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执行蒙特利尔议定书  
多边基金执行委员会  
第五十二次会议  
2007年7月23日至27日，蒙特利尔

## 项目执行中的拖延

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。

## 概述

1. 本文件的提交，是根据执行委员会过去几次会议所作关于执行存在拖延的项目的决定采取的后续行动。如有要求，可向执行委员会的成员提供各双边及多边执行机构关于执行存在拖延的项目的报告，以及所要求的任何补充情况报告。

2. 本文件共分为五部分。第一部分述及按要求必须（视委员会关于执行拖延的定义而定）提交报告、并须遵守项目撤销程序的执行存在拖延的项目。第二部分述及存在履约问题的国家的拖延项目。第三部分述及按照执行委员会的要求提交、但无需遵守项目撤销程序的补充情况报告。第四部分述及拟于第五十一次会议上撤销的一个项目以及撤销可能对履约产生的影响。第五部分提出了监测存在执行拖延项目的程序及过去关于解决拖延的研究。

### 第一部分：执行存在拖延的项目

3. 被列为存在执行拖延、需要遵守委员会项目撤销程序的现行项目有 34 个。执行存在拖延的项目有：一）预计推迟完成的时间超过 12 个月的，以及/或，二）项目核准后 18 个月仍未付款的。按执行机构和双边机构分列的执行存在拖延的项目细目如下：开发计划署（7 个）；环境规划署（6 个）；工发组织（6 个）；世界银行（6 个）；法国（4 个）；德国（2 个）；意大利（2 个）和日本（1 个）。所有机构的报告均已收到，尽管缺少工发组织的三份报告。进度报告评论被用于法国和工发组织。

4. 表 1 分七个类别（A 到 G）列出了执行拖延的原因，依据的是执行机构和双边机构提供的资料。拖延原因的总数超过拖延项目的数量，因为有些项目的执行拖延是多种因素造成的。表 1 显示拖延最常由与受益企业（7）和技术原因（6）有关的因素造成。

表 1

按机构分列的执行拖延原因

		法国	德国	世界银行	意大利	日本	开发计划署	环境规划署	工发组织	总计
A	执行或落实机构			1			1	2		4
B	受益企业			4					3	7
C	技术原因			1				2	3	6
D	政府			2			1	1	1	5
E	外部原因			2				1	1	4
F	执行委员会决定						1			1
G	不适用					1				1
N/A	暂缺	4	2		2		5			13

### 解决拖延原因方面的进展

5. 执行机构和双边机构在报告中称，在解决拖延问题方面取得的进展程度各异。在第五十一次会议上被列为拖延的项目中有 7 个现已完成。

### 取得一些进展的项目

6. 有 24 个项目被列为取得了“一些进展”，执行机构和双边机构表示将继续监测这

些项目。尽管取得了进展，但须注意应继续根据第 32/4 号决定监测三年前已经核准的项目。因此，在最终完成之前，不能从监测清单中删除这些项目，无论已经取得的进展有多大。所以，建议继续进行监测。

#### 无进展项目—可能撤销的信函

7. 表 2 列出了首次报告的未取得进展且与有关机构就这种评估达成一致看法的项目。根据现有的程序，基金秘书处将根据未取得进展的情况，发出有可能撤销开发计划署和德国下列项目的通知。

表 2  
无进展的项目

机构	代码	项目名称	核准资金 净额 (美元)	支付的 资金 (美元)
德国	IRA/FOA/37/INV/152	伊朗伊斯兰共和国 Sanayeh Dashboard 在软质模塑聚氨酯泡沫塑料制造中将 CFC-11 转换为完全水基技术	185,632	133,890
开发计划署	IND/ARS/41/TAS/368	印度的计量吸入器过渡战略	30,000	0

#### 无进展但继续监测的项目

8. 表 3 显示的是一个被列为没有取得进展的项目。但是，应继续进行监测直至该国的条件有所改善、使项目执行有可能实现。不建议撤销该项目。

表 3  
无进展但继续监测的项目

机构	代码	项目名称
环境规划署	SOM/SEV/35/TAS/01	索马里国家淘汰战略的制定

#### 多年期协定

9. 执行委员会在第五十一次会议上决定，对多年期协定执行困难的监测应以审查年度执行计划期间提出的建议为基础，而不是以计划完成日期和第一次付款日期为依据。该决定所产生的结果是因执行拖延而受到监测的所有多年期协定均被从报告给第五十二次会议的项目清单中删除。但是，根据第 51/13 号决定，多年期协定可以依据本次及以后各次会议的任何建议而重新被列入执行拖延项目清单。

