

# REPORTING OF DATA ON PROGRESS IN IMPLEMENTATION OF COUNTRY PROGRAMMES TO THE MULTILATERAL FUND SECRETARIAT

## Practical Manual for Reporting

### INTRODUCTION

Article 5 countries are required to report on the progress in the implementation of the country programmes (CP) to the Multilateral Fund Secretariat. The CP reporting format was revised in by the Executive Committee as per decision 46/39, and has been in use since 2006 for providing information for ODS consumption to the Multilateral Fund Secretariat.

This manual is developed in order to give Article 5 countries clearer advice and directions for completing these reporting forms, based on feedback received on their use of these forms to report 2005 data. It is a response to the request by the Parties at the 50<sup>th</sup> Meeting of the Executive Committee in decision 50/4, inter alia:

- (d) To urge the Secretariat to provide a means of entering country programme data on its website, together with an explanatory manual on how to complete the new country programme data format to improve consistency in reporting*

This explanatory manual is designed to update the earlier instructions provided to the national focal points for the Montreal Protocol and/or Ozone Units of Article 5 Parties.

It is also expected to offer more detailed explanation on each specific section of the form, through a question and answer format intended to reduce the difficulties that countries faced in completing and collecting the information needed.

Other than Article 5 parties, the manual will also be useful to Regional Network Co-ordinators and Implementing Agencies which provide assistance to National Ozone Units in the implementation of their institutional strengthening activities.

### Country Programme Reporting Requirements

This section addresses the general reporting requirements under the current CP annual reporting format, and will illustrate how to fill in the data reporting forms provided by the Fund Secretariat.

Data reports have to be provided to the Fund Secretariat **by 1 May** of each year, to report annual consumption for the previous year. In many cases, Article 5 NOUs request the assistance of the UNEP CAP Programme or the Implementing Agency responsible for the implementation of the IS project to assist in checking the data and information contained in the forms, prior to submission.

The reporting form is divided into 5 sections:

- Section A: Data on controlled substances
- Section B: Regulatory, Administrative and supportive actions
- Section C: Quantitative Assessment of the Phase out programme
- Section D: Qualitative Assessment of the implementation of the RMP
- Section E: Comments of bilateral/implementing agency(ies).

The following practical instructions are arranged according to each section, and will guide the user in collecting the information required for accurate and reliable reporting.

### **Section A: Data on controlled substances**

This section requires countries to analyse the import data they have for the previous year, and identify the specific amounts **used** for each ODS category. The reason for requiring **use** data by sector is that the Multilateral Fund aims at assisting the phase out of the use of ODS in Article 5 Parties. Information on use allows the analysis of trends in ODS consumption. This enables the Fund to tailor its assistance to the best way possible for cost effective phase out of ODS. Such sector-specific data will also be useful to Article 5 countries for developing their phase out strategies. This form is called the **Data Sheet**.

#### **1. Countries are required to submit data for which year?**

Data is required for the previous calendar year preceding the 1 May deadline. For example, in May 2006, a country shall submit data for January to December 2005.

#### **2. When are countries required to provide these data?**

Data reports have to be provided to the Fund Secretariat annually after the approval of the Country Programme, at the 1 May deadline required by the Fund Secretariat. Similar to the requirements under Article 7 of the Montreal Protocol, data for the baseline years for each controlled substance must also be indicated, i.e. data for 1995, 1996 and 1997 for Annex A substances, 1998, 1999, and 2000 for Annex B substances and 1995, 1996, 1997, 1998, for the Annex E substance.

#### **3. Countries are to report on which controlled substances?**

Data reporting is required for all controlled ozone depleting substances (ODS ). As no use of HBFCs (Annex C II) is known and use of other fully halogenated CFCs (Annex B I) has been negligible in developing countries, the data should therefore focus on Annexes A, CI and E controlled ODS.

