foam | Halon | Refrigeration |           | Solvent | Process Agent | MDI | Lab Use | Methyl Bromide |         | Tobacco Fluffing | Total |
|----------|---------|------|-------|---------------|-----------|---------|---------------|-----|---------|----------------|---------|------------------|-------|
|          |         |      |       | Manufacturing | Servicing |         |               |     |         | QPS            | Non-QPS |                  |       |
| CFC      |         |      |       |               | 36.0      |         |               |     |         |                |         |                  | 36.0  |
| CTC      |         |      |       |               |           |         |               |     |         |                |         |                  | 0.0   |
| Halons   |         |      |       |               |           |         |               |     |         |                |         |                  | 0.0   |
| MBR      |         |      |       |               |           |         |               |     |         |                |         |                  | 0.0   |
| TCA      |         |      |       |               |           |         |               |     |         |                |         |                  | 0.0   |

Source: Country Programme Data

**(5) PHASE-OUT (ODP TONNES)**

| Calendar year   | 2003 | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | Total | Decision       |
|---|------|------|------|------|------|------|------|-------|----------------|
| Maximum Allowable ODS Consumption (Agreement; per substance if valid) | 68.0 | 61.2 | 36.2 | 15.2 | 6.2  | 2.2  | 0.0  |       |                |
| Compliance Action Target (MOP)  | 68.0 | 61.2 | 36.2 | 15.2 | 6.2  | 2.2  | 0.0  |       | Decision XV/26 |
| Consumption Reported in implementation report submitted               | 42.0 | 36.6 | 14.3 |      |      |      |      |       |                |
| Consumption Reported in the Verification Report                       | 42.0 | 36.6 | 14.3 |      |      |      |      |       |                |
| Reduction Under Plan  |      | 6.8  |      | 21.0 | 9.0  | 4.0  | 2.2  | 68.0  |                |
| Approved Phase-Out (Inventory)  | 9.1  |      | 25.0 | 21.0 |      |      |      | 55.1  |                |
| Actual Phase-Out (2005 PR)  | 9.1  |      | 25.0 |      |      |      |      | 34.1  |                |
| Remaining Phase-Out to be Achieved                                    |      |      |      |      |      |      |      |       |                |

Source: Agreement, Inventory, Progress Report, MOP Report, Project Document (Annual Plan) and Verification Reports.

**(6a) PROJECT COSTS (US\$)**

| Calendar year                                      | 2003    | 2004    | 2005    | 2006   | 2007   | 2008   | 2009   | Total   |
|--|---------|---------|---------|--------|--------|--------|--------|---------|
| <b>UN Agency</b>                                   |         |         |         |        |        |        |        |         |
| Funding as per Agreement                           | 181,068 | 172,322 | 72,322  | 42,322 | 22,322 | 22,322 | 22,322 | 535,000 |
| Funds approved (Inventory)                         | 181,068 |         | 172,322 | 72,322 |        |        |        | 425,712 |
| Estimated Disbursement in Previous Progress Report | 85,001  |         | 0       | 0      |        |        |        | 85,001  |
| Funds Disbursed in Current Progress Report         | 66,969  |         | 0       | 0      |        |        |        | 66,969  |
| Funds Obligated in Current Progress Report         | 21,576  |         | 0       | 0      |        |        |        | 21,576  |
| Estimated Disbursement in Current Progress Report  | 54,955  |         | 30,000  | 0      |        |        |        | 84,955  |
| Disbursement as per Annual Plan                    |         |         |         |        |        |        |        |         |
| [Comments]   |         |         |         |        |        |        |        |         |
| <b>Other IA/BA</b>                                 |         |         |         |        |        |        |        |         |
| Funding as per Agreement                           | 118,125 |         |         |        |        |        |        | 118,125 |
| Funds approved (Inventory)                         | 118,125 |         |         |        |        |        |        | 118,125 |
| Estimated Disbursement in Previous Progress Report | 63,314  |         |         |        |        |        |        | 63,314  |
| Funds Disbursed in Current Progress Report         | 64,440  |         |         |        |        |        |        | 64,440  |
| Funds Obligated in Current Progress Report         | 53,685  |         |         |        |        |        |        | 53,685  |
| Estimated Disbursement in Current Progress Report  | 53,685  |         |         |        |        |        |        | 53,685  |
| Disbursement as per Annual Plan                    |         |         |         |        |        |        |        |         |
| [Comments]   |         |         |         |        |        |        |        |         |