#### **第二部分：存在履约问题国家中有执行拖延的项目**

10. 本部分审议了作为存在履约问题国家中有执行拖延的项目而受到监测的所有项目的现状。表 5 列出了这些项目的资料以及提交给执行委员会第五十二次会议的最新资料。

表 5

## 存在履约问题国家中有执行拖延的项目

国家	缔约方会议的决定	履约问题	拖延问题和现状
波斯尼亚和黑塞哥维那	XV/30 和 XVII/28	提交 2006 年第 7 条数据以帮助审查将氟氯化碳和甲基溴分别减至 33 ODP 吨和 5.61 ODP 吨的承诺；关于建立消耗臭氧层物质进出口许可证制度的承诺的现状报告，包括配额和使用消耗臭氧层物质的设备进口禁令，以及提交 2006 年第 7 条数据以帮助审查将三氯乙酸保持在 0 ODP 吨的承诺。	拖延的项目是由工发组织执行的体制建设项目（BHE/SEV/43/INS/19），建议就此项目向第五十三次会议提交补充情况报告。拖延是由于项目文件没有得到政府批准。
厄瓜多尔	XVIII/23	提交甲基溴行动计划。	拖延的项目是由世界银行执行的示范项目（ECU/FUM/26/TAS/23），旨在测试花卉种植行业土壤处理方面的甲基溴替代物。据世界银行称，厄瓜多尔已经向臭氧秘书处提交了其行动计划，但是目前正在根据收到的评论进行订正。计划于 5 月召开会议讨论行动计划，世界银行将于会上报告成果。该项目拖延是由政府变动造成的。最近报告的情况是预计将雇请一家公司进行下一组有关向日葵的测试。
阿拉伯利比亚民众国	XV/36、XVII/37 和 XV/36	提交 2006 年数据以帮助审查将氟氯化碳减至 303 ODP 吨的承诺，报告关于建立包括配额在内的消耗臭氧层物质进出口许可证制度的承诺；提交 2006 年第 7 条数据以帮助审查将哈龙消费量减少至 653.91 ODP 吨以下、甲基溴维持在 96 ODP 吨以下以及监测使用消耗臭氧层物质设备进口禁令的承诺。	有三个拖延项目，但泡沫塑料项目（LIB/FOA/32/INV/08）已于 2007 年 5 月完成。建议就体制建设项目（LIB/SEV/32/INS/04）提交补充情况报告，因为工发组织仅报告了一次付款并且也是在最近才报告国家臭氧机构联络问题已经解决。阿拉伯利比亚民众国还未报告国家方案数据。哈龙项目停止，直至在关于有特殊报告要求的已核准项目的文件中提及可持续性计划。臭氧秘书处表示，履约委员会第三十六次会议注意到临时进口许可安排仍然是适当的，并且国家臭氧机构尚未指出永久性许可证制度已经建立。工发组织收到了来自阿拉伯利比亚民众国的信函，确定消耗臭氧层物质立法已于 1999 年生效。
尼日利亚	XIV/30	提交 2006 年第 7 条数据以帮助审查将氟氯化碳减少至 1,100 ODP 吨的承诺	报告称由日本执行的拖延项目“尼日利亚为遵守《蒙特利尔议定书》而援助国家宣传教育和传播运动”（NIR/SEV/38/TAS/104）已

国家	缔约方会议的决定	履约问题	拖延问题和现状
		并根据《蒙特利尔议定书》第4 B条第4段对所有缔约方的要求定期报告消耗臭氧层物质进出口许可证制度的运作情况。	取得了一些进展。日本报告称，2006年10月5日至6日在阿布贾举行了国家有关利益方宣传教育和传播运动问题讲习班。在讲习班成果的基础上，尼日利亚政府和环境规划署正在最后确定关于宣传教育和传播运动的战略和行动计划。 尼日利亚尚未提交其国家方案数据，因此没有有关尼日利亚实现其氟氯化碳行动计划目标的资料。开发计划署和环境规划署已经请尼日利亚提交国家方案数据，以提供资料介绍许可证制度的有效性。
巴基斯坦	XVIII/31	提交 2006 年数据以帮助审查将四氯化碳减至 41.8 ODP 吨的承诺。	巴基斯坦 Himont 化学品有限公司把用作加工剂的四氯化碳转换为 1,2-二氯乙烷是一个取得了某些进展的拖延项目 (PAK/PAG/35/INV/42)。该公司已没有四氯化碳消费，项目预计于 2007 年 12 月结束。生产车间转换合同的裁定预计是在年中。
塞尔维亚共和国	XVIII/33	提交突出的附件 B 第一类到第三类（1998 年和 1999 年）和附件 E（1995-1998 年）。	拖延的 Obod Elektroindustria 制冷项目 (YUG/REF/34/INV/13) 于 2007 年 4 月结束，但是与附件 B 和附件 E 的数据需求无关。
索马里	XVI/19、XVIII/35 和 XVIII/34	提交关于之前所提交的哈龙行动计划的现状澄清，包括缔约方为支持其拟议的哈龙消费量削减基准而将要采取的监管性措施和其他措施，以及关于建立许可证制度的报告和 2005 年数据报告。	索马里国家淘汰战略的制定 (SOM/SEV/35/TAS/01) 被拖延。不建议撤销该项目，并且随时等待该国条件有所改善而使项目执行有可能实现。2005 年数据已经报告。
乌干达	XV/43	提交 2006 年数据以帮助审查将甲基溴减少至 4.8 ODP 吨的承诺。	拖延的项目是乌干达的体制建设项目 (UGA/SEV/13/INS/02)，该项目是时间最为长久的一个体制建设项目，尽管环境规划署不断地努力，但仍然没有资金支付。乌干达还未报告国家方案数据，因此无法评估其在甲基溴行动计划方面的履约情况。
乌拉圭	XVII/39	提交 2006 年数据以帮助审查将甲基溴减少至 8.9 ODP 吨的承诺。	乌拉圭没有履行其甲基溴行动计划。拖延的项目是一个取得了一些进展的气雾剂项目 (URU/ARS/38/TAS/40)，但是与甲基溴行动计划无关。