**4. It is indicated above that this particular section of the report should specifically report on the amounts of ODS used for each ODS sub-sector. How is this different from consumption under Article 7?**

- The Montreal Protocol has a definition for *consumption*, contained under Article 1 which specifies its meaning to be “*production plus imports minus exports of controlled substances*”. For most Article 5 parties except for a few that are ODS producers, consumption therefore equals only ODS imports, which is the data required under Article 7 reporting.
- The CP report on the other hand requires information on the **actual amount used** for each substance, and also the breakdown of the ODS **use** by sector. Therefore, each controlled substance should be broken down into its specific use such as for aerosols, foam, fire fighting, refrigeration, solvent applications, process agent applications, MDI, laboratory uses, tobacco fluffing and methyl bromide. The form has a separate column for each of these specific uses that require information.
- The refrigeration sector is further divided into two categories; manufacturing and servicing. **Manufacturing** will refer to the specific assembly of original equipment, while **servicing** will consider the amounts used for maintenance, repair and checking already existing refrigeration and cooling equipment. This second category shall include those substances used also for topping up mobile and domestic air conditioners and large chillers.
- Methyl bromide use is also divided into two categories, quarantine and pre-shipment uses (QPS) and non-quarantine and pre-shipment uses. In most cases, methyl bromide used for QPS is often calculated based on the number of phytosanitary certificates issued by the plant, health and phytosanitary authority of each country, and the amount of methyl bromide used therein.
- All **use per sub-sector** should be added up to get a TOTAL for each substance.

**5. Why are Article 5 countries also required to submit data on imports, exports and production, when this is already required under Article 7 for submission to the Ozone Secretariat?**

- The columns for import, export and production have been included to facilitate cross-checking of data reported to both the Fund Secretariat and the Ozone Secretariat and where necessary identify and address any differences in the data with the country concerned.
- The import, export and production data reported to the Fund Secretariat should, to the extent possible, be consistent with the data reported to the Ozone Secretariat. Where there is a discrepancy, the country should provide a clarification in a separate note attached to the report explaining this difference.
- Please note that only a few countries (Argentina, Brazil, China, India, Democratic People’s Republic of Korea, Mexico, Romania, and Venezuela) have production

facilities or use ODS as feedstock and a limited number of countries export ODS. For most countries, therefore, the volume of imports reported to the Fund Secretariat should equal the amount of imports of new substances reported to the Ozone Secretariat. In the case of methyl bromide, the reported figure would be less the amount used for QPS.

**6. Should the data in the TOTAL column of the Consumption per sector be equal to the amount indicated in Imports column?**

These two columns should not necessarily match, since use figures for the year do not necessarily equate to the total amount imported for each substance for the same year. For instance, a country may register a use in the refrigeration servicing sector yet not import any CFCs. The amount used could have been from the previous year's imports.

However, in some cases this could be the same number, in the event that what was imported for the year was also consumed in the various use sectors.

**7. How should the web-based data forms be completed?**

The data forms have been designed with the view to making the reporting of data to the Executive Committee on progress of implementation of Country Programmes easier. It is also designed to facilitate the update of the data at any time, for instance following implementation or completion of projects that have impacts on the ODS consumption of the country or any time an Ozone Office conducts an ODS survey. For many countries it should facilitate reporting of data to the Ozone Secretariat as required under Article 7 of the Montreal Protocol. The data form for reporting ODS consumption data is made available in Microsoft Excel 5 for. This should be used for any given year that the report is made, unless otherwise revised through a decision of the Executive Committee.

Below are some useful tips to note when data is being analysed and the form is being completed:

- Data entry is needed only in unshaded cells.
- Please enter data only for the specific substance and its corresponding use. For example, halon use should only be under firefighting, and not other sectors. Note that the cells where data is not required have been shaded.
- Reported data shall not include quantities used as feedstock for producing other chemicals or quantities destroyed. However for countries using ODS as process agents, the quantities used should be included in the actual use (consumption) figures.
- Where the data involves a blend of two or more substances, the quantities of the individual components of controlled substances must be indicated separately. For example, R-502 is a blend made up of 51.2% CFC-115 and 48.8% HCFC-22. The amounts of each substance should be calculated based on the percentages from the composition, and the total quantity should be indicated in the appropriate row for each (i.e. CFC-115 and HCFC-22).

