



联合国



环境规划署

Distr.
GENERAL

UNEP/OzL.Pro/ExCom/54/57
29 February 2008

CHINESE
ORIGINAL: ENGLISH

执行蒙特利尔议定书
多边基金执行委员会
第五十四次会议
2008年4月7日至11日，蒙特利尔

关于执行委员会运作问题的报告（第 53/40 号决定）

秘书处通过本文件重新提交关于执行委员会运作问题的报告（UNEP/OzL.Pro/ExCom/53/63）。这样做是为了便利继续讨论执行委员会明年应举行会议的次数的问题，委员会在第五十三次会议上曾讨论过这一问题，并决定推迟到第五十四次会议上作决定。重刊此文尤其是为了便利那些在 2008 年加入执行委员会的新成员。

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。

一. 导言

1. 这份最新情况报告是秘书处根据执行委员会的决定（第 50/41 号决定）提交的，该决定要求“在执行委员会第五十三次会议上参照第十九次缔约方会议提供的指导意见，重新讨论执委会的会议次数问题”。因此，该决定要求执行委员会主席寻求第十九次缔约方会议的认可，来改变执委会的职权范围，使其能够灵活地改变举行会议的次数。

2. 自 2004 年的第四十四次会议以来，每年的会议次数问题就一直在执行委员会的议程上。秘书处就此编写了三份讨论文件；第一份文件（UNEP/OzL.Pro/ExCom/44/69）是提交第四十四次会议的文件，探讨了把执行委员会的会议次数从三次减为两次的可能性，并讨论了有无可能在每年举行两次会议的情况下建立一个休会期间项目审批程序；第二份文件（UNEP/OzL.Pro/ExCom/45/48）于 2005 年提交第四十五次会议，对减少会议次数的做法进行了财务上的评估；第三份文件（UNEP/OzL.Pro/ExCom/50/56）于 2006 年提交第五十次会议，对执行委员会工作量进行了最新评估，并提出了一系列问题供执委会讨论，其中包括有无必要由缔约方会议修正执行委员会的职权范围。

3. 第十九次缔约方会议在第 XIX/11 号决定中规定，给予执行委员会“自行决定每年举行两次还是三次会议的灵活性”，从而为执行委员会改为每年举行两次会议消除了法律障碍。现在有待回答的问题是，是否可以在每年举行两次会议，而不是三次会议的情况下处理执行委员会的工作量。

4. 为了回答这个问题，本文首先探讨了当前各项方案的现状。然后，本文讨论了第十九次缔约方会议第 XIX/6 号决定对执行委员会的工作量产生的影响，特别是在今后两年的影响。本文以此为基础提出了若干备选办法供执行委员会考虑。

二. 当前各项方案

5. 为了分析执行委员会的工作量，秘书处为提交第四十四次会议的第一份文件制定了一个方法，其中结合采用了数量指标和质量指标。这个方法在一切可能的情况下用量化数字，例如体制建设项目的数字，来评估工作量。对那些无法量化的活动，对其给予了“高”或“低”的评级，并在“说明”栏中予以简短解释。为了评估任务的复杂性，所适用的标准取决于是否可以得到既定政策和准则。如果存在明确的政策和准则，例如单个项目的供资资格，复杂性被定为“低”，如果准则仍在制定当中，复杂性则被定为“高”。

6. 附件一提供了最新资料，显示 2006 年 11 月第五十次会议以来发生的变化。该附件显示，多边基金当前开展活动的几乎所有领域都有明确的准则和政策。唯一的例外是需要继续完善和精简对当前的多年期协定的监测工具，以便及时提供协助来减少违约情况。

7. 其他有待供资的活动主要是执行委员会尚未审议的低消费量国家最终淘汰管理计划项目，这些项目估计有 53 个，包括将提交第五十三次会议的 22 个。其余的供资成分将包括 150 个执行中的多年期协定的年度档、每年的大约 70 个体制建设项目、以及 2007 年工

作方案中的大约 107 项活动，其中大部分是为氟氯烃调查进行的项目编制活动。

8. 正如提交第五十次会议的文件所解释的那样，在衡量执行委员会的工作量时，必须区分秘书处的工作量和执行委员会的工作量。费时费力，因此增加了执行委员会会议工作量的是政策、项目或方案引起的悬而未决问题。例如，向某次会议提交的 100 个项目提案衡量的是秘书处的工作量，因为秘书处必须审查每一个方案，并制定提交执行委员会的建议。如果在秘书处审查之后，只有两个项目有悬而未决问题，由秘书处建议予以个别审议，这两个项目将构成执行委员会会议上的项目审批工作量，因为它们会导致成员国之间长时间交换意见，还可能需要执行机构和秘书处提供协助。虽然其他 98 个项目是由一揽子核准的决定集体处理，但这两个项目会花费很多时间。

