Manual del Comité Ejecutivo - 2009

Una introducción al Comité Ejecutivo del Fondo Multilateral para la aplicación del Protocolo de Montreal

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INTRODUCCIÓN

Este manual tiene por objeto proporcionar a los nuevos miembros del Comité Ejecutivo una guía del funcionamiento del Fondo Multilateral y su Comité Ejecutivo. El manual se actualizará después de la reunión final de cada año civil en preparación para los nuevos miembros que ingresarán el año siguiente.

El **Manual** orienta al nuevo miembro del Comité ejecutivo a través de todo el proceso de las reuniones. Se conduce al lector desde los preparativos previos a las sesiones con una explicación por cuestión del orden del día de las actividades del período de sesiones hasta, finalmente, las actividades de seguimiento posteriores a la reunión. También se proporciona un breve informe de antecedentes sobre cada cuestión del orden del día y se analizan los diversos aspectos y los tipos de medidas que el Comité podría adoptar. Los nombres de los documentos relacionados con la cuestión del orden del día correspondiente se destacan en texto en **negrita**. El texto en ***bastardilla*** orienta al lector al apéndice apropiado donde figuran explicaciones adicionales.

En el **Apéndice 1** se proporciona información básica de antecedentes sobre el Fondo Multilateral, sus objetivos y los conceptos principales que apuntalan las actividades del Fondo. También se esbozan las estructuras fundamentales del Fondo Multilateral con breves descripciones de sus distintas funciones y se incluye un organigrama en el que se muestran los nexos entre las diferentes estructuras.

En el **Apéndice 2** se proporciona información sobre cómo funciona el Fondo Multilateral desde la planificación financiera, los Programas de País, el examen y aprobación de proyectos y la supervisión de proyectos hasta la evaluación de los proyectos terminados.

En el **Apéndice 3** se proporciona una tabla que resume las cuestiones ordinarias del orden del día para cada reunión. También se presentan tablas para las primera, segunda y tercera reuniones en las que se indican las cuestiones del orden del día que se relacionan con las respectivas reuniones sobre la base del ciclo administrativo anual del Comité. También se incluyen el Mandato del Comité Ejecutivo y el Reglamento para las reuniones del Comité Ejecutivo.

En el **Apéndice 4** se examina el Reglamento para las reuniones del Comité Ejecutivo y se proporcionan detalles sobre la logística y los arreglos prácticos para los participantes en la reunión del Comité Ejecutivo.

En el **Apéndice 5** se brindan detalles sobre los principales recursos de información.

Una "**Guía del Fondo Multilateral**", que incluye detalles para comunicarse con los miembros del Comité, la Secretaría del Fondo, los Organismos de Ejecución, los organismos bilaterales y el Tesorero, también puede obtenerse de la intranet o de la propia Secretaría del Fondo. Puede obtenerse información completa sobre las políticas y procedimientos del Comité Ejecutivo en "**Políticas, procedimientos, criterios y directrices del Fondo Multilateral**" (PPGG), que se actualiza después de cada reunión del Comité Ejecutivo. Desde septiembre de 2007 la información sobre los planes y proyectos de eliminación plurianuales que antes figuraban en el documento de PPGG está disponible en un documento nuevo, **"Planes y proyectos de eliminación".** El Manual es antes que nada y principalmente una guía para los miembros del Comité Ejecutivo. La información adaptada a las necesidades de los funcionarios de las Dependencias del Ozono nacionales puede encontrarse en la "Guía para los funcionarios de las Dependencias del Ozono

nacionales", preparada por el Programa de Asistencia al Cumplimiento de AcciónOzono del PNUMA.

REUNIONES DEL COMITÉ EJECUTIVO

1. Funciones del Comité Ejecutivo

Las funciones del Comité Ejecutivo comprenden la aprobación de políticas y directrices del Fondo Multilateral (que figuran también en el sitio Web del Fondo Multilateral www.multilateralfund.org), tales como los criterios para la admisibilidad de proyectos y la aplicación de supervisión; la elaboración del plan trienal y del presupuesto anual del Fondo; la aprobación de Programas de País y proyectos y actividades específicos; la presentación de informes sobre el desempeño del Fondo Multilateral a la Reunión de las Partes cada año, y la supervisión de la administración del Fondo. Estas funciones se ejecutan principalmente a través de tres reuniones del Comité Ejecutivo celebradas cada año en marzo/abril, junio/julio y noviembre/diciembre.

En el Apéndice 1.3.1. Las Partes en el Protocolo de Montreal y el Comité Ejecutivo y el Apéndice 3, Atribuciones del Comité Ejecutivo, figura más información sobre las funciones del Comité Ejecutivo.

El programa de trabajo del Comité Ejecutivo está indicado en el orden del día de la reunión. En cada reunión se tratan varias cuestiones ordinarias del orden del día. Además los órdenes del día de las tres reuniones comprenden varias otras cuestiones que se relacionan con las diferentes medidas que deben adoptarse en distintos puntos del ciclo anual. Por ejemplo, los planes administrativos para los organismos deben aprobarse en la primera reunión del año civil de modo que los organismos puedan presentar solicitudes de financiamiento para los proyectos y actividades de sus planes administrativos a lo largo de las tres reuniones de ese año. Al final del año, el Comité examina la situación de la ejecución de los planes administrativos del año en curso, así como un informe actualizado sobre las perspectivas de los países que operan al amparo del Artículo 5 en relación con el cumplimiento de las medidas de control siguientes y el plan modelo de eliminación trienal renovable para los siguientes tres años, a efectos de poder adoptar decisiones sobre el tratamiento de cuestiones de cumplimiento urgentes y pendientes. Cualquier decisión de ese tipo se incorpora en la planificación administrativa para el año siguiente.

En el Apéndice 3, Reuniones del Comité Ejecutivo, figuran tablas en las que se presenta una lista completa de las cuestiones del orden del día para cada reunión.

2. Actividades que conducen a una reunión del Comité Ejecutivo

La Secretaría del Fondo coordina los preparativos previos a las sesiones para las reuniones del Comité Ejecutivo y asegura que los miembros estén plenamente informados y, por consiguiente, en condiciones de prepararse como corresponde.

- El orden del día provisional es elaborado por la Secretaría, de acuerdo con el Presidente y el Vicepresidente;
- Las invitaciones, el orden del día y la información logística se despachan a los miembros del Comité Ejecutivo y observadores con mucha antelación a la reunión;
- Los documentos de reunión previos a la sesión se publican en la intranet del Comité Ejecutivo tan pronto como son emitidos por la Secretaría (la Secretaría proporciona nombres de usuarios y contraseñas);

- Los documentos previos a la sesión clasificados en la categoría GENERAL están disponibles en el sitio web público cuatro semanas antes de la reunión.

En el Apéndice 4.1. Logística y arreglos antes de la reunión, figura más información sobre los arreglos previos a las sesiones.

3. Actividades durante una reunión del Comité Ejecutivo: el período de sesiones

El Presidente es responsable de conducir la reunión y es asistido por la Directora de la Secretaría del Fondo, quien se desempeña como Secretaria de la reunión (Artículo 16)[1].

Los Miembros tienen iguales derechos de voto, pero hasta ahora las decisiones adoptadas en las reuniones siempre se han adoptado por consenso. En el caso de no alcanzarse consenso, las decisiones tendrían que adoptarse por una mayoría de dos tercios de las Partes presentes y votantes, que representa una mayoría de las Partes que operan al amparo del párrafo 1 del Artículo 5 y una mayoría de las Partes restantes presentes y votantes (Artículo 17).

En el Apéndice 3 figura más información sobre el Reglamento y procedimientos para las reuniones del Comité Ejecutivo

Apertura de la Reunión

El Presidente del Comité Ejecutivo inaugura la Reunión y la ubica en el contexto del plan de trabajo general del Fondo Multilateral, señalando a la atención de los miembros aspectos importantes que han de abarcarse.

Cuestiones de organización

a) Adopción del orden del día

El **Orden del Día Provisional** establece el plan de trabajo de la reunión. El **Orden del día provisional anotado** conexo**,** que sirve como guía de la reunión, contiene una breve relación de antecedentes de los temas en cada cuestión del orden del día y las medidas previstas del Comité. El Comité examina el orden del día y plantea cualquier otra cuestión que debería incluirse en el mismo.

<u>Medidas previstas del Comité Ejecutivo:</u>

El Comité Ejecutivo examina el proyecto de orden del día y puede solicitar aclaraciones o presentar sugerencias para añadir otras cuestiones, antes de adoptar el orden del día.

[1] Véase “Reglamento de las reuniones del Comité Ejecutivo del Fondo Multilateral para la Aplicación del Protocolo de Montreal" en el Apéndice 3.

b) Organización de las actividades

El Presidente propone el orden en que el plenario tratará cada cuestión y organiza los de grupos de contacto cuyo establecimiento pueda necesitar el Comité durante la semana para tratar asuntos específicos. Dado que el Comité Ejecutivo adopta el informe de la reunión antes de la clausura de ésta, el Presidente pide a los miembros a que completen el tratamiento del orden del día para última hora del jueves. Esto permite a la Secretaría preparar el proyecto de informe en la mañana del viernes y distribuirlo a los miembros del Comité Ejecutivo antes de la sesión final de la reunión en la tarde del viernes para su adopción. El Presidente también propone el horario de trabajo para las sesiones de la reunión.

Actividades de la Secretaría

En cada reunión, la Directora de la Secretaría del Fondo informa sobre las actividades que la Secretaría ha realizado desde la reunión precedente. El informe abarca normalmente las medidas de seguimiento a las decisiones del Comité Ejecutivo, el examen de las comunicaciones a la reunión en curso, los detalles de las reuniones a las que se concurrió y las misiones emprendidas por el personal de la Secretaría, futuras interacciones con Acuerdos Ambientales Multilaterales así como aspectos relativos al personal y una actualización sobre las actividades de información.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo podría examinar y tomar nota del informe.

Situación de las contribuciones y los desembolsos

En cada reunión el Tesorero proporciona una actualización de la **Situación de las contribuciones y los desembolsos** del Fondo. Dicha actualización comprende el balance del Fondo, los ingresos y las contribuciones e información completa sobre la situación para el trienio, incluyendo datos sobre ganancias y pérdidas en el Mecanismo de tipo fijo de cambio monetario.

La explicación de la metodología y supuestos aplicados por el Tesorero puede encontrarse en el documento UNEP/OzL.Pro/Excom/39/3/Rev.1 (disponible en la intranet del Fondo Multilateral).

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo examina el informe del Tesorero y trata aspectos relativos al pago puntual de las contribuciones por las Partes contribuyentes. El Comité Ejecutivo normalmente toma nota del informe y decide sobre cualquier medida que sea necesaria.

Situación de los recursos y la planificación

a) Informe sobre saldos y disponibilidad de recursos

Cada reunión del Comité Ejecutivo se inicia con una cuestión orgánica del orden del día denominada "Situación de los recursos y la planificación" en la que se examina, *entre otras cosas*, la disponibilidad de recursos para la reunión (decisión 41/92). El **Informe sobre saldos y disponibilidad de recursos,** presentado en el marco de esta cuestión, proporciona un examen de los saldos totales de los proyectos completados mantenidos por los organismos, todo costo de apoyo de organismo relacionado con los fondos remanentes de dichos proyectos completados y un cálculo de la suma total de recursos disponibles al Comité Ejecutivo para nuevas aprobaciones durante la reunión. El saldo total utilizable es la suma de los saldos devueltos de proyectos completados y el saldo del Fondo que figura en el informe del Tesorero sobre la situación de las contribuciones y los desembolsos.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo examina los recursos financieros totales disponibles para aprobaciones en la reunión en curso y cualquier otro aspecto relacionado con la devolución de los saldos de proyecto y las soluciones propuestas.

b) Situación de ejecución de los proyectos con demoras y perspectivas de los países que operan al amparo del Artículo 5 en relación con el cumplimiento de las medidas de control siguientes del Protocolo de Montreal

En cada reunión, el Comité Ejecutivo examina una evaluación de riesgo de incumplimiento detallada de los países que operan al amparo del Artículo 5, en el documento sobre **Situación de ejecución de los proyectos con demoras y perspectivas de los países que operan al amparo del Artículo 5 en relación con el cumplimiento de las medidas de control siguientes del Protocolo de Montreal** presentado a cada reunión. El análisis de la situación de cumplimiento de los países que operan al amparo del Artículo 5 se basa sobre los datos notificados a la Secretaría del Ozono con arreglo al Artículo 7 y en los datos del Programa de País notificados a la Secretaría del Fondo. Desde la 54ª Reunión el documento incluye información sobre proyectos con demoras en la ejecución y una evaluación más abarcadora sobre riesgos de incumplimiento basada en sistemas de otorgamiento de licencias, la situación de los planes de eliminación definitiva/planes nacionales de eliminación, demoras en la ejecución y otras cuestiones institucionales/fuerzas de mercado, tales como datos de precios de todas las SAO, incluidos los HCFC y sus alternativas.