- Data should be provided in **metric tons (tonnes)** only and not in ODP tonnes. Conversion of the data to ODP will be done by the Fund Secretariat.
- Quantities contained in end-products either imported or exported e.g. mobile automobile air conditioners (MACs), domestic refrigerators and freezers etc. **should not** be included in the country's import, export or consumption figures.
- Methyl bromide data should differentiate between controlled uses of methyl bromide (non-QPS) and quantities used for QPS and feedstock applications. These amounts should be reported in the relevant column.

## 8. How is baseline data calculated for each substance?

### (a) Annex A Substances:

For Annex A controlled substances baseline data is calculated as the average of the data for the years 1995, 1996 and 1997. *If you have not reported on Annex A substances for any of these years, please complete and submit a data form for the missing year.*

### (b) Annex B Substances:

For Annex B controlled substances baseline data is calculated as the average of the data for 1998, 1999 and 2000. *If the data for 1998 or 1999 for Annex B substances has not been reported, a data form should be completed and submitted for the missing year.*

### (c) Annex E Substances:

For the Annex E controlled substance (methyl bromide) baseline data is calculated as the average of the data for 1995, 1996, 1997 and 1998. *As in the other cases, if the data for any of the four years has not been reported a data form should be completed for the missing year.*

**TIP:** Countries should be careful though, to check and double check the figures to make sure that there is no discrepancy. Inconsistent figures could cause countries to face problems in the funding assistance they could avail of under the Multilateral Fund.

## **Section B: Regulatory, Administrative and Supportive Actions**

### 9. What information is required for this form?

This section simply requires countries to identify the institutional measures in the form of regulations, legislation and policy and other actions taken by the country to support phase out. This form is referred to as **Adm-B**. It is divided into two categories, and the information requires a YES or NO response and a date. The categories are:

1. Regulations
2. Enforcement of import controls

**10. How shall I fill in this form?**

Regulations

- **Part 1** (Regulations) of column 1 lists some standard ozone regulations that are required for sustained ODS phase out. If your country has enacted any of the regulations listed in this table, please mark **Y (Yes)** on the second column, and specify the date when these were enforced. If not, please write **N (No)**, and leave the next column blank.
- If your country has additional regulations which are not part of this standard list, please fill in the row that specifies “Other regulations”, and write down the title of this regulation, and date when this came into force.

Enforcement of Import Controls

- **Part 2** (Enforcement of import controls) of column 1 requires specific information on the status of the enforcement of import controls in your country. Rows marked 2.1 and 2.2 again require a Y and N response, mark column 2 accordingly with the appropriate date this was in force on column 3.
- In row **2.3 (number of instances of unauthorized imports stopped)**, please indicate a specific number. If there were no cases of illegal imports for the year, leave this blank. “Unauthorised imports” would mean those that have come into the country without the proper documentation (license, permit) from the authorities.
- In row **2.4 (estimated quantity and origin of unauthorised imports)**, please write the estimated amount of the illegal import, in metric tonnes in column 2, and the country of origin in column 3. Please add more rows as appropriate.

TYPE OF ACTION / LEGISLATION		Ongoing (Yes/No)	Since when (Date)
<b>1.</b>	<b>REGULATIONS:</b>		

**Section C: Quantitative Assessment of the Phaseout progress**

This form called **Adm-C**, requires countries to report amounts in metric tonnes of ODS imported and exported, the price of alternatives and numbers of people trained in training programmes and quantitative information that can measure the success of the recovery, recycling and end-user programmes of the country. It aims to gather brief but useful information on the status of the phase out progress of the country.

Some sections of the form are reproduced below. The additional column shows a number that refers to explanatory text (below) for how part of the form can be completed.

**C. Quantitative assessment of the phase-out programme**

Description	Quantity/Unit	Explanatory Note reference
<b>Import quotas/licenses issued (metric tonnes)</b>		(1)
<b>Export quotas/licenses issued (metric tonnes)</b>		(2)
<b>Average estimated retail price of ODS/substitutes (US\$/kg)</b>		(3)
<b>Training programmes</b>		(4)
Number of trainers for customs		
Number of customs officers trained		
Number of trainers for technicians		
Number of technicians trained		
Number of technicians certified		
<b>Recovery/recycling/reused (metric tonnes where applicable)</b>		(5)
Estimated CFC-11 recovered with equipment funded by Multilateral Fund		
Estimated CFC-11 reused with equipment funded by Multilateral Fund		
Estimated CFC-12 recovered with equipment funded by Multilateral Fund		
Estimated CFC-12 reused with equipment funded by Multilateral Fund		
Number of funded recovery machines in operation		
Number of funded recycling machines in operation		
Number of funded end-users converted		
Number of funded end-users retrofitted		