9. 然而，在这些数字背后，是多边基金需要克服挑战，来提供及时的协助，以避免各国陷入违约。这一挑战在 2008 年特别严峻，因为届时将获悉 2007 年把 CFC 削减 85% 的管制措施所取得的成果。因此，无论任何在 2008 年仅举行两次会议的计划，都必须包括一个机制，用以在闭会期间满足提供援助的迫切需要。执行委员会的业务规则当中有一个在闭会期间处理供资申请的现行程序。提交第四十四次会议的文件也讨论了这个程序，并讨论了以事先决定的对主任的授权程度为基础建立一个闭会期间审批程序的可能性。

三. 第十九次缔约方会议第 XIX/6 号决定产生的影响

10. 缔约方会议第 XIX/6 号决定授权执行委员会制定供资准则，以根据经过调整的时间表加速第 5 条国家淘汰氟氯烃生产和消费的速度。正如题为“评估和确定氟氯烃消费和生产淘汰活动合格增支费用的备选办法（执行第 52/4 号决定）”的文件（UNEP/OzL.Pro/ExCom/53/60）所述，有一系列困难问题有待解决，例如：供资资格的截止日期；第二阶段改造；在衡量淘汰活动的成本效益时除了考虑到对臭氧层的保护之外，还把气候收益和环境影响的成本效率考虑在内的必要性。秘书处提议进行更多的技术性工作，以协助执委会找到解决办法，但与此同时也应该意识到，执行委员会成员为了就这些办法达成协议，可能需要长时间的讨论和谈判。如果进展情况符合计划，即，拟议由秘书处（征得执行委员会同意）召集的专家组在技术层面取得了良好的进展，而且执行委员会在 2008 年第二次会议之前经过讨论，以协商一致方式就困难问题做出了决定，那么，执行委员会可以就氟氯烃淘汰活动的供资问题制定出基本政策框架，并将做好准备来指示各执行机构开始编制氟氯烃淘汰管理计划、淘汰项目和方案。

11. 这对执行委员会在 2008 年的工作量带来的影响是，如果第五十四次会议无法解决氟氯烃供资准则问题，执委会可能需要在年中的某个时间举行会议，讨论这些问题。如果执委会决定改为举行两次会议，对氟氯烃问题的审议时间将大致相当于传统上在三次会议的格局下举行第二次会议的时间，只不过这次举行的是一次关于氟氯烃的专门会议。这可能意味着较短的议程、较短的持续时间和较少的文件。

12. 然而，秘书处希望指出，无法有意义地评估氟氯烃供资方案在 2009 年以后对执行委员会的工作量产生的影响，因为这在很大程度上取决于执委会关于供资政策的审议结果，

包括取决于各国编制氟氯烃淘汰管理计划以及其他活动，例如氟氯烃调查的速度，并取决于是否可以得到替代技术、供资重点和模式（个别项目、部门/全国淘汰计划）以及执行机构和秘书处的执行能力。这还取决于氟氯烃供资方案的执行速度和在每年的大致规模。一旦在今后一、两年建立了关于氟氯烃淘汰活动的供资政策框架，所有这些问题都应变得更为清晰，届时将有可能更好地评估执行委员会每年的工作量，随后决定在 2009 年之后每年举行会议的次数。

四. 备选办法

2008 或 2009 年

备选办法一：

13. 维持每年举行三次会议的现状。

备选办法二：

14. 按固定时间表举行两次常会（第一次会议：3 月/4 月；第二次会议：10 月/11 月），并保留在必要情况下于年中举行一次讨论专门问题的第三次会议的可能性。

15. 表 1 分析了这两个备选办法的优缺点：

表 1

	优点	缺点	所需行动
办法一	<ul style="list-style-type: none"> • 避免了与变动有关的不方便，包括把三次会议的议程重新安排到两次会议方面的不方便。 • 沿用现有的项目审查和监测制度。 	<ul style="list-style-type: none"> • 每年与《蒙特利尔议定书》有关的会议次数不见减少。 • 优化工作效率的机会减少。 	<ul style="list-style-type: none"> • 无。
办法二	<ul style="list-style-type: none"> • 能够高效率地执行现有各项业务方案。 • 有可能视必需举行专门会议，例如讨论氟氯烃供资准则或任何其他问题（如闭会期间项目审批和其他事项）的专门会议。 • 专门会议(一年当中的第二次会议) 需要的议程较短，持续时间较短，文件较少。 	<ul style="list-style-type: none"> • 失去一次讨论监测和财务事项的会议。 • 把三次会议的议程重新安排到两次会议方面的不方便。 • 需要把进展情况从每年总结一次改为每年总结两次。 	<ul style="list-style-type: none"> • 为举行两次常会重新设计议程，在两次会议上都审议进度报告，在第一次会议上报告业务活动，在第二次会议上报告财务数据。（附件二载有供举例说明的议程。） • 适用现有的闭会期间审批程序，或制定一个新的程序，规定对主任的授权。