### 第三部分：要求提交补充情况报告的项目

11. 体制建设、哈龙库、海关培训、回收和再循环及示范项目无需遵循项目撤销程序。但执行委员会仍决定酌情对其进行监测 (第 36/14 (b) 号决定)。执行机构就第五十一次会议要求提供补充情况报告的 10 个项目向第五十二次会议作了报告。要求提交此类现状报告的背景是自上次报告以来没有显示出任何进展和/或报告称出现额外的执行障碍。表 6 列出的九个项目被要求向第五十三次会议提交补充情况报告。其余项目则按照双方协定的要求撤销。

表 6

#### 要求向第五十三次会议提交的补充情况报告

代码	机构或国家	项目名称
ALG/HAL/35/TAS/51	阿尔及利亚	行业淘汰方案：哈龙库的建立
ALG/SEV/43/CPG/60	阿尔及利亚	国家方案增订的编制
CAF/REF/34/TAS/10	法国	制冷剂管理计划的执行：制定并执行税收/激励方案
CAF/REF/34/TAS/11	法国	制冷剂管理计划的执行：监测制冷剂管理计划项目的执行，包括制冷设备维修技师、氟氯化碳销售商和进口商的登记
CAF/REF/34/TRA/08	法国	制冷剂管理计划的执行：海关官员培训方案
CAF/REF/34/TRA/09	法国	制冷剂管理计划的执行：关于制冷技师良好管理做法的培训培训员方案以及针对非正规经济部门技师的培训方案
UGA/SEV/13/INS/02	环境规划署	体制建设（建立消耗臭氧层物质机构）
BHE/SEV/43/INS/19	工发组织	延长体制建设项目（第二阶段）
LIB/SEV/32/INS/04	工发组织	建立国家臭氧机构

12. 一些由法国、环境规划署和工发组织执行的项目也被要求提交补充情况报告。涉及在中非共和国的法国项目（CAF/REF/34/TAS/10&11 和 CAF/REF/34/TRA/08&09），原因是没有按要求向第五十二次会议提交报告；环境规划署在乌干达实施的体制建设项目（UGA/SEV/13/INS/02），原因是仍然没有付款；以及工发组织在波斯尼亚和黑塞哥维那实施的体制建设项目（BHE/SEV/43/INS/19），原因是项目文件没有被签署。

13. 关于两个在阿尔及利亚的被要求提交补充情况报告的项目，应注意到执行委员会已经直接从阿尔及利亚寻求关于这些项目的资料，因为作为执行机构的德国无法获得完成国家方案增订（ALG/SEV/43/CPG/60）和哈龙库项目（ALG/HAL/35/TAS/51）所需的批准。类似地，工发组织也表示难以获得阿拉伯利比亚民众国体制建设项目（LIB/SEV/32/INS/04）所需的批准。此外，工发组织无法为阿拉伯利比亚民众国氟氯化碳淘汰项目提交年度拨款，该问题已在关于年度拨款提交拖延的文件（UNEP/OzL.Pro/ExCom/52/18）中被提及，而且还是没有有关维持该国哈龙库运作的计划，这在关于有特殊报告要求的已核准项目的文件（UNEP/OzL.Pro/ExCom/52/19）中被述及。此外，阿拉伯利比亚民众国服从缔约方有关氟氯化碳、哈龙和甲基溴管制措施和行动计划的决定。谨建议执行委员会就目前在获取执行委员会核准项目执行部分所需的政府批准时遇到的困难要求与阿尔及利亚和阿拉伯利比亚民众国政府进行高级别接触。

#### 第四部分：可能的项目撤销及撤销项目对履约的影响

14. 撤销埃塞俄比亚溶剂和反应剂（四氯化碳和三氯乙酸）行业的培训和认识讲习班（ETH/SOL/45/TAS/15）可能会对履约产生一些影响。埃塞俄比亚的三氯乙酸基准是 0.5 ODP 吨。在项目获得批准时，埃塞俄比亚报告称 2001 年和 2002 年的三氯乙酸消费量为 0.4 ODP 吨。报告还说 2001 年和 2002 年的四氯化碳消费量分别为 4.4 和 43.2 ODP 吨。针对有极少或无当前消费的国家的技术援助指导方针规定，有《蒙特利尔议定书》四氯化碳和 / 或三氯乙酸基准但最近报告的消费量低于 2 ODP 吨的国家可以接受援助，条件是至少在提出供资申请前的三年内曾经有四氯化碳和 / 或三氯乙酸消费（第 45/14 号决定）。尽管原始提案符合指导方针，但埃塞俄比亚在 2003 年、2004 年和 2005 年都没有三氯乙酸或四氯化碳消费。工发组织被要求确认埃塞俄比亚政府撤销该项目的协定。工发组织表示已经请埃塞俄比亚政府予以确认但是没有收到回复。谨建议执行委员会注意埃塞俄比亚政府撤销该项目的协定确认后的撤销。