Los proyectos con demoras y los proyectos con saldos financieros se supervisan de manera detallada en cada reunión. La información presentada al Comité Ejecutivo permite examinar los proyectos con demoras en la ejecución, los proyectos cuya posible cancelación se propone en la reunión y las consecuencias de los proyectos cancelados con respecto al cumplimiento.

Medidas previstas del Comité Ejecutivo:

El Comité examina la situación del cumplimiento, la situación de la ejecución de los proyectos en marcha y los datos sobre la ejecución de los Programas de País. Después del examen, el Comité podría pedir a los Organismos de Ejecución que ayuden a aquellos países que, según el informe, tienen un consumo admisible y no están incluidos todavía en los planes administrativos.

El examen de las demoras en la ejecución de proyectos ayuda al Comité Ejecutivo determinar los proyectos que han de cancelarse, la necesidad de mayor supervisión o la eliminación del proyecto de la lista de demoras, así como contar con más información sobre formas de evitar futuras demoras. El Comité tomará nota de los informes de situación y de la información de los proyectos con demoras en la ejecución. En algunos casos adoptará los hitos y plazos para esos proyectos y, para otros, tomará nota de la cancelación o de la terminación del proyecto.

En el Apéndice 1.2, Conceptos fundamentales del Fondo Multilateral, figura una explicación del concepto de cumplimiento.

En el Apéndice 2.4.2: Supervisión de proyectos – demoras en la ejecución y cancelación, figura información específica sobre procedimientos de supervisión y cancelación.

c) Planificación financiera para el trienio

Una vez cada tres años se realiza un ejercicio de planificación financiera cuando las Partes en el Protocolo de Montreal deciden la reposición del Fondo Multilateral. El documento de **Planificación Financiera para el Trienio** proporciona al Comité Ejecutivo presupuestos anuales sugeridos y disponibilidad de recursos a la luz del presupuesto adoptado por las Partes.

Medidas previstas del Comité Ejecutivo:

Las cuestiones, que la reunión considera son los compromisos que ya se han establecido para rubros tales como los acuerdos plurianuales o que han sido destinados a cubrir costos ordinarios en los que incurre el Fondo, incluyen el fortalecimiento institucional, el presupuesto de la Secretaría del Fondo y reuniones del Comité Ejecutivo, los costos administrativos de las dependencias centrales de los Organismos de Ejecución y el programa de asistencia al cumplimiento del PNUMA. El plan financiero adoptado debe hacer corresponder estos gastos con las contribuciones que se pagan anualmente. Sobre la base de este análisis, el Comité adopta una asignación de recursos para cada año del trienio.

En el Apéndice 2.1.1, Reposición del Fondo Multilateral, figura más información sobre las reposiciones.

d) Planes administrativos del año en curso

La ejecución de los planes administrativos, incluida información sobre las demoras en la presentación de los tramos anuales, se coloca en esta cuestión del orden del día en la segunda y tercera reunión del año. Véase la sección a continuación sobre Planificación administrativa para conocer más detalles.

Planificación Administrativa

La planificación administrativa es la herramienta que el Comité Ejecutivo aplica en la asignación de recursos para ayudar a los países al amparo del Artículo 5 a que cumplan con los objetivos de control del Protocolo de Montreal. Se prepara un plan trienal para tener en cuenta una perspectiva a largo plazo de los requisitos de cumplimiento de todos y cada uno de los países al amparo del Artículo 5 en términos de las reducciones de las sustancias que agotan la capa de ozono (SAO) que han de lograrse así como de las estrategias propuestas y la asignación de recursos necesarios para satisfacer estos requisitos de cumplimiento. El plan trienal, denominado **Plan modelo de eliminación trienal renovable,** se actualiza anualmente para incluir los requisitos del año siguiente, de ahí su carácter renovable. Se presenta al Comité Ejecutivo en la reunión final del año civil en el marco de la cuestión del orden del día ***Situación de los recursos y la planificación*** y se utiliza como referencia para elaborar y evaluar los planes administrativos anuales de los organismos para el año siguiente.

Los aspectos que requieren la atención del Comité Ejecutivo con respecto al **Plan modelo de eliminación trienal renovable** son los siguientes:

- verificar si los objetivos de cumplimiento de todas las sustancias controladas se tienen en cuenta para el período trienal que se considera;
- verificar si todos los países que requieran asistencia están incluidos;
- verificar si la asignación de fondos propuesta es apropiada y adecuada.

La segunda parte de la planificación es la planificación administrativa anual de los Organismos de Ejecución. Dado que las contribuciones al Fondo Multilateral se pagan anualmente por las Partes contribuyentes, las actividades del Fondo Multilateral se organizan principalmente sobre la base de un ciclo anual. A comienzos de cada año el ciclo se inicia con la preparación de **Planes administrativos** por los Organismos de Ejecución y los organismos bilaterales. En estos planes se proponen niveles objetivo de SAO que han de eliminarse y la cuantía de los fondos que han de desembolsarse conjuntamente con otros indicadores de desempeño que proporcionan la base para la evaluación del desempeño de los organismos. Los **Planes administrativos** de los organismos reflejan las actividades indicadas en el **Plan modelo de eliminación trienal renovable** que deben financiarse y ejecutarse durante el año de modo que los países al amparo del Artículo 5 puedan cumplir los calendarios de reducción de SAO del Protocolo de Montreal.

La Secretaría del Fondo refunde los **Planes administrativos** de cada organismo en **Plan administrativo refundido del Fondo Multilateral** tomando como referencia los objetivos del **Plan modelo de eliminación trienal renovable** y la necesidad de proporcionar asistencia inmediata a aquellos países que puedan estar en riesgo de incumplimiento de sus obligaciones en el marco del Protocolo de Montreal.

El plan administrativo anual del PNUMA es diferente de los planes de los otros tres Organismos de Ejecución en cuanto a que el principal componente, el Programa de Asistencia al Cumplimiento, se aprueba a fin de año. Dado que el Programa de asistencia al cumplimiento abarca principalmente el costo relacionado con el personal del proyecto de dicho programa (personal del PNUMA) emplazado en las oficinas regionales del PNUMA, el Comité Ejecutivo necesita aprobar el plan administrativo anual del PNUMA en la reunión final del año para permitir el financiamiento de dichos puestos en el año siguiente.

El **Plan administrativo refundido del Fondo Multilateral**, de carácter trienal, conjuntamente con los **Planes administrativos**, se presenta a la primera reunión del Comité en el año civil para que éste los examine y avale. Los aspectos que el Comité Ejecutivo considera al examinar estos planes administrativos comprenden:

- La coherencia de los planes administrativos anuales de los organismos con el **Plan modelo de eliminación trienal renovable**.
- La medida en que se están tratando las necesidades de los países que arriesgan incumplimiento.
- La adecuación del número de países abarcados.
- La claridad y propiedad de los objetivos propuestos.

La Secretaría supervisa la ejecución de los planes administrativos, incluida la información sobre demoras en la presentación de los tramos anuales, en la segunda y tercera reunión del año, en el marco de la cuestión del orden del día ***Situación de los recursos y la planificación,*** para informar al Comité sobre la medida en que se han logrado las actividades planeadas.

Medidas previstas del Comité Ejecutivo:

En la primera reunión del año, el Comité Ejecutivo avala las actividades que figuran en los planes administrativos y aprueba los indicadores de desempeño para los organismos. Se requiere del Comité Ejecutivo que adopte los objetivos y presupuestos en los planes administrativos anuales de los organismos y avale los objetivos de desempeño de los planes administrativos de cada organismo. No obstante, al avalar el plan individual, el Comité Ejecutivo no aprueba los proyectos, ni los niveles de financiación asociados, que en él figuran. Estos proyectos y actividades deben presentarse a la aprobación del Comité Ejecutivo durante el año.

En la reunión final del año, en el marco de la cuestión del orden del día ***Situación de los recursos y la planificación***, el Comité examina cualesquiera proyectos y actividades remanentes en los planes administrativos que no se hayan presentado, así como las consecuencias resultantes respecto del cumplimiento. El Comité puede pedir a los organismos bilaterales y de ejecución que incluyan estas actividades importantes en sus planes administrativos para el año siguiente. El Comité Ejecutivo también examina el plan modelo de eliminación trienal renovable y, sobre la base de su análisis, proporciona orientación a los organismos bilaterales y de ejecución para la preparación de sus planes administrativos individuales.

En el Apéndice 2.1, Planificación financiera, figura más información sobre este aspecto.

Ejecución de programas

Esta cuestión del orden del día abarca la supervisión y evaluación de proyectos y actividades que se están ejecutando por los organismos bilaterales y de ejecución así como la evaluación de proyectos en marcha y terminados. El Comité Ejecutivo se cerciora de que los fondos desembolsados por el Fondo Multilateral se utilizan realmente para lograr los objetivos de los proyectos.

En el Apéndice 2.4, Supervisión, y en el Apéndice 2.5, Evaluación, figura más información sobre las actividades de supervisión y evaluación.

a) Estudios de evaluación

Las evaluaciones, normalmente basadas en un sector específico, evalúan el ciclo del proyecto desde la preparación, a través de la ejecución, hasta la terminación y evalúan también si los objetivos de los proyectos, en cuanto a la eliminación, han sido logrados. Los informes de evaluación son preparados por consultores independientes, con la coordinación del Oficial Superior de Supervisión y Evaluación, con arreglo al Programa de trabajo de supervisión y evaluación aprobado por el Comité Ejecutivo en la reunión final de un año civil. Los estudios teóricos se basan en los informes y documentos disponibles a la Secretaría del Fondo, mientras que los informes de evaluación finales se basan en visitas de misiones y consultas con las Dependencias Nacionales del Ozono, Organismos de Ejecución y bilaterales y otros interesados.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo examina los informes de evaluación y puede formular recomendaciones basadas en los mismos para mejorar el desempeño del Fondo Multilateral.

b) Informe refundido de terminación de proyectos

El **Informe Refundido de Terminación de Proyectos** proporciona un análisis de los informes de terminación de proyectos recibidos por la Secretaría del Fondo a lo largo de los doce meses anteriores. Los informes de terminación de proyectos se preparan utilizando formatos aprobados por el Comité Ejecutivo. El informe refundido se presenta a la reunión final del año civil y en él se evalúan la calidad y la presentación puntual de los informes de terminación de proyectos por los Organismos de Ejecución.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo tomará nota del **Informe Refundido de Terminación de Proyectos** y puede adoptar decisiones relativas a aspectos que se tratan en el documento.

c) Proyecto de programa de trabajo de supervisión y evaluación

En este documento se describe la situación de la ejecución de las actividades de evaluación en marcha y de los estudios de evaluación previstos para el año siguiente conjuntamente con un presupuesto para consideración por el Comité Ejecutivo.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo puede examinar la adecuación del programa de trabajo y aprobar el plan.

d) Informes sobre la marcha de las actividades

En la segunda reunión del año se requiere tanto de los Organismos de ejecución como de los bilaterales que proporcionen al Comité Ejecutivo un **Informe sobre la marcha de las actividades** anual acerca de la ejecución de sus programas de trabajo y actividades aprobados relativos a los Programas de País y proyectos. Estos informes sobre la marcha de las actividades constituyen la fuente de información principal con respecto a la cual se supervisan los proyectos dado que incluyen información sobre lo siguiente:

- aprobaciones de proyectos y desembolsos;
- actualizaciones sobre terminación de proyectos;
- puntos salientes de los proyectos mundiales y regionales;
- indicadores de desempeño; y
- situación de los acuerdos y preparación de proyectos, por país, así como asuntos administrativos.