ANNEX I: UPDATED ASSESSMENT OF THE WORKLOAD OF THE EXECUTIVE COMMITTEE

Item	Burden			Complexity			Comments			
	Now	2004	2006	2007	2004	2006	2007	2004	2006	2007
Policies development and planning										
• Guideline on project eligibility	Low	Low	Low	Low	Low	Low	Generally well established: issues will arise with application of guidelines	Same as 2004	Same as 2004 and 2006	
• Resources management and allocation for business planning	High	High	High	High	High	High	Criteria to balance between the need for acceleration from approved MYAs and the need for compliance in accordance with Montreal Protocol schedule	The balance between need for acceleration and need for compliance is less compelling. The current challenge is the balance between compliance and forward-looking planning on HCFCs, ODS destruction, etc.	Continued challenge in handling balance between compliance and forward-looking planning on HCFC and destruction	
• Assistance to LVCs	High	High	High	High	High	High	Replenishment of over 80 RMPs in LVC prior to 2007	Guidelines on funding TPMP approved at 45 th Meeting. Current challenge is to have about 60 TPMPs submitted and approved for assistance to LVCs beyond 2007.	Number of remaining unfunded TPMPs comes down to 53 including 22 submitted to 53 rd Meeting	
Project implementation										
• Project level monitoring	Low	Low	Low	Low	Low	Low	Well established	Well established and most of stand-alone projects are being completed.	Same as 2004 and 2006	
• MYA monitoring	High	High	High	High	High	High	Criteria under development	Guidelines on verification of national consumption targets for MYAs approved at 46 th Meeting. Further refinement and streamlining reporting and monitoring needed.	Continued need for refining and streamlining monitoring and reporting	
• Compliance monitoring	High	High	High	High	High	High	New indicators and systems needed	Revised country programme reporting format approved at 46 th Meeting to enable improved compliance monitoring. Further refinement is needed.	Continued need for refining and streamlining monitoring and reporting	
Project approvals (on an annual basis)										
• Country programme updates	4-5	4-5	0	Low	Low	Low	Well established	Same as 2004.	Same as 2004 and 2006	
• Institutional strengthening and renewals	70	70	61	Low	Low	Low	Well established	Policies and guidelines well established.	Same as 2004 and 2006	
• On-going MYAs	55	85	105	High	High	High	Criteria for monitoring under development	Guidelines on verification of national consumption targets for MYAs approved at 46 th Meeting. Further refinement and streamlining reporting and monitoring needed.	Close monitoring needed in 2008 and beyond for compliance with 85% and final phase-out	
• New MYAs & TPMPs	30	63	53 ⁽¹⁾	High	High	High	No uniform cost-effectiveness thresholds for MYAs, although with a good number of precedents	Good experience in approving MYAs in non-LVCs. Guidelines on funding TPMP approved at 45 th Meeting.	Still need attention although number has come down	
• RMPs LVC replenishment	86	20	0 ⁽²⁾	High	High	High	Criteria to be designed	Good experience in approving MYAs in non-LVCs. Guidelines on funding TPMP approved at 45 th Meeting.	Replaced by TPMPs	
• Work programmes and amendments	50	50	27	Low	Low	Low	Well established for project preparation	Policies and guidelines for project preparation well established.	Same as 2004 and 2006	

(1) Including 22 submitted to the 53rd Meeting.

(2) Converted to TPMP.

Annex I

The table above provides an update of the assessment of the workload of the Executive Committee which was included in the paper submitted by the Secretariat in 2004 and 2006. The update is shown in the column “2007” while the original is indicated in the columns “2004” and “2006”. The criteria used in the assessment remain the same and are reproduced below.

To assess the level of workload, quantification by number, such as the number of institutional strengthening projects, is provided where possible. For those activities where quantification by number is not possible, a “high” or “low” rating is given with a short explanation in the “comments” column. For the assessment of complexity, the criteria applied relate to the availability of established policies and guidelines. Where clear policies and guidelines exist, for instance for the funding eligibility of individual projects, the complexity is classified as “low”, and where the guidelines are still developing the complexity is determined to be “high”.