#### 第五部分：监测程序和过去对执行存在拖延的项目的研究

15. 执行委员会第五十一次会议请基金秘书处在其提交给第五十二次会议的关于存在执行拖延的项目的报告中纳入有关现有程序和过去对处理存在执行拖延项目的研究的部分（第 51/14 (k) 号决定）。

16. 附件一显示的是执行委员会的决定，这些决定确立了当前存在执行拖延项目的监测体系。

17. 有三类项目作为存在执行拖延的项目受到监测：

- (a) 以年度拨款申请评估为基础的多年期协定；
- (b) 遵循项目撤销程序的项目；及
- (c) 基于提交补充情况报告的要求而开展的所有其他项目和活动。

18. 多年期协定作为存在执行拖延的项目受到监测，直到执行委员会第五十一次会议通过新的程序决定多年期协定的现状不再取决于计划完成日期拖延了 12 个月或第一次付款拖延了 18 个月而是执行困难，即在年度执行计划审查中没有发现进展的活动。在存在执行拖延的项目方面，将继续对现状报告进行监测，并且应继续提交多年期协定现状报告直至进展得到评估或提交了下一份年度执行计划（第 51/13 (b) 号决定）。

19. 除体制建设、哈龙库、海关培训、回收和再循环及示范项目外的所有项目若其计划完成日期推迟了 12 个月或项目核准后 18 个月仍未付款，则将被撤销。如果出现了这两种情况中的一种，请执行机构向下一次执行委员会会议提交报告。如果在下一次会议召开时仍没有报告进展，则将向相关国家或机构发出可能撤销的信函。如果在接连两次会议期间没有报告进展，则确定一个阶段性目标以及由相关国家彼此商定的最后期限。如果没有实现阶段性目标，则撤销该项目。

20. 如果在项目核准后的前三年内取得了进展，那么曾经被归类为存在执行拖延的项目就可以从清单中撤销。但是，每一次会议都会对所有被归类为存在执行拖延且已超过三年的项目进行监测，直至项目完成或撤销。

21. 不遵循撤销的项目（体制建设、哈龙库、海关培训、回收和再循环及示范项目）在

年度进度报告中受到监测。确定有执行困难的项目会通过补充情况报告进一步进行监测，对补充情况报告的要求会一直持续到提交下一份年度进度报告。委员会可在论及项目的任何一次会议上对这些项目采取行动。

22. 一般情况下，执行机构会将执行拖延作为其正常运作的一部分。但是，因为委员会与执行缓慢有关的质询和决定以及基金秘书处对于进度报告提出问题所产生的压力，执行拖延程序有助于消除障碍和解决拖延。执行委员会的通知是具有影响的，因为委员会有权选择撤销项目，方式是逐渐加大压力直至确定阶段性目标和最后期限，这也可以导致自动撤销。委员会只自动撤销了极少数的项目，大部分项目还是通过双方协定撤销的。

### 以前的研究

23. 执行委员会已要求提交多份关于与存在执行拖延项目有关的问题的报告。有一些被纳入关于存在执行拖延项目的文件（提交给每一次会议），而其他的则作为独立文件编写。

#### 包含在关于存在执行拖延项目的文件中的研究/分析

24. 执行委员会第二十一次会议确定了执行拖延的原因并在之后的多次会议上对其进行审议。拖延的主要原因如下：

- (a) 受惠方改变项目说明；
- (b) 企业避免执行其项目，直至竞争者的项目获得核准或政府规章生效；
- (c) 投标程序导致的更高成本；
- (d) 在达成技术转让协定方面遇到困难；
- (e) 延长的合同谈判；
- (f) 技术方面的变动；
- (g) 估定吨位的不同；及
- (h) 赠款协定结束（第 22/62 号决定）。

25. 对这些问题审议的结果是委员会特别决定要保持关于存在执行拖延项目的观察情况报告（第 23/4 号决定）。

26. 执行委员会第二十四次会议请秘书处分析具体的拖延类型（例如税收、分摊费用/对应捐助、对应方合作以及东南亚金融危机）。委员会根据分析（UNEP/OzL.Pro/ExCom/24/11）决定，如果在有关国家内存在妨碍积极和及时执行项目的政策性障碍，执行机构则不应为该国提出任何提案。此外，如果为确保项目的执行需要对应出资，执行机构在提交项目之前应该确知对应出资已经到位，以便避免在项目执行中出现拖延（第 24/49 号决定）。

27. 秘书处在其提交给第二十五次会议的报告中述及与破产和所有权转让有关的问题，委员会特别请执行机构在编制项目提案时对公司的财务生存能力进行一定的初步甄别。委员会还请执行机构根据各执行机构和臭氧机构提出的建议并经执行委员会审批，在适当时间内出售或重新调度设备（第 25/3 号决定）。



28. 秘书处在提交第二十六次和第二十七次会议的报告（UNEP/OzL.Pro/ExCom/26/5 和 UNEP/OzL.Pro/ExCom/27/11）中提及撤销标准。委员会特别决定，如果在接连两次会议期间没有报告进展，则撤销该项目（第 26/2 号决定）。委员会还决定敦促第 5 条国家加快海关过关程序并请执行机构解释为在今后的项目提案中预防海关过关问题而采取的措施（第 26/3 号决定）。