Basándose en los informes sobre la marcha de las actividades de los organismos, la Secretaría prepara el **Informe Refundido sobre la Marcha de las Actividades** que también se presenta en la segunda reunión del año. En este informe se reseñan los progresos y la información financiera proporcionada por los Organismos de Ejecución y bilaterales, tanto en forma narrativa como de base de datos.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo examina los informes sobre la marcha de las actividades con miras a asegurar que los proyectos de los organismos terminarán con éxito y con miras a mejorar los servicios prestados a los países al amparo del Artículo 5. Sobre la base de los **Informes sobre la Marcha de las Actividades** el Comité Ejecutivo puede pedir a los organismos o gobiernos bilaterales que proporcionen más informes sobre los proyectos con demoras en la ejecución a una reunión futura del Comité Ejecutivo o que supervisen los proyectos como proyectos con demoras en la ejecución.

e) Demoras en la presentación de los tramos anuales

En la 47ª Reunión, el Comité Ejecutivo decidió que se incluiría un inciso del orden del día por separado sobre demoras en la presentación de los tramos anuales y en el desembolso de los fondos respecto de los tramos y obligaciones. Esto ayuda al Comité a supervisar la aprobación de los tramos anuales y la liberación de fondos a los organismos de ejecución, con miras a asegurar que no haya impedimentos para completar las actividades planificadas en la partida anual. En la primera reunión del año, el Comité Ejecutivo supervisa las demoras de los tramos usando el documento **Demoras en la presentación de los tramos anuales**. En la segunda y tercera reunión del año, la información sobre las demoras en la presentación de los tramos se incluye en el documento que presenta el examen de la ejecución de los planes administrativos en el contexto de la cuestión del orden del día sobre **Situación de los recursos y la planificación**.

Medidas previstas del Comité Ejecutivo:

El Comité tomará nota de los tramos anuales con demoras, hará ajustes en las fechas de presentación y tomará las medidas necesarias según corresponda.

f) Informe sobre la ejecución de proyectos aprobados con requisitos específicos de presentación de informes

A lo largo de los años, el Comité Ejecutivo ha aprobado varios proyectos para los cuales se requiere la notificación periódica como herramienta de supervisión. Esto puede deberse a algunas circunstancias particulares como la introducción de ciertos tipos de tecnología. Los informes recibidos por la Secretaría con respecto a estos proyectos se presentan a consideración en el marco de esta cuestión del orden del día. El **Informe sobre la ejecución de proyectos aprobados con requisitos específicos de presentación de informes** proporciona reseñas de los progresos logrados hasta el momento, problemas encontrados durante la ejecución y comentarios y recomendaciones de la Secretaría.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo considera los informes sobre la marcha de la ejecución de los proyectos y aspectos conexos, y adopta las decisiones que corresponda.

Examen de proyectos

En los primeros años del Fondo Multilateral, examen de proyectos solía ocupar un tiempo considerable durante la reunión, en particular debido a aspectos importantes de costos adicionales identificados durante el proceso de examen. El tiempo requerido para deliberaciones acerca del examen de proyectos disminuyó en gran medida durante el período 2001-2008 a medida que los esfuerzos para brindar asistencia a los países para cumplir con las medidas de control de CFC se trasladaron a los planes de eliminación sectoriales y nacionales, y la cantidad de propuestas de proyecto individuales que requieren deliberación disminuyó. Si bien aumentó la cantidad de tramos de proyectos plurianuales presentados a la Secretaría para su examen, dicho examen de la Secretaría junto con amplias interacciones con los organismos, permite colocar los tramos en la lista para aprobación general. Se espera que todas las propuestas de proyecto restantes que se ocupan de los objetivos de cumplimiento para 2010 sean consideradas por el Comité Ejecutivo en 2009. Es probable que la carga de trabajo de examen de proyecto del Comité Ejecutivo aumente en el trienio 2009-2011 debido a las complejas y prolongadas deliberaciones que se espera que se mantengan respecto de la presentación de actividades de eliminación de HCFC para abordar la congelación de los HCFC en 2013 y la reducción del 10 por ciento para 2015.

Las propuestas de proyectos y actividades que entrañan inversión se presentan al Comité Ejecutivo con una recomendación basada en un examen del proyecto por la Secretaría. Durante el proceso de examen del proyecto, pueden efectuarse considerables ajustes a las propuestas de proyecto, particularmente en cuanto a sus costos y, a veces, opciones tecnológicas así como para tener en cuenta las decisiones de política previamente adoptadas por el Comité. Los proyectos que satisfacen todos los requisitos de admisibilidad, y para los cuales no existen cuestiones de política u otro tipo pendientes, pueden aprobarse sobre la base de la recomendación de la Secretaría para aprobación general. La Secretaría no incluye en la documentación de la reunión, propuestas para proyectos y actividades que, para la fecha de entrega de la propuesta previa para cada reunión, no contengan toda la información y componentes necesarios para ser consideradas como potencialmente aprobables (decisión 50/14 a)). En el caso de que no se resuelvan las cuestiones de costos relacionadas con los proyectos una semana antes de una reunión del Comité Ejecutivo, los proyectos en cuestión tampoco no serán estudiados por el Comité Ejecutivo en dicha reunión (Decisión 41/80). El Comité Ejecutivo delibera y adopta decisiones más complejas sobre cualquier proyecto que plantee aspectos de política.

Una vez aprobada la propuesta de proyecto, el Tesorero del Fondo puede liberar el financiamiento necesario al organismo de ejecución pertinente. Conjuntamente con el país amparado en el Artículo 5 receptor, cada organismo es responsable de la ejecución y supervisión de sus propios proyectos. El organismo de ejecución debe informar anualmente al Comité Ejecutivo sobre la marcha de sus actividades (véase la cuestión del orden del día: Ejecución de programas).

Durante las deliberaciones acerca de los proyectos en las reuniones del Comité Ejecutivo, los miembros, o los representantes, deben abstenerse de hacer uso de la palabra acerca de los proyectos en los que tienen un interés directo.

En el Apéndice 2.3, Examen y aprobación de proyectos, figura más información sobre el examen de proyectos.

a) Reseña de las cuestiones identificadas durante el examen de proyectos

El Comité Ejecutivo comienza sus deliberaciones de examen de proyectos considerando cualquier aspecto que la Secretaría pueda haber destacado de la correspondencia para la reunión y que se presentan en la **Reseña de las cuestiones identificadas durante el examen de proyectos**. El documento de reseña también comprende la lista de proyectos y actividades para los cuales no se presentan problemas y que la Secretaría recomienda para aprobación general por el Comité Ejecutivo, así como la lista de proyectos y actividades de inversión que han sido presentadas para consideración individual por el Comité Ejecutivo.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo debate todo aspecto de política planteado en el documento y adopta las decisiones apropiadas que correspondan. El Comité puede decidir aprobar todos o algunos de los proyectos presentados para aprobación general conjuntamente con condiciones o salvedades recomendadas por la Secretaría, a reserva de la consideración de cualquier aspecto adicional que los miembros del Comité Ejecutivo puedan plantear sobre uno o más de los proyectos y actividades.

b) Cooperación Bilateral

Las Partes contribuyentes pueden aplicar hasta el 20% de su contribución durante el trienio de reposición para desarrollar actividades con los países que operan al amparo del Artículo 5 con carácter bilateral. El Comité Ejecutivo brinda a los organismos bilaterales flexibilidad en cuanto al año al que se acreditarán los proyectos bilaterales, a condición de que los organismos bilaterales presenten sus planes de trabajo con antelación suficiente al principio del año para que la Secretaría pueda transmitirlos al Comité Ejecutivo para que sean considerados durante los debates acerca de los planes administrativos en la primera reunión del Comité del año (decisión 25/13 a)).

El documento de **Cooperación Bilateral** contiene todas las solicitudes de financiamiento presentadas por las Partes no amparadas en el Artículo 5 como cooperación bilateral en el marco del Fondo Multilateral. La cooperación bilateral comprende la gama completa de proyectos y actividades financiados en el marco del Fondo Multilateral con la excepción de los proyectos de fortalecimiento institucional.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo considerará en forma individual cualquier proyecto o actividad bilateral que no haya sido recomendado para aprobación general y formulará recomendaciones sobre su aprobación según corresponda. Después de examinar las actividades bilaterales, el Comité Ejecutivo puede decidir solicitar al Tesorero que compense los costos de los proyectos bilaterales aprobados en la reunión contra el saldo anual de fondos de los países contribuyentes.

c) Programas de Trabajo Anuales

Los **Programas de Trabajo** y las **Enmiendas a los Programas de Trabajo** contienen todas las solicitudes de actividades que no entrañan inversión presentadas por cada organismo durante el año. Las actividades que no entrañan inversión incluyen el fortalecimiento institucional, la preparación de proyectos y los proyectos de asistencia técnica y demostración. Las propuestas que no figuraban en la lista de proyectos y actividades presentadas para aprobación general se considerarán individualmente y se aprobarán o postergarán según corresponda.

El fortalecimiento institucional es una parte importante de las actividades del Fondo dada su relevancia en cuanto a asegurar que la infraestructura institucional y humana está en funcionamiento para facilitar la ejecución de proyectos y actividades. Los países al amparo del Artículo 5 también pueden recibir financiamiento para la preparación de Programas de País, preparación de proyectos, asistencia técnica, proyectos de capacitación y demostración, así como un programa de asistencia al cumplimiento dirigido a los países de bajo nivel de consumo financiados a través del PNUMA.

En el pasado, la mayoría de las actividades que figuraban en los programas de trabajo se referían a preparación de proyectos. No obstante, actualmente las solicitudes de fortalecimiento institucional y las propuestas de asistencia técnica en países con bajos niveles de consumo superan largamente a otros tipos de proyectos.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo considerará individualmente todo proyecto o actividad que no se haya recomendado para aprobación general y formulará las recomendaciones que correspondan.

d) Costos administrativos para los Organismos de Ejecución

Los costos de unidad central y las tasas de organismo constituyen costos administrativos que están dirigidos a proporcionar a los Organismos de Ejecución fondos para tareas administrativas, personal y otros servicios administrativos generales relacionados con la ejecución de los proyectos. En 1998 los costos administrativos del PNUD, la ONUDI, y el Banco Mundial cambiaron de una tasa única del 13% por proyecto a una escala graduada y posteriormente, en diciembre de 2002, a una escala inferior que incluía una asignación para unidad central de 1,5 millones $EUA por año por organismo (Decisión 38/68). La Decisión 46/35 amplió la aplicación de la Decisión 38/68 y su régimen de costos administrativos para el trienio 2006-2008, modificando al mismo tiempo la tasa básica para los costos de unidad central para el PNUD y la ONUDI a 1,7 millones $EUA en lugar de 1,5 millones $EUA y permitiendo la presentación de una solicitud para un aumento anual de hasta 3 por ciento para el PNUD, la ONUDI y el Banco Mundial. Tras una evaluación independiente exhaustiva acerca de los costos administrativos requeridos para el trienio 2009-2011, el Comité Ejecutivo mantuvo el régimen de costos administrativos existente para el trienio 2009-2011 (decisión 56/41 b)) y aprobó financiación de unidad central por valor de 1 857 636 millones de $EUA para el PNUD y la ONUDI y de 1 663 347 $EUA para el Banco Mundial (decisión 56/42 b)). El Comité Ejecutivo examina el régimen de costos administrativos cada año en la reunión final de año, y puede consultarse información actualizada sobre el presupuesto de unidad central y otra información sobre costos administrativos en el documento pertinente del Comité Ejecutivo.

El PNUMA no tiene costos de unidad central. Toda la labor relacionada con el programa de trabajo del PNUMA se cubre por medio de un presupuesto para el Programa de asistencia al cumplimiento del PNUMA, más costos de apoyo de organismo de 8 por ciento.

Medidas previstas del Comité Ejecutivo

El Comité Ejecutivo aprueba anualmente las solicitudes de costos de unidad central para los organismos.

e) Proyectos de inversión

En la década de 1990, el Comité Ejecutivo consideraba y aprobaba la mayoría de los proyectos y actividades en forma individual, en dos categorías principales. La parte principal del programa se relacionaba con la ejecución de proyectos de inversión, que tenían por objetivo la sustitución de tecnologías de fabricación a base de CFC que requerían la adquisición e instalación de bienes de capital. El resto del programa consistía en actividades ajenas a la inversión, tales como proyectos de fortalecimiento institucional, asistencia técnica y capacitación. Generalmente, estos proyectos no requerían la adquisición de bienes de capital. También en la década de 1990, el Comité comenzó a aprobar planes de gestión de refrigerantes. Dichos planes estaban destinados principalmente a brindar asistencia a los países de bajo volumen de consumo, países con bajos niveles de consumo de CFC y con sectores de fabricación pequeños, para cumplir con sus objetivos de cumplimiento en relación con los CFC por medio de la reducción de su consumo de CFC en el sector de servicio y mantenimiento de refrigeración. Los planes de gestión de refrigerantes incluían actividades tanto de inversión (suministro de máquinas de reciclaje) como ajenas a la inversión (capacitación de técnicos y funcionarios de aduanas).