- (1) The information required here is whether the country has established an **import quota** for each ODS for the year being reported. If a quota was established, please specify the annual amount in metric tonnes. After which information on **how much (in metric tonnes) of this quota was reflected in actual licenses issued for the year** must also be written in the same column. For example, if your country has set an annual quota of **300 metric tonnes** for CFC-12, and issued licenses during the reporting period to cover **295 metric tonnes** for actual importation, the table should be filled in as follows:

	Quantity/Unit
<b>Import quotas//Licenses Issued (metric tonnes)</b>	
<b>CFC-12</b>	300 MT/295 MT

- (2) Information required under this is the same as above, except this time, it is for **exports**. The amount in **metric tonnes of the export quota**, and the **actual amount issued in the form of licenses** granted to exporters must be indicated. See example:

	Quantity/Unit
<b>Annual Export quotas/Actual licenses issued as per quota (metric tonnes)</b>	
<b>CFC-12</b>	200 MT/200 MT

- (3) Under this item, the **average estimated retail prices** of the listed alternatives have to be provided, in **US dollars per kilogramme**. Most suppliers of alternatives will have a price list, and this can be collected, and the average price calculated. If the amount available to the NOU is in local currency, please use official rates of foreign exchange when converting the prices to US dollars. It will also be helpful if the pricing gathered can be compared to existing global prices of CFCs to observe price differences.
- (4) Each RMP has a consequent training programme both for customs officers and refrigeration service technicians. This section refers specifically to the number of people trained under these programmes. Please indicate only the **number of people trained within the calendar year being reported**. The **number of technicians certified** would refer to those who have been **accredited based on a regulated certification scheme** (see Adm-B). If your country has no technician certification scheme in place, please leave this blank or write “not applicable”. **Please note that this section does not refer to the number of certificates of attendance issued under the training programmes.**
- (5) This item refers to the progress achieved in the implementation of the recovery/recycling programmes, and the end user programmes under the RMP or the NPP. The following information is required:

- The amount in metric tonnes, of CFC-11 and CFC-12 that have been recovered and reused with equipment provided under the Multilateral Fund ONLY. This information can be taken from a survey of the beneficiaries of the recovery and recycling machines in the country.
- The number of recovery and recycling machines that are **OPERATIONAL** (i.e. being used by the beneficiaries regularly, and have a corresponding amount of CFCs recycled or recovered). This should be compared with the original number of machines approved for the project.
- The number of end users funded under the Multilateral Fund that have **converted**.
- The number of end users funded under the Multilateral Fund that have **retrofitted**.

#### **Section D: Qualitative Assessment of the implementation of the RMP**

This section is to be filled in under the form **Adm-D**. The form is already structured in a question and answer format, and is easy to complete. Some tips to consider when filling in more substantive information (i.e. explanations are required for a NO response, for example) are listed below:

1. **Milestones** could include the following
  - date of approval of the legislation
  - date of Phase 1 training (Train the Trainers) for both customs and refrigeration service technicians
  - date of Phase 2 training (national training)
  - date of delivery of training equipment
2. Problems in the implementation of the import licensing system could include any of the following:
  - lack of awareness of importers about the licensing system
  - insufficient political support for full implementation of this regulatory system
  - inadequate training of customs officers resulting in poor detection of illegal imports
  - very little cooperation between the regulatory agency (NOU) and the customs department in the country
3. Some issues that could be potential reasons for problems in the full implementation of the recovery and recycling scheme include:
  - Machines are not fully operational due to high energy costs
  - Lack of training in the use of the R and R machines
  - Insufficient number of machines to respond to the need in the country
  - Recovery and recycling do not make good business sense as alternatives and even CFCs still cost less than recovered substances

4. Under “additional measures that are needed and planned to assist in the implementation of the RMP and to achieve compliance”, Article 5 parties should specify actions that they feel are required for them to meet compliance faster. This question is important, as it allows the countries to identify the gaps in implementation, list these down and suggest proposals for how this can be met. Actions listed here can be divided between those that the country can do on its own, and those that require further assistance.