Annex II

ILLUSTRATIVE AGENDAS

Illustrative agenda (1st Meeting of the year)

No.	Item	Number of projects (where applicable)	Annotations (where necessary)
1.	Opening of the meeting		
2.	Organizational matters:		
	(a) Adoption of the agenda		
	(b) Organization of work		
3.	Secretariat activities.		
4.	Status of contributions and disbursements		
5.	Status of resources and planning:		
	(a) Report on balances returned from cancelled and completed projects		
	(b) Update on the implementation of the current year business plan		
	(c) Status/prospects of compliance		
6.	Programme implementation		
	(a) Evaluation reports from SMEO		As per annual work programme
	(b) Progress reports as at 31 December of previous year (operational part)		Due to the unavailability of finance data, reporting limited to operational activities
	(i) Consolidate progress report		
	(ii) Bilateral progress report		
	(iii) UNDP		
	(iv) UNEP		
	(v) UNIDO		
	(vi) World Bank		
	(c) Project implementation delays		Proposed for inclusion in the Status/prospects of compliance document
	(d) Annual tranche submission delays		Proposed for inclusion in update of the implementation of the current year business plan
	(e) Report on implementation of approved projects with specific reporting requirements		
7.	Project proposals		
	(a) Overview of issues identified during project review		
	(b) Bilateral cooperation	8	Based on 2007 data, assuming 50% be submitted to the 1 st Meeting
	(c) Work programme amendments	92*	Based on 2007 data, assuming 50% be submitted to the 1 st Meeting
	(i) UNDP		
	(ii) UNEP		
	(iii) UNIDO		
	(iv) World Bank		
	(d) Investment projects		Based on the 2007 data, assuming 50% be submitted to the 1 st Meeting
	- MYAs on-going	52	
	- MYAs new	27	
	- RMPs LVC	0	
8.	Country programmes and updates	0	Based on the 2007 data, assuming 50% be submitted to the 1 st Meeting
9.	Report of the production sector sub-subgroup		
10.	Policy issues (papers)	?	Cannot predict
11.	Other matters		
12.	Adoption of the report		
13.	Closure of the meeting		

* includes requests for HCFC surveys

Annex II

Illustrative agenda (2nd Meeting of the year)

No.	Item	Number of projects (where applicable)	Annotations (where necessary)
1.	Opening of the meeting		
2.	Organizational matters:		
	(a) Adoption of the agenda		
	(b) Organization of work		
3.	Secretariat activities.		
4.	Status of contributions and disbursements		
5.	Status of resources and planning for the current year business plans:		This is intended to provide an update of the implementation of the current year business plans after the 1 st Meeting of the year.
	(a) Report on balances returned from cancelled and completed projects		
	(b) Update on the implementation of the current year budget		
	(c) Status/prospects of compliance		
6.	Programme implementation		
	(a) Consolidated project completion reports		
	(b) Evaluation reports from SMEO		As per the annual work programme
	(c) Draft monitoring and evaluation work programme of following year		
	(d) Report on implementation of approved projects with specific reporting requirements		
	(e) Evaluation of the business plans of the previous year		
	(f) Report on implementation delays		Proposed for inclusion in the Status/prospects of compliance document
	(g) Annual tranche submission delays – proposed for inclusion in 5(b)		Proposed for inclusion in update of the implementation of the current year business plan
7.	Financial matters:		
	(a) Accounts of the Multilateral Fund for the previous year		
	(b) Reconciliation of accounts		
	(c) Financial part of the progress reports as at 31 December previous year		
	(d) Proposed Secretariat budget		
8.	Project proposals		
	(a) Overview of issues identified during project review		
	(b) Bilateral cooperation	8	Based on the total number of proposals from 2007, 50% distributed to the 2 nd Meeting
	(c) Amendments to work programmes - current year	92*	Includes institutional strengthening project preparation
	(d) Investment projects		
	- MYAs on-going	53	According to schedules in on-going MYAs, and business plan forecast and assume that 50% submitted to the 2 nd Meeting
	- MYAs new	27	
9.	Country programmes and updates	0	Based on 2007 numbers
10.	Report of the production sector sub-subgroup		
11.	Policy issues	?	Cannot predict
12.	Business planning for the following year		
	(a) Financial planning for the triennium		
	(b) Three-year phase-out plan (rolling forward by one year)		
	(c) The Multilateral Fund business plan in the new year		
	(d) Business plans of the implementing agencies		
	(i) Bilateral agencies		
	(ii) UNDP		
	(iii) UNEP		
	(iv) UNIDO		
	(v) World Bank		
	(e) Work programmes of the new year		
13.	Report of the Executive Committee to the Meeting of the Parties		
14.	Other matters		
15.	Adoption of the report		
16.	Closure of the meeting		

* includes requests for HCFC surveys