Source: Agreement, Inventory, Progress Reports and Project Document (Annual Plan)

**(6b) SUBMISSION SCHEDULES (planned and actual)**

| Submission year as per agreement                                | 2003   | 2004   | 2005   | 2006   |
|---|--------|--------|--------|--------|
| Planned submission as per Agreement                             | Apr-03 | Apr-04 | Apr-05 | Apr-06 |
| Tranche Number  | I      | II     | III    |        |
| Revised Planned Submission (As per Submission Delays Decisions) | n/a    | n/a    | n/a    | n/a    |
| Date Approved   | Apr-03 | Jul-05 | Nov-06 | n/a    |

Source: Agreement, Inventory and Final ExCom Report Decisions

**(7) INFORMATION ON POLICIES FROM COUNTRY PROGRAMME AND VERIFICATION REPORTS**

|   | Last year covered by<br>tranche report submitted |                        |
|---|--|------------------------|
|   | Country<br>Programme                             | Verification<br>Report |
| <b>Establishing general guidelines to control import (production and export) of ODS</b> |  |                        |
| ODS Import/Export licensing or permit system in place of bulk ODSs                      | Yes  |                        |
| Regulatory procedures for ODS data collection and reporting in place                    | Yes  |                        |
| Requiring permits for import or sale of bulk ODSs                                       | Yes  |                        |
| Quota system in place for import of bulk ODSs   | Yes  |                        |
| <b>Banning import or sale of bulk quantities of:</b>                                    |  |                        |
| CFCs  | Yes  |                        |
| Halons  | No   |                        |
| Other ODSs (CTC, TCA, methyl bromide)   | Yes  |                        |
| <b>Banning import or sale of:</b>   |  |                        |
| Used domestic refrigerators or freezers using CFC                                       | Yes  |                        |
| MAC systems using CFC   | Yes  |                        |
| Air conditioners and chillers using CFC   | Yes  |                        |
| CFC-containing aerosols except for metered dose inhalers                                | Yes  |                        |
| Use of CFC in production of some or all types of foam                                   | Yes  |                        |
| <b>Enforcement of ODS import controls</b>   |  |                        |
| Registration of ODS importers   | Yes  |                        |
| <b>Qualitative assessment of the operation of RMP</b>                                   |  |                        |
| The ODS import licensing scheme functions   | Very well  |                        |
| The CFC recovery and recycling programme functions                                      | Not so well                                      |                        |