**Section E: Comments of the bilateral/implementing agency(ies)**

This section is very important. It allows the NOU to discuss with the bilateral or implementing agency the problems faced in the implementation of the RMP, and enables both parties to look at effective solutions to expedite its implementation and thus phase out.

Countries should send the completed forms to the relevant bilateral or implementing agency, and request them to provide comments on the overall implementation of the RMP.

Bilateral and implementing agencies are also urged to provide substantive and specific comments with regard to the RMP implementation, citing successes, delays, problems and issues, and providing alternatives for faster implementation. This section allows a one stop review of the RMP, and gives opportunities for greater cooperation between the country and the agency.

## FURTHER INFORMATION

- For further information contact the Multilateral Fund Secretariat at [secretariat@unmfs.org](mailto:secretariat@unmfs.org) or by telephone or fax to the Chief Officer, Multilateral Fund Secretariat at Tel: (514) 282-1122 or Fax: (514) 282-0068.
- A Handbook on Data Reporting Under the Montreal Protocol prepared by UNEP Division of Technology, Industry and Economics (DTIE) OzonAction Programme in cooperation with the Ozone Secretariat, Multilateral Fund Secretariat and others is available for reference. This can be obtained from UNEP DTIE, Tel: (33) 1-4437-1450; Fax: (33) 1-4437-1474; e-mail [unepie@unep.fr](mailto:unepie@unep.fr). It may also be obtained from its web site at <http://www.unepie.org/ozonaction.html>.

## DATA FORMS

- The data forms are posted on the Fund Secretariat web site at <http://www.multilateralfund.org> in on the main page “Country Programme and Institutional Strengthening” and can be downloaded. The completed data forms should be submitted to the Fund Secretariat.
- Data may be submitted in one of the two ways listed below:
  1. **Through email or fax.** After completing all data forms, this can be sent through email or through fax, with a cover letter from the responsible authority in the country.
  2. **Through the online web-based format.** Using a user name and password, each NOU can now fill in the data online, and submit the whole report online. Please click on the following link: <http://209.167.130.87:8008/>

## II. INSTRUCTIONS FOR ENTERING DATA IN THE ELECTRONIC FORMAT

WORKSHEET TITLE	REQUIRED ACTION
Baseline Data – Groups of Substances (1995-2000)	<ol style="list-style-type: none"> <li>1. Enter Country field in the cell “XXXX”</li> <li>2. Enter year field in the cell “YYYY”.</li> <li>3. Enter data in the cells for Annex A Group I (CFCs) Annex A Group II (Halons), Annex B and Annex E (methyl bromide) only. It is not required to enter any data in the cells for Annex C (HCFCs). Ignore those cells.</li> </ol>
Data on Controlled Substances	<ol style="list-style-type: none"> <li>1. Enter Country field in the cell “XXXX”</li> <li>2. Enter year field in the cell “YYYY”</li> <li>3. Enter applicable data in the applicable cells. All the Annexes should be considered. These represent the current data for all the controlled substances used in the country in the respective year.</li> </ol>
Sheet Adm B Regulatory, administrative and supportive actions	<ol style="list-style-type: none"> <li>1. Enter Country field in the cell “XXXX”</li> <li>2. Enter “y” for “yes” and “n” for “No” in “ongoing” column (3) and date mm-dd-yy in “since when” column (4)</li> </ol>
Sheet Adm C Quantitative assessment of the phase-out programme	<ol style="list-style-type: none"> <li>1. Enter Country field in the cell “XXXX”</li> <li>2. Enter the quantity per unit in metric tonnes</li> </ol>
Sheet Adm D and E Qualitative assessment of the operation of RMP and Comment by bilateral/implementing agency (ies)	<ol style="list-style-type: none"> <li>1. Double click on form and type in information directly on the form</li> </ol>

Note:

- Cells in which data is required are blank
- Cells which are shaded do not require data.