Desde el 2000, el Fondo Multilateral ha hecho menos hincapié en el financiamiento de proyectos autónomos. Por el contrario, ha alentado la elaboración de planes nacionales de eliminación de SAO que trazan un plan de acción detallado para eliminar todo el consumo remanente de las SAO más comunes en un país. Estos planes, a menudo denominados planes nacionales de eliminación, planes nacionales de eliminación de CFC o, cuando se relacionan con el sector de servicio y mantenimiento, planes para la eliminación definitiva, son una combinación de proyectos de inversión y ajenos a la inversión. Cada plan plurianual se rige conforme a un acuerdo entre el Comité Ejecutivo y el gobierno en cuestión. Conforme a estos acuerdos, se requiere que los organismos de ejecución presenten un informe de verificación sobre el logro de las metas de reducción de SAO especificadas en los acuerdos como requisito previo para la liberación de la siguiente partida de fondos. Las primeras directrices para los proyectos plurianuales y sus acuerdos fueron adoptadas en la 38ª Reunión del Comité Ejecutivo.

En la 54ª Reunión se aprobaron las directrices para los planes de gestión de eliminación de HCFC. Los planes de gestión de eliminación de HCFC trazan un plan de acción para eliminar el uso de HCFC en un país por medio de un enfoque por fases (decisión 54/39). Los planes de gestión de eliminación de HCFC deberán ser aprobados dentro de un plazo muy limitado dado que la ejecución de estos proyectos debe estar encaminada para 2011 a fin de abordar la congelación de HCFC en 2013 y la reducción del 10 por ciento para 2015. Para los países con

sectores de fabricación en los que se usan HCFC, los planes de gestión de eliminación de HCFC contendrán un plan nacional de eliminación basado en el desempeño.

Para cada país que presenta un proyecto de inversión, un proyecto plurianual tal como un plan nacional de eliminación o un plan de gestión de eliminación definitiva a la reunión, la Secretaría prepara documentos de propuesta de proyecto. El documento consiste en una hoja de evaluación de proyectos con un resumen de datos de proyecto, una breve descripción del proyecto y los comentarios y recomendaciones de la Secretaría del Fondo. La documentación de proyecto pertinente puede anexarse, presentarse en el sitio Web o ponerse a disposición de los interesados que lo soliciten a la Secretaría.

Las propuestas de países donantes bilaterales son presentadas por el país donante bilateral y se presentan generalmente dentro de un único documento de proyecto de "cooperación bilateral", junto con el examen y las recomendaciones de la Secretaría sobre dichas propuestas de proyectos. Los proyectos plurianuales presentados por donantes bilaterales constituyen una excepción. Éstos se presentan en los documentos basados en países a los que se hace referencia en el párrafo anterior. Los proyectos de fortalecimiento institucional y las actividades de asistencia técnica y capacitación y todas las propuestas de financiamiento para preparar proyectos son presentados al Comité Ejecutivo por cada uno de los cuatro organismos de ejecución en un "programa de trabajo anual" o subsiguientemente en enmiendas al programa de trabajo. Cada uno de los organismos presenta al Comité Ejecutivo los programas de trabajo y las enmiendas a los programas de trabajo en documentos de "Programa de trabajo" junto con los comentarios y las recomendaciones de la Secretaría.

Medidas previstas del Comité Ejecutivo:

Tras el examen previo a la sesión por parte de la Secretaría, que en algunos casos conlleva modificaciones a las propuestas de proyecto originales, la mayoría de los proyectos y actividades habrán sido recomendados para su aprobación general. El Comité Ejecutivo considera la aprobación de la lista completa de proyectos y actividades recomendados para aprobación general, sean éstos bilaterales, de fortalecimiento institucional, de capacitación o tramos anuales de actividades plurianuales, en el marco de la cuestión del orden del día "Reseña de las cuestiones identificadas durante el examen de los proyectos". Esta aprobación está sujeta a los puntos de vista que cualquier delegación desee plantear acerca de un proyecto o actividad específico.

La principal medida del Comité Ejecutivo, no obstante, es considerar cada proyecto y actividad indicado para consideración particular, y formular recomendaciones según corresponda, lo que incluye agregar condiciones específicas para la aprobación de los proyectos. Estos proyectos y actividades se deben considerar en el marco de la cuestión del orden del día pertinente (es decir, cooperación bilateral, programas de trabajo o enmiendas a los programas de trabajo de los organismos de ejecución o los documentos de propuestas de proyectos basados en los países).

Programas de País

Un Programa de País esboza la estrategia y el plan de acción que el país seguiría para eliminar el consumo y la producción de SAO con arreglo a los calendarios del Protocolo de Montreal. El

Programa de País constituye también la base para que el Fondo Multilateral financie proyectos y actividades en los países. Casi todos los países al amparo del Artículo 5 ahora cuentan con Programas de País aprobados. Las nuevas Partes reciben financiamiento preparatorio para elaborar una combinación de programa de país/plan nacional de eliminación. Cuando se presenta, la parte correspondiente al Programa de País se considera en el marco de esta cuestión del orden del día.

Cuando se presenta un **Programa de País**, la Secretaría prepara una hoja de evaluación, comentarios y recomendaciones. También se adjunta la documentación pertinente incluyendo la carta de envío del Gobierno pertinente, una Hoja de Presentación del Programa de País y el Resumen Ejecutivo presentado por el Gobierno pertinente.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo puede aprobar el Programa de País observando que dicha aprobación no significa la aprobación de los proyectos que en él figuran, y solicitar al Gobierno del país en cuestión que presente al Comité Ejecutivo con carácter anual información sobre los progresos logrados en la ejecución del Programa de País.

En el Apéndice 2.2.1, Programas de País, figura más información sobre los Programas de País.

Estados de cuenta del Fondo Multilateral

a) Estados de cuenta finales

Los **Estados de cuenta finales** se preparan anualmente sobre la base de la información financiera proporcionada al Tesorero por la Secretaría y los Organismos de Ejecución. En ellos se incluyen datos financieros sobre los ingresos y gastos del Fondo para el año en curso y el anterior, así como para el período transcurrido desde 1991 hasta el año en curso. Estos datos normalmente se corresponden con los estados de cuenta auditados o certificados, incluyendo los detalles sobre los gastos de la Secretaría en el año en curso registrados en los estados de cuenta de la Oficina de las Naciones Unidas en Nairobi, con respecto al presupuesto aprobado, así como los estados de cuenta certificados o provisionales de los Organismos de Ejecución para el año en curso y el anterior y para el período transcurrido desde 1991 hasta el año en curso.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo examina los estados de cuenta finales para asegurarse de que las cuentas están en orden.

b) Reconciliación de los estados de cuenta

En los Estados de cuenta del Fondo pueden aparecer diferencias entre los fondos aprobados y los ingresos notificados por los organismos. Para tratar estas diferencias, el Comité Ejecutivo pidió al Tesorero, a los Organismos de Ejecución y a la Secretaría que presenten una conciliación completa de los Estados de cuenta del Fondo con los datos contenidos en los informes sobre la marcha de las actividades de los Organismos de Ejecución a la tercera reunión del Comité Ejecutivo cada año (decisión 38/9).

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo toma nota del informe de reconciliación y pide la adopción de cualquier medida que sea necesaria.

Presupuesto trienal revisado de la Secretaría del Fondo

El **Presupuesto trienal revisado de la Secretaría del Fondo** se presenta a la reunión final de cada año civil. Comprende rubros para los costos de los puestos de personal en la Secretaría por más de tres años y costos operacionales para los dos primeros años.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo examina el presupuesto trienal y lo aprueba sobre la base de sus deliberaciones.

Subgrupo sobre el Sector de Producción del Comité Ejecutivo

El Subgrupo sobre el Sector de Producción, un órgano subsidiario del Comité Ejecutivo, fue establecido en 1996 para ayudar al Comité Ejecutivo en la elaboración de directrices para el financiamiento de proyectos dirigidos a la eliminación de la producción de SAO. Fue posteriormente encargado, en 1998, de examinar y recomendar la aprobación de proyectos en le sector de producción. No se convocó al subgrupo entre la 47ª y la 56ª Reunión dado que se habían establecido acuerdos plurianuales que cubrían la eliminación completa de la producción de todas las SAO, excepto los HCFC, en los países que operan al amparo del Artículo 5. El Comité Ejecutivo decidió constituir y convocar al subgrupo del sector de la producción en su 57ª Reunión para debatir acerca de cuestiones relacionadas con la eliminación en el sector de producción de HCFC (decisión 56/64).

Informe del Comité Ejecutivo a la Reunión de las Partes

El Comité Ejecutivo debe presentar un informe a la Reunión de las Partes cada año por conducto del Presidente del Comité. En el informe, preparado por la Secretaría, se resumen las actividades del Comité Ejecutivo durante el período de notificación, normalmente de un año, subrayando las políticas y directrices de importancia que se han adoptado, el financiamiento que se ha desembolsado y el volumen de la eliminación de SAO que se ha alcanzado.

Antes de que el Presidente presente el informe a la Reunión de las Partes, el Comité Ejecutivo lo examina y lo autoriza normalmente en la reunión anterior a la Reunión de las Partes. Después de la reunión, se actualiza para incorporar cualquier punto planteado por el Comité y el resultado de la reunión.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo podría decidir autorizar a la Secretaría a que recopile o actualice el informe a la luz de las deliberaciones habidas y lo presente a la Secretaría del Ozono para distribución a las Partes.

Adopción del informe

La Secretaría prepara un proyecto de informe de la reunión del Comité Ejecutivo que es examinado por el Presidente. Este proyecto de informe se conoce como informe L1 y contiene proyectos de todas las decisiones formuladas por el Comité Ejecutivo durante esa reunión. Al momento de la adopción del informe, pueden proponerse comentarios y enmiendas al texto del informe L1; no obstante, no se prevé que los miembros del Comité mantengan deliberaciones sustantivas sobre cualesquiera cuestiones del orden del día.

Medidas previstas del Comité Ejecutivo:

El Comité Ejecutivo adopta el informe de la reunión sobre la base del proyecto de informe L1 y los comentarios formulados por cualesquiera miembros del Comité.

4. Actividades posteriores a una Reunión del Comité Ejecutivo

Después de la reunión, la Secretaría finaliza el **Informe de la Reunión del Comité Ejecutivo** en inglés y prepara las traducciones. Este informe se traslada a todos los miembros del Comité Ejecutivo, otros participantes y a las Partes en el Protocolo de Montreal y se publica en el sitio Web del Fondo Multilateral. Además, se informa a los países que operan al amparo del Artículo 5 y organismos pertinentes acerca de las decisiones relacionadas con aprobación de proyectos, cancelaciones, demoras en la ejecución y demoras en la presentación de tramos por medio de una nota de la Directora de la Secretaría del Fondo. Para que el resultado de la reunión se conozca más ampliamente, se prepara un comunicado de prensa y un documento en el que se resumen las decisiones de la reunión se envía por correo electrónico a todos los participantes en la reunión, Partes en el Protocolo de Montreal y, por intermedio de la División de tecnología, industria y economía del PNUMA, a los funcionarios de la Red regional del Programa de asistencia al cumplimiento del PNUMA. El resumen de decisiones y el artículo para la prensa se publican en la intranet y en el sitio Web público del Fondo Multilateral además del informe.

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APPENDIX 1. THE MULTILATERAL FUND

1.1. The aim of the Multilateral Fund[1]

The Multilateral Fund was set up by the Parties to the Montreal Protocol to assist developing countries to comply with the terms of the Montreal Protocol, an international agreement that sets out a timetable for the phase-out of ozone-depleting substances in both developed and developing countries. The Multilateral Fund provides assistance to countries who are Parties to the Montreal Protocol and whose annual *per capita* consumption and production of ozone-depleting substances (ODS) is less than 0.3 kg. The developing countries that meet these criteria are referred to as Article 5 countries. Contributions to the Multilateral Fund are provided by the non-Article 5 country parties.

1.2. Key concepts of the Multilateral Fund

1.2.1. Incremental costs

The Multilateral Fund provides financing for the incremental costs of ODS phase-out. The Parties to the Montreal Protocol agreed an indicative list of such costs at their fourth meeting in 1992. They include:

- Costs involved in supplying substitutes, including converting existing production facilities and equipment or establishing new facilities, paying for patents, designs and royalties, training personnel, adapting technology to local circumstances, retiring existing capital prematurely and importing substitutes.
- Costs involved where ODS are used in manufacturing, including converting existing equipment and facilities, paying for patents, designs and royalties, training, research and development and paying for raw materials.
- Costs involved in end use, including prematurely modifying or replacing user equipment, recycling and destroying ODS and providing technical assistance to reduce consumption and unintended emissions.