29. 秘书处在提交第三十二次会议的报告（UNEP/OzL.Pro/ExCom/32/7）中介绍了拖延原因的类别。在提交第三十五次和第三十六次会议的报告（UNEP/OzL.Pro/ExCom/5/15 和 UNEP/OzL.Pro/ExCom/36/15）中提及了拖延的根本原因。委员会第三十六次会议特别决定，将体制建设、哈龙库、海关培训、回收和再循环及示范项目从存在执行拖延的项目清单中撤销，但继续酌情对其进行监测（第 36/14 号决定）。

30. 秘书处在提交第三十九次会议的报告（UNEP/OzL.Pro/ExCom/39/17）中添加了关于执行拖延项目及履约的部分。

31. 秘书处提交执行委员会第四十六次会议的报告（UNEP/OzL.Pro/ExCom/46/18）特别纳入了关于今后如何根据第 45/59（e）号决定避免拖延的资料，其中提及了拖延的各个类别。

#### 针对与执行拖延有关问题的个别研究/分析

32. 除了关于执行拖延的文件所包含的有关问题的报告，委员会还要求提交文件以外的报告。

33. 在审议了有关撤销项目的后果的文件后，委员会第二十九次会议决定（UNEP/OzL.Pro/ExCom/29/8）：

- (a) “出于以下理由被撤销的项目不得再向多边基金申请任何资助：所有权被转移给某个非第 5 条国家或破产；
- (b) 出于某些其他理由被撤销的项目可以向多边基金重新申请资助，根据在个案基础上做出的新决定，申请数额不得超过原核准数额。这些其他理由的例子包括：公司请求撤销/财务状况；项目持续拖延（在确认原来的拖延原因已经消除后方可再次提出申请）；受援企业缺乏反应。
- (c) 如根据上文分段（b）允许重新提出申请，申请不得在撤销项目后 24 个月内提出。此外，可以按个案方式审议根据上文分段(b)提出的第二次项目编制申请的合格增支费用，但申请的费用数额不得超过原项目编制经费的 30%（第 29/8 号决定）。”

34. 向第三十二次会议提交了一份有关结清项目编制账目的文件（UNEP/OzL.Pro/ExCom/32/8）。委员会依据此文件特别决定通过项目编制活动指导方针，其中要求这些活动在 12 个月之内完成。如果项目编制活动超过 12 个月，应该附上一份说明（第 32/5 号决定）。

35. 第三十八次会议审议了一份根据国家履约情况的项目撤销文件（UNEP/OzL.Pro/ExCom/38/11）。委员会依据此文件授权秘书处执行可能导致自动撤销项目的项目撤销程序，除非秘书处与有关执行机构无法就撤销项目达成一致意见，或所涉项目对

于现在或将来执行《蒙特利尔议定书》的控制措施具有关键意义（第 38/8 号决定）。

36. 监测和评估各机构在多年期协定方面所取得进展的新的备选方案已提交第四十七次会议（UNEP/OzL.Pro/ExCom/47/54）。执行委员会依据此文件请秘书处继续根据有关执行拖延和余额的文件对年度拨款进行监测。委员会注意到，这些监测工具似乎促进了阻碍项目完成障碍的消除并且使给予第 5 条国家的核准资金的最后支付更加及时（第 47/50 号决定）。

37. 委员会第五十次会议审议了与项目完成日期和资金支付有关问题的文件，这些问题在第 49/12 号决定（b）段和（g）段中被提出。会议还请基金秘书处和各执行机构向第五十一次会议报告这一事项（第 50/40 号决定）。在此次会议上，执行委员会依据文件 UNEP/OzL.Pro/ExCom/51/14 决定修改存在执行拖延的项目中的多年期协定审议方式（第 51/13 号决定）。

## 建议

38. 谨建议执行委员会审议：

（a）注意：

（一）赞赏法国、德国、意大利、日本和四个执行机构提交给秘书处的关于存在执行拖延问题项目的现状报告（UNEP/OzL.Pro/ExCom/52/17）；

（二）注意到秘书处和各执行机构将根据秘书处对现状的评价（有进展、有些进展或无进展）采取既定行动，根据要求报告和通知各国政府和各执行机构；

（三）完成 34 个项目中被列为执行拖延的 7 个项目；

（四）向以下项目发出可能撤销的信函：

机构	代码	项目名称
德国	IRA/FOA/37/INV/152	伊朗伊斯兰共和国 Sanayeh Dashboard 在软质模塑聚氨酯泡沫塑料制造中将 CFC-11 完全水基技术
开发计划署	IND/ARS/41/TAS/368	印度的计量吸入器过渡战略

（b）就目前获取执行委员会核准项目执行部分所需的政府批准时遇到的困难要求与阿尔及利亚和阿拉伯利比亚民众国政府进行高级别接触；

（c）要求就本文件附件二所列项目提交补充情况报告；以及

（d）注意埃塞俄比亚溶剂和反应剂（四氯化碳和三氯乙酸）行业培训和认识讲习班（ETH/SOL/45/TAS/15）的撤销，有待埃塞俄比亚政府对协定的确认。

## Annex I

Original: 22 March 2002

Revised: 7 October 2002

Revised: 13 June 2007

**OPERATIONAL GUIDELINES FOR IMPLEMENTATION DELAYS****Background**

1. Decision 23/4 requested the Sub-Committee on Monitoring, Evaluation and Finance “to maintain a watching brief on project implementation delays”. This document summarizes the Executive Committee’s previous decisions and provides guidelines for reporting on project implementation delays.