Source: Country Programme and Verification Report

**(8) IMPLEMENTATION DETAILS**

|   | Completed tranche covered by report submitted |                    |  |                     |                    |   |           | Tranche currently implemented (preliminary data) |                   |                   |         |        |                             |
|---|---|--------------------|--|---------------------|--------------------|---|-----------|--|-------------------|-------------------|---------|--------|-----------------------------|
|   | Activities                                    |                    |  | Budget              |                    |   |           | Explanations                                     | Activities        |                   | Budget  |        | Explanations                |
|   | Planned<br>(annual)                           | Actual<br>(annual) | Cumulative<br>achievement as<br>compared to<br>overall plan [%]* | Planned<br>(annual) | Actual<br>(annual) | Cumulative<br>achievement as<br>compared to<br>overall plan<br>[%]* | Carryover |  | Planned           | Actual            | Planned | Actual |                             |
| <b>Customs Training</b>                           |   |                    |  | 23,600              | 19,500             |   |           |  |                   |                   |         |        |                             |
| Train the Trainers                                | 30  | 30                 |  |                     |                    |   |           |  |                   |                   |         |        |                             |
| Training of Customs Officers                      | At least 68                                   | 80                 |  |                     |                    |   |           |  |                   |                   |         |        |                             |
| <b>Good Practices in Refrigeration</b>            |   |                    |  | 60,000              | 62,000             |   |           |  |                   | 0                 |         |        |                             |
| Train the Trainers                                | 20  | 32                 |  |                     |                    |   |           |  |                   |                   |         |        |                             |
| Training of Technicians by Trained Trainers       | 600   | 300                |  |                     |                    |   |           |  | 300               | 271               |         |        |                             |
| Strengthening vocational schools                  |   |                    |  |                     |                    |   |           |  | Yes               |                   |         |        |                             |
| <b>Refrigeration Service investment component</b> |   |                    |  |                     |                    |   |           |  |                   |                   | 45,000  |        |                             |
| Recovery & Recycling, establish R&R Centers       |   |                    |  |                     |                    |   |           |  | 3                 |                   |         |        |                             |
| Service equipment supply other than R&R           |   |                    |  |                     |                    |   |           |  | 0                 |                   |         |        |                             |
| Conversion, ...                                   |   |                    |  |                     |                    |   |           |  | 0                 |                   |         |        |                             |
| <b>Solvent Phase-Out Project</b>                  | 2.3 ODP<br>tonnes                             | 0                  |  | 45,000              | 0                  |   |           |  | 2.3 ODP<br>tonnes | 2.3 ODP<br>tonnes | 45,000  | 32,080 | The project is<br>completed |
| <b>Methyl Bromide Component</b>                   |   |                    |  | 20,000              | 18,026             |   |           |  |                   |                   |         |        |                             |
| Methyl Bromide Workshop                           | 1   | 1                  |  |                     |                    |   |           |  |                   |                   |         |        |                             |
| <b>PMU &amp; Monitoring</b>                       |   |                    |  | 10,000              | 12,500             |   |           |  |                   |                   |         |        |                             |
| <b>Unforeseen Activities</b>                      |   |                    |  |                     |                    |   |           |  |                   |                   |         |        |                             |

\*Refers to latest revision of overall plan

(9) Annual plan submitted compared to overall plan

|   | Activities               |   | Budget                   |   | Explanations |
|---|--------------------------|---|--------------------------|---|--------------|
|   | Planned (future tranche) | Cumulative achievement as compared to overall plan [%]* | Planned (future tranche) | Cumulative achievement as compared to overall plan [%]* |              |
| <b>Customs Training</b>                           |                          |   | 23,600                   |   |              |
| Train the Trainers                                | 60                       |   |                          |   |              |
| Training of Customs Officers                      | At least 100             |   |                          |   |              |
| <b>Good Practices in Refrigeration</b>            |                          |   | 60,000                   |   |              |
| Train the Trainers                                | 40                       |   |                          |   |              |
| Training of Technicians by Trained Trainers       | 300                      |   |                          |   |              |
| Strengthening vocational schools                  |                          |   |                          |   |              |
| <b>Refrigeration Service investment component</b> |                          |   |                          |   |              |
| Recovery & Recycling, establish R&R Centers       |                          |   |                          |   |              |
| Service equipment supply other than R&R           |                          |   |                          |   |              |
| Conversion, ...                                   |                          |   |                          |   |              |
| <b>Solvent Phase-Out Project</b>                  | 2.3 ODP tonnes           |   | 45,000                   |   |              |
| <b>Methyl Bromide Component</b>                   |                          |   | 20,000                   |   |              |
| Methyl Bromide Workshop                           | 1                        |   |                          |   |              |
| <b>PMU &amp; Monitoring</b>                       |                          |   | 10,000                   |   |              |
| <b>Unforeseen Activities</b>                      |                          |   |                          |   |              |

\*Refers to latest revision of overall plan

(10) EXECUTIVE SUMMARY

Narrative Executive Summary of 255 characters that assesses for the MYA what results have been achieved in the year compared to the annual and the overall plan and what milestones are planned for the following year. This would be similar to the information included in the "Remarks" Column of the annual progress report and the remarks associated with implementation delays. It would also highlight implementation difficulties encountered and actions planned to overcome them.