The total costs of conversion to ozone friendly technologies are not covered. For example the installation of new equipment can produce savings or benefits by itself irrespective of its impact on ozone depletion. Projected savings are deducted from costs to reach the

[1] The terms of reference of the Multilateral Fund can be found in Annex IX of "Report of the Fourth Meeting of the Parties to the Montreal Protocol on substances that deplete the ozone layer". UNEP/OzL.Pro.4/15) and also in the "Handbook for the International Treaties for the Protection of the Ozone Layer" published by the Ozone Secretariat.

figure for incremental costs, and where this is negative the project is not eligible for Fund assistance.

Individual decisions of the Meeting of the Parties to the Montreal Protocol (MOP) have led to some deviations from financing for incremental costs of ODS phase-out. For example decision XVI/13 of the Parties requested the Executive Committee of the Multilateral Fund to consider funding of additional demonstration projects to help demonstrate the value of replacement of CFC-based chillers, pursuant to relevant decisions of the Executive Committee.

1.2.2. Compliance period

The period for compliance with the control schedules of the Montreal Protocol for Article 5 countries began following a ten-year grace period. It was decided to limit a country's ODS consumption level through a formula that took account of existing consumption in an agreed "baseline" year. The first control measure was the freeze in CFC (Appendix A group I substances) production and consumption at the baseline level from 1 July 1999 onwards. For the purposes of the Montreal Protocol, consumption is defined as the quantities of ODS manufactured and/or imported, less those quantities exported in any given year. The table below provides a summary of the Montreal Protocol's control measures including the 2007 Montreal Adjustment on production and consumption of HCFCs agreed at the 19th Meeting of the Parties in September 2007.

Summary of Montreal Protocol Control Schedule for main substances
(freezes and reduction refer to baseline levels[2])

Ozone Depleting Substance	Control Schedules	
	Non Article 5 Countries	**Article 5 countries**
Annex A - Group I: Chlorofluorocarbons (CFCs)	Total phase-out by 1995	Freeze at baseline level by 1/7/1999 50% reduction by 1/1/2005 85% reduction by 1/1/2007 Total phase-out by 2010
Annex A - Group II: Halons	Total phase-out by 1993	Freeze at baseline level 1/1/2002 Total phase-out by 2010
Annex B - Group II: Carbon tetrachloride	Total phase-out by 1995	85% reduction by 1/1/2005 100% reduction by 1/1/2010 Total phase-out by 2010
Annex B - Group III Methyl chloroform (TCA)	Total phase-out by 1995	Freeze at baseline level 1/1/2003 30% reduction by 1/1/2005 70% reduction by 1/1/2010 Total phase-out by 2015
Annex C - Group I[3] Hydrochlorofluorocarbons (HCFCs)	Freeze from beginning of 1996 35% reduction by 2004 75% reduction by 2010 90% reduction by 2015 99.5% reduction by 2020* Total phase-out by 2030 * 0.5% is restricted to the servicing of refrigeration and air-conditioning equipment existing during the period 2020-2030 and subject to review in 2015	Baseline is average of 2009 and 2010 production and consumption Freeze by 2013 at baseline level 10% reduction by 2015 35% reduction by 2020 67.5% reduction by 2025 97.5% reduction by 2030** Total phase-out by 2040 **the annual average of 2.5% is restricted to the servicing of refrigeration and air conditioning equipment existing during the period 2030-2040 and subject to review in 2025.
Annex C - Group III Bromochloromethane (BCM)	Total phase-out by end 2002	Total phase-out by end 2002
Annex E: Methyl bromide (horticultural uses)	Freeze in 1995 at 1991 baseline level 25% reduction by 1999 50% reduction by 2001 70% reduction by 2003 Total phase-out by 2005 (with possible critical use exemptions	Freeze at average 1995 -1998 level on 1/1/2002 20% reduction by 2005 Total phase-out by 2015

[2] Full details of control measures are published on the Ozone Secretariat's web site at http://ozone.unep.org/.
[3] The HCFC control measures are based on the 2007 Montreal Adjustment on Production and Consumption of HCFCs agreed at the 19th Meeting of the Parties in September 2007 and entered into force on 14 May 2008 (See the depositary notification at http://untreaty.un.org/English/CNs/2007/1001_1100/1096E.pdf).

1.2.3. Country compliance driven approach

A country is in compliance when the rules and regulations outlined in the Montreal Protocol are met. The Multilateral Fund's strategy is based on a compliance driven business-planning approach in which the level of ODS phase-out needed for each country has been calculated so that resources can be targeted to countries appropriately. This calculation has been made on the basis of an agreed baseline of eligible consumption figure (decision 35/57). Multi-year performance-based agreements are established with countries to assist them to comply with the control measures of the Montreal Protocol.

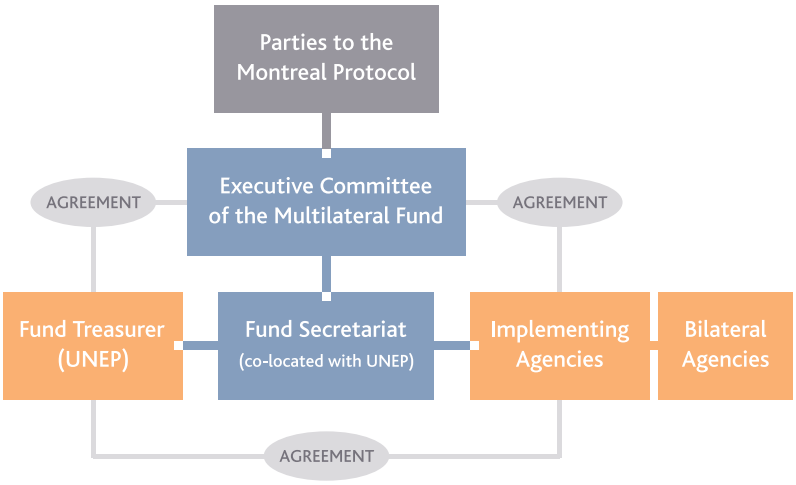
1.2.4. Equal partnership

The Multilateral Fund is governed by an Executive Committee, which has equal representation from among the donor (non-Article 5 countries) and the recipient countries (Article 5 countries). This partnership of Article 5 and non-Article 5 parties is extended by the representative constituency system of the Executive Committee. Members may co-opt countries from their region, making it possible to have participants from up to 40 countries attending an Executive Committee meeting.

1.3. **Key structures of the of the Multilateral Fund**

The key elements of the Multilateral Fund are:

- The Parties to the Montreal Protocol
- The Executive Committee of the Multilateral Fund;
- The Fund Secretariat;
- The implementing and bilateral agencies; and,
- The Treasurer.



1.3.1. The Parties to the Montreal Protocol and the Executive Committee

The Multilateral Fund operates under the authority of the Parties to the Montreal Protocol, who decide both on its overall policies, composition and, every three years, on the level of replenishment of the Fund. During the Meeting of the Parties (MOP), that takes place towards the end of the year, Parties select Executive Committee members for the following year. Representation on the Executive Committee consists of representatives from seven Article 5 countries and seven non-Article 5 countries. Selection is based on equitable geographic representation. For Article 5 countries, seats are allocated as follows: two seats to Parties of the African region; two seats to Parties of the region of Asia and the Pacific; two seats to Parties of the region of Latin America and the Caribbean; and one rotating seat among the regions referred, including the region of Eastern Europe and Central Asia. The Executive Committee serves for one calendar year from 1 January to 31 December. Members have equal voting rights but the Executive Committee has never voted; decisions are based on consensus. The Chair and Vice-chair of the Executive Committee alternate annually between the Article 5 and non-Article 5 countries.

A representative constituency system introduced by the Executive Committee allows each of the 14 members to co-opt additional countries from the same region. This has significantly broadened the participation of stakeholders in the decision-making process, and enhanced their sense of ownership of the process. All comments from a delegation, both oral and written, should be covered by unified submissions delivered directly and solely in the name of the Executive Committee member (decision 35/62).

The Executive Committee, which manages the Multilateral Fund, is responsible for developing operational policies and guidelines, drawing up the three-year plan and budget for the Multilateral Fund, approving country programmes and specific projects and overseeing the Multilateral Fund's administration. The Committee primarily discharges its responsibilities at the three meetings it convenes each year.

To facilitate the exchange of information on compliance issues between the Executive and Implementation Committees, the Chair and Vice-Chair of the Executive Committee are invited to attend the Implementation Committee's meetings[4]. On a reciprocal basis, the President and Vice-President of the Implementation Committee are invited to attend the Executive Committee's meeting (decision XIV/37).

Up until the 41st Meeting, the Executive Committee functioned with two standing sub committees which carried out specific tasks. The Sub-Committee on Monitoring, Evaluation and Finance (MEF) was responsible for reviewing the cycle of business planning and monitoring approved projects. The Sub-Committee on Project Review (PR) was responsible for considering and reviewing all projects and activities submitted to the Fund, and making recommendations to the Executive Committee, as well as dealing with any policy issues that emanated from this process. At its 40th meeting the Executive Committee decided that certain planning activities affecting compliance should be addressed by the full Committee (decision 40/52). The Executive Committee examined options for improvement and decided to eliminate the MEF and PR sub-committees for the year 2004 on a trial basis (decision 41/92). This arrangement was renewed and continues to the present based on decision 44/57 (b). All agenda items are examined in plenary with working groups being set up to deal with specific issues as necessary. One example is the sub-group on the production sector which is established on a needs basis from members of the Executive Committee (decision 23/50). The sub-group on the production sector is to be convened at the 57th Meeting to finalize work on elements of a future decision with respect to the HCFC production sector (decision 56/64(d)). [5]

[4] The Implementation Committee examines cases of possible non-compliance by parties, and makes recommendations to the MOP aimed at securing full compliance

[5] The Executive Committee decided to constitute and convene the production sector sub-group at the 57th Meeting to continue the discussion on HCFC production sector phase-out issues including: the practices and procedures laid out in decision 19/36; the calculation of HCFC production sector phase out costs; the encouragement of a synchronized production/consumption phase-out as part of the first HPMP; incentives for early phase-out of HCFC production and/or providing disincentives for HCFC production; the requirement for a robust monitoring system, similar to that used for the verification of the CTC phase-out, to monitor facilities that received funding but continued to produce HCFCs for feedstock uses; and, other issues. The Executive Committee would consider the issues of cut-off dates for funding eligibility for the production sector at a future meeting and the issue of swing plants, HCFC facilities that use the existing CFC infrastructure, at its 57th Meeting.

1.3.2. Fund Secretariat

The role of the Fund Secretariat is to assist the Executive Committee in the discharge of its functions. The Secretariat is based in Montreal, Canada, and consists of internationally recruited professional staff and local support staff. The Secretariat is headed by the Chief Officer, who reports directly to the Executive Committee.

The terms of reference of the Secretariat[6], as approved by the Executive Committee, at its third meeting include 23 specific responsibilities, which essentially cover: development of the three-year plan and budget and a system of funds disbursement; management of the business planning cycle of the Fund; monitoring the expenditures and activities of the Implementing Agencies; preparation of policy papers and other documents; review and assessment of project-related submissions of the Implementing Agencies; liaison between the Committee, Governments and the Implementing Agencies; and servicing the meetings of the Executive Committee. Since 1997, the Secretariat has also included a monitoring and evaluation function, established expressly by the Executive Committee.[7]

1.3.3. Implementing agencies

In delivering financial and technical assistance, the Multilateral Fund works together with a number of implementing agencies: the United Nations Environment Programme (UNEP), the United Nations Development Programme (UNDP), the United Nations Industrial Development Organization (UNIDO), the World Bank, and a number of bilateral agencies. UNEP, UNDP, UNIDO and the World Bank were formally invited by the Executive Committee to become implementing agencies.

The four multilateral implementing agencies work under the overall guidance and supervision of the Executive Committee. The roles of the implementing agencies for projects approved under the Multilateral Fund were outlined broadly in decision II/8 of the Second Meeting of the Parties to the Protocol. More detailed arrangements are set out in the individual agreements concluded between the Executive Committee and UNDP, UNEP, UNIDO and the World Bank in 1991 and 1992, which cover financial arrangements and reporting requirements[8].

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[6] See Annex III.1 of the Policies, Procedures, Guidelines and Criteria.