2. At its 22<sup>nd</sup> Meeting, the Executive Committee defined slow disbursement and delays in project implementation as projects where no disbursement had occurred 18 months after the date of approval of a project or projects that had not been completed 12 months after the proposed completion date in the progress report of the agencies (decision 22/61).

3. Decision 22/61 requested that a full explanation of the reason for the delay should be submitted to the meeting of the Executive Committee.

4. Decision 26/2 endorsed the following procedures for project cancellation:

- (a) First, that projects can be cancelled through mutual agreement among the implementing agencies, the government concerned and the beneficiary enterprise where applicable. Agencies should indicate their proposed cancellations to the Executive Committee through their annual progress reports and/or reports on projects with implementation delays, bearing in mind the definition of project implementation delays adopted at the 22<sup>nd</sup> Meeting by decision 22/61;
- (b) Second, that projects with implementation delays identified by the Executive Committee at its second meeting in each year could be considered for cancellation if the following two criteria were met:

Criterion 1: If no progress is reported after a project has been classified in the latest progress report as having an implementation delay, the Secretariat (on behalf of the Committee) may, at the meeting following classification, issue a notice of possible cancellation of the project to the implementing agency concerned and the recipient country government.

Criterion 2: If no progress is reported to two consecutive meetings of the Executive Committee for a project classified as having an implementation delay, the Committee may, taking into account the response to the notice of possible cancellation, decide on cancellation of the project on a case-by-case basis.

5. Decision 32/4 indicated that projects which should be considered for cancellation in accordance with the Executive Committee’s project cancellation guidelines as per decision 26/2 include:

- (i) projects which have made no progress;
- (ii) projects approved more than three years previously, which have not moved from one milestone to another, the delay in which has not been clearly removed, or

which have experienced additional implementation delays, and which, despite additional actions taken by the agency, government or beneficiary, still experience implementation delays.

6. At its 35<sup>th</sup> Meeting, the Executive Committee considered projects that had reported ‘no progress’ for two consecutive meetings. It decided to request implementing agencies to establish a new deadline for the next project milestone to be achieved in moving these projects forward, in full consultation with the governments concerned. If that deadline expired and no progress had been achieved, the government and company concerned understood that the project would automatically be cancelled and the ODS phase-out from the cancelled project would be credited to the remaining ODS consumption accordingly (decision 35/13(d)).

7. Implementing agencies are requested to provide a project milestone to be achieved before the next Executive Committee Meeting for projects classified with ‘no progress’ for two consecutive meetings.

#### **Format for Reporting Implementation Delays**

<b>Code</b>	<b>Agency</b>	<b>Projects title</b>	<b>New progress to be reported to the 37<sup>th</sup> ExCom Meeting</b>	<b>Assessment: "Progress" "Some progress" "No progress"</b>	<b>Category of delay (A, B, C, D, E, F)</b>

8. At its 51<sup>st</sup> Meeting, the Executive Committee decided that implementation difficulties were to be defined as activities for which no progress was detected in the context of the review of annual implementation plans and that status reports on implementation difficulties in MYAs should be based on recommendations made during the review of annual implementation plans (decision 51/13(b)(i) and (b)(ii)). On this basis, delays in MYAs were no longer determined on the basis of either 12 months of delays in planned completion dates or 18 month delays in first disbursements.

9. In cases where additional status reports on MYAs were not agreed by the agency concerned, the Executive Committee would determine if a report was required (decision 51/13(b)(iii)).

10. Status reports would continue to be monitored in the context of projects with implementation delays as the Committee indicated that “status reports should be presented in the format of projects with implementation delays and should be considered in the context of that agenda item” (decision 51/13(b)(iv)).

11. Status reports on MYAs should continue to be submitted until progress on the specific issue had been assessed by the Committee or until the next annual implementation plan was submitted (decision 51/13(b)(v)).

### Definitions of Terms for Reporting Implementation Delays

**Agency:** The name of implementing agency, e.g., UNDP - United Nations Development Programme; UNEP - United Nations Environment Programme; UNIDO - United Nations Industrial Development Organization; IBRD - World Bank; and the name of country for bilateral agencies.

**Assessment:** Implementing agencies were asked to assess whether or not projects that have had implementation delays had experienced any progress since their last report on implementation delays. Assessment is classified into the following three categories:

Assessment	Definitions
Progress	There was clear evidence that there had been progress from one milestone to another or that the implementation delay had been removed.
Some progress	Decision 32/4 redefined “some progress” as follows: (a) Institutional strengthening projects, which had not moved from one milestone to another, the delay in which had not been clearly removed or the project had additional delays. (b) Projects that were approved within the last three years for which there was no clear movement from one milestone to another; the implementation delay had not been clearly removed; and/or there had been additional delays in implementation despite additional actions taken by the agency, the government or the beneficiary. (c) Projects which had been approved more than three years previously and had been classified as experiencing implementation delays should remain on the list of projects for continued monitoring.
No progress	Projects that are experiencing implementation delays that have not moved from one milestone to another. Please note that institutional strengthening projects cannot be classified under ‘no progress’.