[7] In 2009 the monitoring and evaluation function is being carried out by an interim Senior Monitoring and Evaluation Officer and the Executive Committee is to discuss priorities and arrangements that might be necessary over the next five years for the monitoring and evaluation programme (decision 56/8).

[8] Further information on the agreements between agencies and the Executive Committee including amendments approved in 1998 can be found in the Policies, Procedures, Guidelines and Criteria. The texts of the four agreements are reproduced in Annexes II.4, II.5, II.6 and II.7 of the same document.

Broadly speaking, UNDP, UNIDO and the World Bank are responsible for the preparations and implementation of investment projects, while the main thrust of UNEP's activities is on information dissemination, capacity-building, institutional-strengthening, networking, and assistance to low-volume consuming Article 5 countries.

The Parties to the Montreal Protocol also decided that contributing Parties could use up to 20 percent of their annual contribution to carry out activities with developing countries on a bilateral basis. As of January 2009, 13 contributing Parties engage in a range of bilateral activities such as training, technical assistance and the introduction of ozone-friendlier technologies.

1.3.4. Treasurer

The Fund Treasurer is responsible for receiving and administering pledged contributions (cash, promissory notes or bilateral assistance), and disbursing funds to the Fund Secretariat and the implementing agencies based on the directive of the Executive Committee. At its 42nd meeting, the Executive Committee approved an agreement between UNEP and the Executive Committee on the service of the Treasurer and agreed the level of fees (US$ 500,000 per year) for the five year period 2004 to 2009 (decision 42/42).[9] Agreements between the Treasurer and the four implementing agencies on the financial procedures were also made in 2006.[10]

In practice the responsibilities of the Treasurer are carried out by staff based in UNEP-Nairobi and by the Senior Administrative and Fund Management Officer based in the Fund Secretariat. The post of Administrative Officer in the Fund Secretariat was upgraded from P4 to P5 to take on the extra responsibilities and the extra cost of this upgrade is covered by Treasury fees (decision 51/39).

The Treasurer attends each meeting of the Executive Committee and is responsible for preparing:

- A status of contributions and disbursements for each meeting,
- The Accounts of the Multilateral Fund as well as the reconciliation of the accounts on an annual basis, and
- Any study requested by the Executive Committee and / or by Meetings of the Parties to the Montreal Protocol, as relevant.

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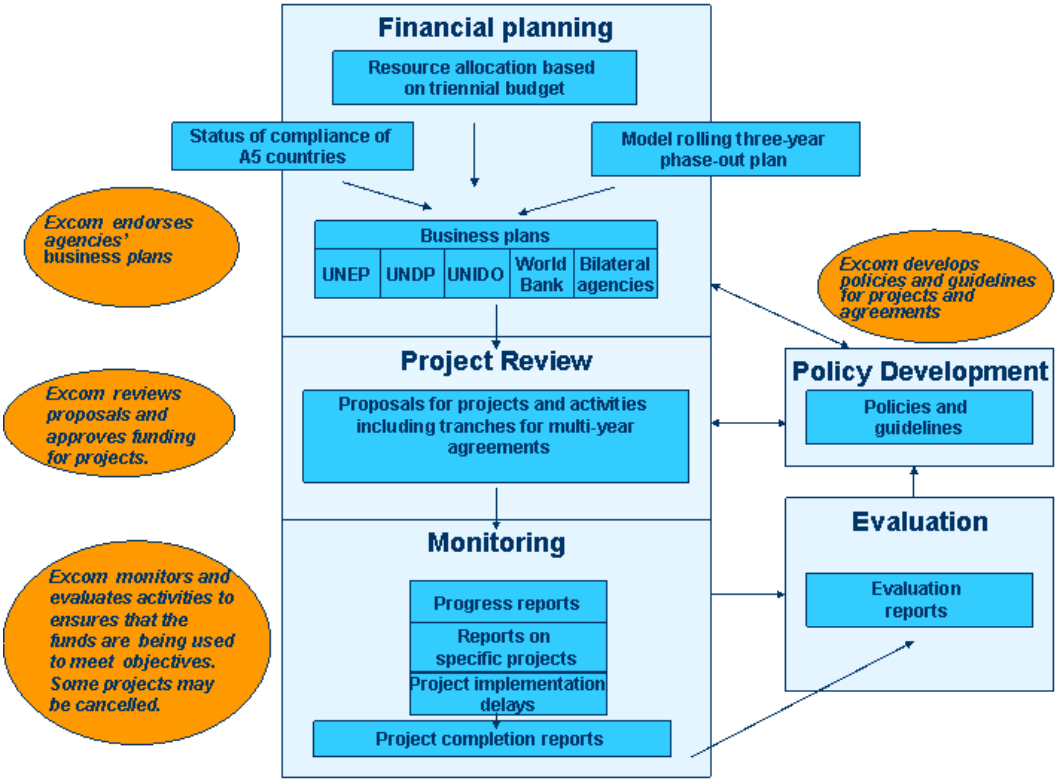
[9] This agreement superseded the previous agreement made in 1991 and revised in 2002. For further information see of the Policies, Procedures, Guidelines and Criteria (Treasurer of the Fund)

[10] Further information on the agreements between agencies and UNEP as Treasurer can be found in the Policies, Procedures, Guidelines and Criteria. The texts of the four agreements are reproduced in Annexes I.3, I.4, I.5 and I.6 of the same document.

APPENDIX 2. HOW THE MULTILATERAL FUND OPERATES



2.1. Financial planning

2.1.1. Replenishment of the Multilateral Fund

The Multilateral Fund has been replenished every 3 three years since 1994 by the Parties to the Montreal Protocol. As mandated by the Parties and to facilitate discussions on the replenishment, the TEAP prepares a study analyzing relevant issues and calculates an appropriate replenishment level to finance the Fund's work over the next triennium to assist the Parties. After reviewing the TEAP calculated funding needs, the OEWG normally asks for additional information and forwards a recommendation on the replenishment to the Parties. A final decision on the replenishment budget is taken at the Meeting of the Parties (MOP) in the final year of the preceding triennium. For the 2009-2011 triennium, the Parties established a replenishment budget of US $490 million "on the understanding that US $73.9 million of that budget is from anticipated contributions due to the Multilateral Fund and other sources from the 2006-2008 triennium and US $16.1 million would be provided from interest accruing to the Multilateral Fund during the 2009-2011 triennium (decision XX/10)".

For the last four replenishments (2000-2002, 2003-2005, 2006-2008 and 2009-2011), a fixed-rate exchange mechanism (FERM) was agreed upon at the same MOP that considered the replenishment budget. The FERM for the 2009-2011 period is based upon on the average United Nations exchange rate for the six-month period commencing 1 January 2008 (decision XX/11). The impact of the FERM on the value of resources available to the Fund is monitored by the Treasurer as part of his report on the Status of Contributions and Disbursements to each meeting of the Executive Committee.

Contributions to the Multilateral Fund are made by non-Article 5 Parties on the basis of United Nations scale of assessment. These contributions may be made either in cash, through the use of promissory notes, or in-kind and bilateral contributions according to an annual scale of contributions agreed by the Parties. The Executive Committee has requested Parties using promissory notes to do their utmost to meet the Treasurer's request for their accelerated encashment in order to mitigate cash flow problems. The Committee also encouraged Parties, in the context of the 2009-2011 replenishment, to make their contributions in the form of cash in order not to delay project implementation by implementing agencies (decision 51/3).

2.1.2. Resource allocation

Financial planning for the triennium[11]

The Executive Committee carries out a financial planning exercise each time the Parties adopt a triennial budget. The result of this is an annual allocation for each year of the triennium based on the total budget available, the annual scale of contributions based on business planning taking into account the three-year rolling phase-out plan, and the status of compliance.

Some of the total budget will have already been committed by the Executive Committee. Committed items will include: funds for multi-year agreements or those earmarked for standard costs incurred by the Fund (institutional strengthening, the budget of the Fund Secretariat and Executive Committee meetings, implementing

[11] At its 57th Meeting the Executive Committee will agree on annual allocations for 2009, 2010 and 2011 taking into consideration the compliance needs of countries in view of the impending 2010 Montreal Protocol targets for CFCs, the need to address the 2013 and 2015 Montreal Protocol HCFC reduction targets and develop overall HCFC phase-out strategies, and the ability of bilateral and implementing agencies to deliver their business plans in a timely and effective manner.

agencies' core unit administrative costs, and UNEP's compliance assistance programme (CAP)).

2.1.3. Business Planning

In 2002, the Executive Committee adopted the "three-year rolling phase-out plan" (decision 38/66) as the basis of business planning in the Multilateral Fund. This approach is based on the approval of certain amounts of ODS for specific countries during the triennium to enable them to comply with the Montreal Protocol control measures. The Compliance-Oriented Model (COM) for a funding triennium provides the total number of ODP tonnes of substances that need to be phased-out over the following three years. It is updated annually in the form of the **Model three-year phase-out plan** before and after the last meeting of the year, to facilitate the implementing agencies' preparation of their business plans that are submitted to the following meeting. From 2008 the compliance-oriented model/three-year phase-out plan also includes an analysis of HCFCs so that it would take into account all ozone depleting substances needing to be addressed (decision 54/5 (b).

Each year, the implementing agencies and bilateral agencies meet with the Fund Secretariat to coordinate the annual business plans in light of both the three-year phase-out plan and the information on the **Status of implementation of delayed projects and prospects of Article 5 countries achieving compliance with the next control measures of the Montreal Protocol.** Following this meeting, agencies submit their business plans to the Fund Secretariat, which compiles the information provided by the agencies into the **Consolidated Business Plan of the Multilateral Fund**. This document also addresses any major policy issues raised in the business plans.

The implementing agencies' business plans are submitted to the Executive Committee along with the comments and recommendations of the Fund Secretariat. They contain all the projected activities for a given year together with performance indicators, which provide the basis for the evaluation of the agencies performance. The annual business plans are presented to the Executive Committee as multi-year business plans since three years of activities are included. However there is less certainty with regard to projects and activities for the second and third years that are not part of ongoing multi-year agreements. The Secretariat monitors the implementation of business plans at each subsequent meeting of the year to inform the Committee of the extent to which the planned activities were achieved. The Secretariat also compiles information from bilateral and implementing agencies on reasons why projects required for compliance included in annual business plans are not submitted for consideration (decision 50/3).

2.2. Country Programmes

An essential first step for an Article 5 country to receive assistance from the Multilateral Fund is the submission of a government endorsed country programme to the Executive Committee. The Multilateral Fund finances the preparation of country programmes as a process to assess national compliance, formulate an action plan for phase-out and establish needs for Fund assistance. Country programmes are drawn up with the assistance of one of the implementing agencies.

The Fund Secretariat reviews the country programmes it receives from agencies and forwards them to the Executive Committee with an evaluation sheet, comments and recommendations. Relevant documentation is also attached including the transmittal letter from the relevant government, a Country Programme Cover Sheet and the Executive Summary submitted by the relevant Government.

An Executive Committee approved country programme is in principle a prerequisite for investment support from the Multilateral Fund. Approval of the country programme does not mean that all the projects identified in the country programme will be approved or will be funded at a particular funding level. Countries with a Country Programme have to present information annually to the Executive Committee on progress being made in the implementation of the country programme, in accordance with the decision of the Executive Committee on implementation of country programmes (UNEP/OzL.Pro/ExCom/10/40, paragraph 135). The Fund Secretariat uses these data when analysing the status of compliance of Article 5 countries. Price data on all ODS, including HCFCs and their alternatives, is included in the country programme data reports (decision 54/4).

An online web-based data entry system prepared on the basis of the revised country programme format for use by national ozone units was made available in 2007 through the Multilateral Fund's website (decision 50/4) allowing countries not only to submit their country programme data but also to access their reported Country Programme data at any time. A manual on how to complete the country programme form is also available: "A Practical Manual for Reporting".

2.3. Project review and approval

2.3.1. Projects and activities financed by the Multilateral Fund

The Multilateral Fund provides financial assistance for projects in countries classified under Article 5 of the Montreal Protocol in order to assist them to meet the control

measures of the Protocol. All projects submitted to the Fund must receive the requesting Party's approval before consideration by the Executive Committee. Financial assistance covers the incremental costs of investment projects and also covers the costs of other activities such as country programme preparation, demonstration projects, institutional strengthening projects, project preparation, technical assistance or training, as well as a Compliance Assistance Programme targeting low volume-consuming-countries funded through UNEP. Countries that are not in compliance with the Montreal Protocol cannot receive funding from the Multilateral Fund until the underlying issues of non-compliance have been dealt with by the Implementation Committee.

The Secretariat ensures that projects submitted to the Multilateral Fund follow guidelines elaborated in the decisions made by the Committee at its meetings. Project proposals, along with other pre-session documents, are available to the Executive Committee four weeks before a meeting. Any further information on these project proposals must be provided to the Committee members at least two weeks in advance of the meeting. According to decision 41/80(a) cost-related issues associated with projects have to be resolved one week before a meeting of the Executive Committee, otherwise the projects concerned should not be considered by the Executive Committee at that meeting. As far as possible new policy issues regarding projects should be resolved or alternative solutions identified prior to the submission of a project.

For detailed information on the policies and procedures affecting the project cycle, please refer to Section IX. Project Proposals of the "Policies, procedures, guidelines and criteria".

2.3.2. Strategic planning of projects and activities

In the 1990's the Executive Committee divided projects into investment and non-investment projects. Non-investment activities included institutional strengthening projects, project preparation, technical assistance or training. Since 2000, the Multilateral Fund has put less emphasis on the funding of stand-alone projects and has moved towards national phase-out plans (NPP) targeting the total remaining consumption of a specific controlled substance(s) in a country. The strategic planning framework adopted in 2001 has the goal of providing support to enable each Article 5 country to comply with the Montreal Protocol control measures whilst fostering a "country driven" approach towards compliance. Funding is based on a commitment by the country to achieve sustainable, permanent reductions in consumption and production of ODS. Governments have greater responsibility for managing national phase-out programmes and there must be a demonstrated relevance between the

funded activities and compliance with the specific Montreal Protocol control measures (decision 35/56).[12] This demonstrated relevance to compliance is defined as a direct and, if applicable, quantifiable linkage between the funded activities and the specific Montreal Protocol compliance target to be achieved.

One important element of the strategic planning process introduced in 2001 was a definition of a starting point for determining the sustained reduction of each Article 5 country namely, the remaining CFC consumption eligible for funding (decision 35/57). An Article 5 country could choose to base its remaining eligible CFC consumption for funding on the Montreal Protocol baseline data (option 1) or the latest reported CFC consumption data (option 2). Each Article 5 country had to choose one of the two options before consideration of projects by the Executive Committee. If a country submitted a project without selecting an option, option 1 automatically applied. The Committee also adopted provisions for increased funding for institutional strengthening, provisions for country programme updates and provision for attributing phase-out to non-investment activities (decision 35/57). Non-investment activities were given a cost-effectiveness value of US $12.10/kg. This value does not apply to low-volume consuming countries (decision 36/7).

National ODS phase-out plans map out a detailed plan of action to eliminate the entire remaining consumption of the most common ODS in a country. Each plan is governed by a multi-year agreement between the Executive Committee and the government concerned which specifies *inter alia*:

- the annual reduction target to be achieved,
- the total funding level from the Multilateral Fund agreed in principle, and
- a schedule for the disbursement of funds.

These plans, often called national phase-out plans (NPPs), national CFC phase-out plans (NCPP) or, when related to the servicing sector, Terminal phase-out plans (TPMP), are a combination of investment and non-investment projects. Under these agreements, the responsible implementing agencies are required to submit a verification report on the achievement of the ODS reduction targets specified in the agreements as a prerequisite for the release of the next tranche of funds. If the country does not comply with the agreement or with the Montreal Protocol ODS reduction compliance targets, the country is not entitled to receive funding in accordance with the schedule contained

[12] For more information on the adjusted funding policies of the Multilateral Fund see UNEP/OzL.Pro/ExCom/34/53 (Revised) - Strategic planning: proposals on implementing the framework on the objective, priorities, problems, and modalities for strategic planning of the Multilateral Fund in the compliance period

in the agreement. The first guidelines for the multi-year agreements were adopted at the 38th Meeting of the Executive Committee (decision 38/65).

Significant decisions concerning NPPs, TPMPs and RMPs are listed in the following table.

Significant decisions concerning RMPs, NPPs and TPMPs

Decision	Brief explanation
Decision 31/48 Refrigerant management plan (RMP)	Decision 31/48 specifies modalities for approving funding for the preparation and implementation of RMP projects. It includes among other things: • a commitment by the Executive Committee to increase funding for ongoing RMPs by up to 50% of its original level; • a request for commitment from each LVC (Low volume consuming) country to achieve 50% CFC reduction by 2005 and 85% reduction in 2007 with the increased funding; • a request for commitment from each LVC country to report annually on RMP implementation; and • a decision to review in 2005 whether further assistance needed beyond 2007 and at what level (see decision 45/54).
Decision 36/17 Preparation/submission of sectoral/national phase-out plans	The Executive Committee urged countries to continue to move away from a project-by-project approach to a sectoral/national phase-out approach. The submission a country's first sector phase-out project had to be accompanied by: an implementation plan covering the coordination among the agencies involved; details on how the ODS remaining to be phased out were distributed over the various sectors; and, how reductions in national aggregate consumption would be verified. Countries could still submit individual projects if that approach was appropriate to their circumstances.
Decision 38/64 Refrigerant management plan (RMP) and TPMPs. Provisions for funding of terminal CFC phase-out plans (TPMPs) for LVC countries	At its 38th Meeting, the Executive Committee decided that specific requests for funding of TPMPs for LVC countries might be considered on a case-by-case basis. Terminal Phase-out management plans can be approved provided the country has a licensing system in place and the government is willing to manage the total phase-out of CFC's without further funding from the Multilateral Fund and is also committed to annual reporting and meeting the reduction step. Implementing agencies should advise Article 5 Governments on the financial implications for submitting a terminal phase-out plan, and make every effort to assist the country to achieve phase-out targets specified in the plan.
Decision 38/65 Guidelines for preparation, implementation and management of performance-based phase-out plans	The decision outlines the general principles and procedures to be followed when preparing, implementing and managing performance-based ODS phase-out plans in both the consumption and production sectors. These are contained in document UNEP/OzL.Pro/ExCom/38/57/Rev.1.

Decision 41/100 Flexibility in the implementation of refrigerant management plans	Subsequent to the evaluation of RMPs in LVC countries by the Executive Committee at its 41st Meeting, the Committee adopted decision 41/100 on ways to reorient the approach to RMP projects to better facilitate compliance by LVC countries, including a flexible approach to funding the components of an RMP.
Decision 45/54 Provisions relating to further assistance for the post-2007 period in LVC countries: TPMPs and preparation of transitional strategies for CFC-MDIs.	The Committee decided on a regime to make additional funds available to assist smaller countries to complete the phase-out of the final 15 per cent of CFCs, noting that this would be among the least cost-effective areas to be funded and that the effort required would be correspondingly greater. The Committee would support proposals for TPMP funding on the understanding that : • they are consistent with all relevant Executive Committee decisions; • they contain a commitment by the government concerned to the phased reduction and complete phase-out of the consumption of CFCs according to a specific phase-out schedule at least consistent with the Montreal Protocol's control measures ; • government would have flexibility in utilizing the resources available but no additional resources would be provide from the Fund; • annual reporting and a comprehensive work plan for the implementation of the following year's activities are mandatory; and • roles and responsibilities of the major stakeholders are defined. Additional funding of up to US $30,000 can be requested for a preparation of TPMP proposal. Up to 20 per cent of approved funds should be used to ensure comprehensive annual monitoring and reporting. The decision also established the maximum funding level for such projects which were based on the baseline consumption of the Article 5 country concerned. The Committee also decided to approve, on a case-by-case basis, up to US $30,000 for the preparation of a transitional strategy for CFC-MDIs in low-volume-consuming countries where the need for a strategy had been fully demonstrated and documented.
Decision 46/17 Progress reports on implementation of approved recovery and recycling programmes	Progress reports required by decision 45/54, should be in a format similar to the reports currently prepared under decision 31/48 for refrigerant management plan (RMP) updates and should provide a similar comprehensive overview of the implementation of the RMP.
Decision 46/37 Flexibility conditions in phase-out agreements	Flexibility in the use of funds has been a key provision of the arrangements under which the Executive Committee supports sectoral or national phase-out plans in Article 5 countries (38/65). This decision elaborates the conditions applicable to future agreements for the exercising of such flexibility in the use of funds by defining major and minor changes to endorsed annual implementation plans.

Decisions 46/38 and 46/39 Criteria for the assessment of the progress reports and verification audits of multi-year agreements	The Executive Committee adopted new guidelines for verifying national ODS reduction targets in multi-year projects to assist in confirming that agreed reduction targets had been met. Verification should review national legislation; policies and procedures on ODS imports/exports; official statistics and quotas; representative samples from importers/exporters and where available, distributors. Information that is required for the purpose of the verification includes: a list of authorised importers and where available, distributors; import quotas and export licences issued; actual ODS imports and exports; national ODS policies and procedures; Government enforcement structure for ODS imports and exports; documents to be presented to customs by importers/exporters In view of the significant challenges posed by the 2005 and 2007 control measures and the need to enhance monitoring of the implementation of RMPs to enable the Multilateral Fund to assist as early as possible before non-compliance becomes an issue, the Committee approved a revised reporting format for the implementation of country programmes. National Ozone Units will start to use it in 2006 to report the 2005 country programme implementation data. An online web-based data entry system prepared on the basis of the revised country programme format is available through the Multilateral Fund's Website.
Decision 47/50 New options for monitoring and assessing the progress of agencies with regard to multi-year agreements	The Committee approved a number of measures for improving the accuracy of progress reporting on multi-year agreements. The Committee requested implementing agencies to record phase-out according to the actual and real levels of consumption achieved through annual tranches of multi-year agreements. In some cases, further explanation might be needed on these levels of consumption phased-out and there should be consistency in the use of the definition of planned and actual phase-out.
Decision 48/17 Submission of TPMPs	The Committee decided that TPMPs should be submitted for blanket approval provided that they were in accordance with the relevant policies and decisions of the Multilateral Fund, they contained no policy issues, and that technical and cost issues had been agreed between the Secretariat and relevant implementing agencies
Decision 48/41 Verification of the phase-out targets in TPMPs,	Decision 45/54(d) requires the verification of phase-out targets of a randomly selected sample of TPMPs for low-volume-consuming countries on an annual basis. In order to reflect this decision the Executive Committee decided that future agreements for TPMPs would include a clause to the effect that the meeting of the phase-out targets would be independently verified if requested by the Executive Committee.
Decision 49/6 Compendium of recommendations relevant to the evaluation of refrigerant management plans (RMPs) and national phase-out plans (NPPs) in non low-volume-consuming countries focusing on the refrigeration servicing sector	The Executive Committee approved a categorized compendium of recommendations relevant to the evaluation of RMPs and national phase-out plans in non-low volume-consuming countries. The text of the decision distinguished between new recommendations and those that had previously been approved by the Executive Committee. The full decision, including all the categorised recommendations can be found in the report of the meeting posted on the web-site of the Fund Secretariat.
Decision 50/3 Conditional approval of annual work programmes for multi-year agreements (MYAs)	On some occasions the Executive Committee approves funds for tranches of MYAs on condition that the release of funds is made only after fulfilment of a number of conditions. In order to monitor the fulfilment of these conditions, the Executive Committee requested that the implementing agency concerned should coordinate and confirm with the Fund Secretariat that the conditions for release of funds had been met prior to disbursing the funds to the country concerned.

Decision 51/12 Flexibility clause as it applied to the disbursement of funds under national phase-out plans	Implementing agencies must seek authorization from the Executive Committee prior to using the flexibility conditions of decision 46/37 to allow funds to be directed to enterprises established after July 1995 in cases where countries had committed to the total phase-out of the ODS concerned. Bilateral and implementing agencies have to report as part of their regular periodic reporting under multi-year-agreements whether they had used the flexibility clause for this purpose.
Decision 51/13 Issues related to monitoring and reporting on multi-year agreements	Project proposals presented to the Executive Committee (pre-session documents) would contain a cover-sheet in an interim format that would present a standard overview of data on MYAs and allow the Committee to track cumulative progress achieved in the annual work programmes. The Executive Committee also approved new procedures for monitoring implementation difficulties in MYAs which were defined as activities for which no progress was detected in the context of the review of annual implementation plans. Any status reports on MYAs with implementation difficulties required by the Executive Committee would be presented in the format of projects with implementation delays and would be considered by the Executive Committee in the context of that agenda item.
Decision 54/35 Penalty clause in a TPMP agreement for LVC country and non-LVC countries	The Executive Committee considered the penalty clause in a TPMP agreement in the case of an LVC country that had levels of CFC consumption above the allowable levels under the Agreement between the Government and the Committee. In such cases the Executive Committee decided to apply the penalty in the Agreement calculated as 10 per cent of the amount of the tranche being submitted on the basis of the following three criteria: the country concerned was a LVC country; it was the first time that the country had been in non compliance; and, the country had returned to compliance without additional assistance from the Multilateral Fund (decision 54/34). In the specific case of a non-LVC country that was not in compliance with the consumption indicated in its agreement with the Executive Committee, where a proposal had been submitted by its Government to return the country to compliance with the agreement, the Executive Committee calculated a penalty on an individual basis and set out a number of conditions in respect of the CFC consumption sector agreement.