**Category of delays:** Implementing and bilateral agencies should categorise the causes for implementation delays according to seven categories (A through G). If more than one reason was provided, the cause of the delay was assigned to category A, to indicate, where possible, firstly, if the delays were caused by the agency, then the enterprise, etc.

Category	Definitions
A	<u>Due to implementing agency delays:</u> Delays are generally related to scheduling difficulties, availability of consultants, internal processes leading to the signature of grant/sub-grant agreements, and difficulties with financial intermediary or executing institution, etc.

B	<u>Due to enterprise delays</u> : Reasons for delays include the time taken by the enterprise to endorse equipment specifications, to conduct additional product quality trials, to complete local works, change in technology, safety and for different management to review the project, etc.
C	<u>Due to technical reasons</u> : Delays for technical reasons include equipment order backlogs, time needed to repair equipment not functioning properly, and unavailability of the alternative substance, etc.
D	<u>Due to government delays</u> : Reasons for delays include staggered implementation schedules imposed by governments to prevent market distortions, the lack of the required pre-conditions for project implementation and slow implementation by the NOU, etc.
E	<u>Due to external factors</u> : Reasons for delays generally relate to market and/or economic conditions in the country.
F	<u>Due to Executive Committee approval conditions</u> : The establishment of pre-conditions for implementation by the government (Category D) is related to delays caused by Executive Committee decisions (Category F). The Committee's decision on disallowing the disbursement of Fund resources for financial transfer to governments in the form of customs duties has caused some countries to require additional measures to enable duty-free imports.
G	<u>Not applicable</u> : This category usually applies to projects that are completed or agreed to be cancelled and therefore there is no further reason for delay

**Code:** The project number that is assigned to the project in the Multilateral Fund (MLF) Secretariat's Inventory of Approved Projects. The code should include the following information: Country Code, Sector Code, Meeting Number, Type, and Inventory Number. An example of a project number is as follows: ARG/REF/18/INV/118. This sample project number is for a project approved for Argentina in the domestic refrigeration sector at the 18<sup>th</sup> Meeting of the Executive Committee. It is an investment project, and the 118<sup>th</sup> project/activity approved by the Executive Committee for Argentina. The Inventory number used internally by the individual implementing agencies should not be used.

**New progress to be reported to the 37<sup>th</sup> Meeting of the Executive Committee:** Implementing agencies should specify progress achieved towards the goals of projects/activities. Reasons for any additional delays should be presented in this section.

**Project title:** The title listed in the approval recorded in the report of the Meeting of the Executive Committee at which the project was approved. Project title should include name of enterprises and/or sub-sector. If several enterprises are represented by one approval, individual enterprises may constitute one project or could be grouped by sub-sector and all information required for a data base entry should be provided.

Annex II

**PROJECTS FOR WHICH ADDITIONAL STATUS REPORTS ARE REQUESTED**

<b>Code</b>	<b>Agency or Country</b>	<b>Project title</b>
ALG/HAL/35/TAS/51	Algeria	Sectoral phase out programme: establishment of a halon bank
ALG/SEV/43/CPG/60	Algeria	Development of a country programme update
CAF/REF/34/TAS/10	France	Implementation of the RMP: development and implementation of a tax/incentive programme
CAF/REF/34/TAS/11	France	Implementation of the RMP: monitoring the activities of the RMP project, including registration of refrigeration service technicians, distributors and importers of CFCs
CAF/REF/34/TRA/08	France	Implementation of the RMP: training programme for customs officers
CAF/REF/34/TRA/09	France	Implementation of the RMP: train the trainers programme for refrigeration technicians in good management practices and a training programme to address technicians in the informal sector
UGA/SEV/13/INS/02	UNEP	Institutional strengthening (establishment of the ODS unit)
BHE/SEV/43/INS/19	UNIDO	Extension of the institutional strengthening project (phase II)
LIB/SEV/32/INS/04	UNIDO	Creation of the National Ozone Unit

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Annex I

Original: 22 March 2002  
Revised: 7 October 2002  
Revised: 13 June 2007

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#### **Format for Reporting Implementation Delays**

<b>Code</b>	<b>Agency</b>	<b>Projects title</b>	<b>New progress to be reported to the 37<sup>th</sup> ExCom Meeting</b>	<b>Assessment: "Progress" "Some progress" "No progress"</b>	<b>Category of delay (A, B, C, D, E, F)</b>

8. At its 51<sup>st</sup> Meeting, the Executive Committee decided that implementation difficulties were to be defined as activities for which no progress was detected in the context of the review of annual implementation plans and that status reports on implementation difficulties in MYAs should be based on recommendations made during the review of annual implementation plans (decision 51/13(b)(i) and (b)(ii)). On this basis, delays in MYAs were no longer determined on the basis of either 12 months of delays in planned completion dates or 18 month delays in first disbursements.

9. In cases where additional status reports on MYAs were not agreed by the agency concerned, the Executive Committee would determine if a report was required (decision 51/13(b)(iii)).

10. Status reports would continue to be monitored in the context of projects with implementation delays as the Committee indicated that "status reports should be presented in the format of projects with implementation delays and should be considered in the context of that agenda item" (decision 51/13(b)(iv)).

11. Status reports on MYAs should continue to be submitted until progress on the specific issue had been assessed by the Committee or until the next annual implementation plan was submitted (decision 51/13(b)(v)).

### Definitions of Terms for Reporting Implementation Delays

**Agency:** The name of implementing agency, e.g., UNDP - United Nations Development Programme; UNEP - United Nations Environment Programme; UNIDO - United Nations Industrial Development Organization; IBRD - World Bank; and the name of country for bilateral agencies.

**Assessment:** Implementing agencies were asked to assess whether or not projects that have had implementation delays had experienced any progress since their last report on implementation delays. Assessment is classified into the following three categories:

Assessment	Definitions
Progress	There was clear evidence that there had been progress from one milestone to another or that the implementation delay had been removed.
Some progress	Decision 32/4 redefined “some progress” as follows: (a) Institutional strengthening projects, which had not moved from one milestone to another, the delay in which had not been clearly removed or the project had additional delays. (b) Projects that were approved within the last three years for which there was no clear movement from one milestone to another; the implementation delay had not been clearly removed; and/or there had been additional delays in implementation despite additional actions taken by the agency, the government or the beneficiary. (c) Projects which had been approved more than three years previously and had been classified as experiencing implementation delays should remain on the list of projects for continued monitoring.
No progress	Projects that are experiencing implementation delays that have not moved from one milestone to another. Please note that institutional strengthening projects cannot be classified under ‘no progress’.

**Category of delays:** Implementing and bilateral agencies should categorise the causes for implementation delays according to seven categories (A through G). If more than one reason was provided, the cause of the delay was assigned to category A, to indicate, where possible, firstly, if the delays were caused by the agency, then the enterprise, etc.

Category	Definitions
A	<u>Due to implementing agency delays:</u> Delays are generally related to scheduling difficulties, availability of consultants, internal processes leading to the signature of grant/sub-grant agreements, and difficulties with financial intermediary or executing institution, etc.
B	<u>Due to enterprise delays:</u> Reasons for delays include the time taken by the enterprise to endorse equipment specifications, to conduct additional product quality trials, to complete local works, change in technology, safety and for different management to review the project, etc.
C	<u>Due to technical reasons:</u> Delays for technical reasons include equipment order backlogs, time needed to repair equipment not functioning properly, and unavailability of the alternative substance, etc.
D	<u>Due to government delays:</u> Reasons for delays include staggered implementation schedules imposed by governments to prevent market distortions, the lack of the required pre-conditions for project implementation and slow implementation by the NOU, etc.
E	<u>Due to external factors:</u> Reasons for delays generally relate to market and/or economic conditions in the country.
F	<u>Due to Executive Committee approval conditions:</u> The establishment of pre-conditions for implementation by the government (Category D) is related to delays caused by Executive Committee decisions (Category F). The Committee's decision on disallowing the disbursement of Fund resources for financial transfer to governments in the form of customs duties has caused some countries to require additional measures to enable duty-free imports.
G	<u>Not applicable:</u> This category usually applies to projects that are completed or agreed to be cancelled and therefore there is no further reason for delay

**Code:** The project number that is assigned to the project in the Multilateral Fund (MLF) Secretariat's Inventory of Approved Projects. The code should include the following information: Country Code, Sector Code, Meeting Number, Type, and Inventory Number. An example of a project number is as follows: ARG/REF/18/INV/118. This sample project number is for a project approved for Argentina in the domestic refrigeration sector at the 18<sup>th</sup> Meeting of the Executive Committee. It is an investment project, and the 118<sup>th</sup> project/activity approved by the Executive Committee for Argentina. The Inventory number used internally by the individual implementing agencies should not be used.

**New progress to be reported to the 37<sup>th</sup> Meeting of the Executive Committee:** Implementing agencies should specify progress achieved towards the goals of projects/activities. Reasons for any additional delays should be presented in this section.

**Project title:** The title listed in the approval recorded in the report of the Meeting of the Executive Committee at which the project was approved. Project title should include name of enterprises and/or sub-sector. If several enterprises are represented by one approval, individual enterprises may constitute one project or could be grouped by sub-sector and all information required for a data base entry should be provided.

**Annex II****PROJECTS FOR WHICH ADDITIONAL STATUS REPORTS ARE REQUESTED**

<b>Code</b>	<b>Agency or Country</b>	<b>Project title</b>
ALG/HAL/35/TAS/51	Algeria	Sectoral phase out programme: establishment of a halon bank
ALG/SEV/43/CPG/60	Algeria	Development of a country programme update
CAF/REF/34/TAS/10	France	Implementation of the RMP: development and implementation of a tax/incentive programme
CAF/REF/34/TAS/11	France	Implementation of the RMP: monitoring the activities of the RMP project, including registration of refrigeration service technicians, distributors and importers of CFCs
CAF/REF/34/TRA/08	France	Implementation of the RMP: training programme for customs officers
CAF/REF/34/TRA/09	France	Implementation of the RMP: train the trainers programme for refrigeration technicians in good management practices and a training programme to address technicians in the informal sector
UGA/SEV/13/INS/02	UNEP	Institutional strengthening (establishment of the ODS unit)
BHE/SEV/43/INS/19	UNIDO	Extension of the institutional strengthening project (phase II)
LIB/SEV/32/INS/04	UNIDO	Creation of the National Ozone Unit

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