Information on multi-year phase-out plans and projects, including relevant decisions and the text of agreements, formerly contained in the PPCG document is available in the "Phase-out plans and projects" document available from the Multilateral Fund website and intranet.

HCFC phase-out management plans

The guidelines for HCFC phase-out management plans (HPMPs) set out a staged approach that allows the guidelines to be updated as new technologies are developed. Stage one of a country's HPMP would address meeting the baseline freeze for HCFCs in 2013 and the 10 per cent reduction in 2015. The Committee requested that countries employ the guidelines to develop stage one of their HPMPs as soon as possible, depending on the availability of resources. A structure for determining funding levels for preparation of HCFC investment and associated activities was agreed at the 56th Meeting (decision 56/16).

The submission requirements for HPMPs are similar to those for RMPs, TPMPs, and NPPs with respect to agreements and review periods. Similarly, reporting, monitoring verification and evaluation guidelines for RMPs, TPMPs, and NPPs and individual projects apply to HPMPs. HPMPs should be submitted 14 weeks in advance of Executive Committee meetings for review by the Fund Secretariat.

Significant decisions concerning HPMPs

Decision	Brief explanation
Decision 54/39 Guidelines for HCFC phase-out management plans (HPMPs)	The guidelines set out a staged approach that allows the guidelines to be updated as new technologies are developed. Stage one of a country's HPMP would address meeting the baseline freeze for HCFCs in 2013 and the 10 per cent reduction in 2015. For countries with HCFC consumption in the refrigeration servicing sector the elaboration of stage one of the HPMP and subsequent stages would be developed consistent with existing guidelines for the preparation of RMPs/RMP updates (decisions 31/48 and 35/57) and, if applicable, with the preparation of TPMPs (45/54). For countries with manufacturing sectors using HCFCs, HPMPs would contain a national performance-based phase-out plan (NPP) with one or several substance or sector-based phase-out plans consistent with decision 38/65. These plans would address reductions in consumption sufficient to achieve the 2013 and 2015 HCFC control measures and provide starting points for aggregate reductions, together with annual reduction targets. The guidelines also provide for countries that choose to implement investment projects in advance of completion of the HPMP. Given the importance of regulations, legislation and a licensing system covering HCFCs, the HPMP preparation funding should cover assistance to include HCFC control measures in legislation, regulations and licensing systems, and confirmation that this has been done would be a prerequisite for funding implementation of the HPMP. Countries and implementing agencies were encouraged not only to take account of the ozone depleting potential of HCFCs but also the global warming implications of alternative substances and technologies and exploit any potential financial incentives and opportunities for additional resources.
Decision 55/13 Preparation of HCFC phase-out management plans	The Committee agreed that a discount of 25 per cent would applied to the HPMP preparation costs of those countries that had already received funding for HCFC surveys. However these countries would have flexibility in utilizing the agreed project preparation funding. The level of HPMP preparation funding for countries that had reported zero HCFC consumption would be US $30,000 but such countries could submit requests for additional funding for HPMP preparation if levels of HCFC consumption greater than zero were identified during the HPMP preparation process and duly reported under Article 7 of the Montreal Protocol.

Decision 55/43 HCFC phase-out costs	The Executive Committee set out an extensive decision on the preparation and submission of initial projects to address HCFC uses in aerosol applications, foam and refrigeration manufacturing sub-sectors, fire extinguishers and solvents. The intention would be to enable the Committee to choose projects that best demonstrated alternative technologies and facilitated the collection of accurate data on incremental capital cost and incremental operating costs or savings, as well as other data relevant to the application of the technologies. Mindful of the need to avoid any possible double funding of HCFC consumption phase-out, the quantity of HCFC to be phased out under these initial projects would be deducted from the starting point for sustained aggregate reductions in eligible consumption as set by a country's HCFC phase-out management plan (HPMP). The Executive Committee noted the limited introduction of several of the HCFC alternative technologies available in Article 5 countries, the variation in costs of the technologies and the need to validate these technologies and adapt them for use in Article 5 countries and asked the Secretariat to gather technical information related to HCFC phase out in the aerosols, fire extinguishers and solvents sectors on an ongoing basis. The Committee also would consider deferring to its first meeting in 2010 any decision on policies for the calculation of incremental operating costs or savings from HCFC conversion projects, as well as the establishment of cost-effectiveness thresholds, in order to benefit from the experience gained through review of HCFC phase-out projects as stand-alone projects and/or as components of HPMPs prior to that Meeting. The Executive Committee would continue its deliberations on policy relating to second stage conversions and determination of the cut-off date for installation of HCFC based manufacturing equipment, after which incremental costs for the conversion of such equipment would not be eligible for funding. A number of other issues were also left to future meetings: the consideration of individual, regional or multilateral funding mechanisms that might be suitable and compatible as sources for timely co financing to top up Multilateral Fund ozone funding in order to achieve additional climate benefits; HCFC phase-out technologies that would minimize other impacts on the environment, including on the climate as originally envisaged in decision XIX/6 of the Nineteenth Meeting of the Parties; and, issues relating to whether or not to withdraw prematurely functioning equipment once the 2013 and 2015 HCFC compliance targets had been addressed
Decision 56/16 Cost structure for determining funding levels for preparation of HCFC investment and associated activities	Sets out a funding structure for the preparation of an overall HPMP in line with the guidelines for HPMPs developed at the 54th Meeting (decision 54/39). The Committee defined four components for the HPMP cost structure: 1) assistance for policy and legislation; 2) survey of HCFC use and analysis of data; 3) development and finalization of the HPMP including its stage one to address the 2013 and 2015 control measures, the latter being akin to a terminal phase-out management plan (TPMP) or a refrigeration service sector plan; and, 4) development of investment activities for the HCFC-consuming manufacturing sectors for stage one of an HPMP, if such activities were necessary.

See Hydrochlorofluorocarbons in Section VII (Controlled substances) of "Policies, procedures, guidelines and criteria"

The "Indicative outline and contents of the HCFC phase-out management plans" can be found in Annex XIX of document UNEP/OzL.Pro/ExCom/54/59.

Further elaboration and analysis of issues pertaining to the phase-out of the HCFC production sector (decisions 53/37(g) and 55/42). Document UNEP/OzL.Pro/ExCom//56/57: This document summarizes policy documents presented to the 53rd, 54th and 55th Executive Committee meetings regarding the accelerated phase-out of HCFCs. It provides an overview of decisions adopted by the Committee as of February 2009.

Institutional strengthening

Institutional strengthening is a very important part of the Fund's activities since it is important to ensure that the institutional and human infrastructure is in place to facilitate implementation of projects and activities. Institutional strengthening is an example of an addition to the Indicative List of Incremental Costs. The Executive Committee considers it important to have sufficient funding in all Article 5 countries for a full time national ozone officer, who is a key player in helping countries meet their Montreal Protocol deadlines. Thus a threshold level of US $30,000 is made available to countries, provided that they assign a full-time ozone officer to manage the ozone unit and that a national licensing system to control ODS imports is in place.[13]

See Institutional Strengthening. Section X. of "Policies, procedures, guidelines and criteria"

A summary of the development of rules and policies for the funding of institutional strengthening projects can be found in Annex I of document UNEP/OzL.Pro/ExCom/47/53.

2.3.3. Project Review Process

Implementing agencies submit funding proposals for projects and activities to the Secretariat according to a strict timetable. All new national or sector plans including

[13] Anticipated actions required by Article 5 countries to meet compliance obligations after 2010 indicate that funding support for institutional strengthening would likely be needed after 2010. The Executive Committee will examine possible funding arrangements and levels for institutional strengthening support beyond 2010 in light of decision XIX/6 of the Nineteenth Meeting of the Parties at its 57th Meeting (decision 53/39).

HPMPs, but with the exception of TPMPs, must be submitted at least 14 weeks before an Executive Committee meeting. Other submissions must be submitted by an 8 week deadline. The Fund Secretariat will check that submissions from the agencies have all the relevant documentation. In addition a country's data reporting obligations must be up-to-date.

Web-based overview tables of multi-year agreements have been developed by the Fund Secretariat to facilitate the review of requests for annual tranches of multi-year projects. Each overview includes the latest Article 7 and country programme ODS consumption and production data (in ODP values), the amounts phased-out by the project, project costs, the tranche submission schedule, information on national policies and on the results of completed activities as well as the annual implementation plan. The overview tables are available through the intranet and the system is also used to generate the project cover sheet in project proposal documents.

Projects and activities that, by the date of the submission deadline before each meeting, do not contain the information or components necessary for the project to be considered as potentially approvable, are not included in meeting documentation for that meeting. The Secretariat advises the Executive Committee of proposals received but not included in meeting documentation, together with the reasons for non-inclusion (decision 50/14).

Proposals for investment projects and activities are reviewed by the Secretariat based on the rules and policies governing the determination of incremental costs. These criteria and guidelines have evolved through successive decisions made by the Executive Committee at their meetings. The Secretariat reviews proposals with the aim of reaching an agreement with the implementing agencies about technical and incremental cost aspects and also to identify any emerging policy issues to bring to the attention of the Executive Committee.

The proposals for investment projects and activities are submitted to the Executive Committee with a recommendation based on the review by the Fund Secretariat. Significant adjustments can be made to the project proposals during this process; for example level of costs and sometimes technology choice, and to take account of the policy decisions previously taken by the Committee. Projects which meet all the eligibility requirements and for which there are no policy or other issues outstanding, may be approved on the basis of the Secretariat's recommendation for blanket approval. The Executive Committee discusses and makes more complex decisions on any projects which raise policy issues.

2.3.4. Discussion of project proposals by the Committee

Proposals for projects and activities may be approved in two ways: as a blanket approval; or following discussion by the Committee. In exceptional cases the Executive Committee may decide to proceed with an intersessional review and approval process. Since the 42nd meeting, all discussions on project review have taken place in the plenary of Executive Committee meetings. From time to time, a contact group may be formed to discuss a particular project or issue in more detail and report back to the plenary.

Route 1 – Projects in the list of 'blanket approval'

Projects which meet all the eligibility requirements and for which there are no policy or other issues outstanding, may be approved on the basis of the Secretariat's recommendation for blanket approval. This list can include tranches of multi-year agreements or national phase-out plans. The list of "blanket approvals" submitted to a meeting in the **Overview of issues identified during project review**. The blanket list of projects and activities may be approved by the Executive Committee without any further discussion. The documentation for projects in the blanket approval list may be found in the **Work Programmes** of agencies, the **Bilateral Cooperation** document or in a **Project Proposal** document for the country concerned.

Route 2 – Projects for individual consideration

The Executive Committee discusses and makes more complex decisions on any projects which raise policy issues but are still potentially approvable. The Executive Committee considers these proposals for projects and activities individually and may approve them with or without a number of conditions. If the project is rejected, the implementing agency may submit it again at a future date, or seek alternate projects.

After approval

Following project approval, the Executive instructs the Treasurer to disburse funds to the appropriate implementing agency(ies). Following verification that proper project components are in place, the agency will disburse funds to involved project entities. On some occasions the Executive Committee approves funds for tranches of MYAs on condition that the release of funds is made only after fulfilment of a number of conditions. In order to monitor the fulfilment of these conditions, the implementing agency concerned coordinates and confirms with the Fund Secretariat that the

conditions for release of funds have been met prior to disbursing the funds to the country concerned.

Within six months of project completion, the implementing agency should submit a project completion report to the Secretariat.

2.4. Monitoring

The Executive Committee has considered monitoring matters since its Fifth meeting in 1991. The Fund Secretariat monitors activities at the project level and the agency level. By 1995, the Secretariat had developed a standard format for progress reporting which simplified oversight by the Executive Committee. Standard progress reports are submitted by implementing agencies to the Executive Committee once a year, normally at its second meeting. Bilateral and implementing agencies also submit data on projects with implementation delays to each meeting.

2.4.1. Performance of implementing agencies

At the second meeting of the year, the agencies provide an annual progress report on both the implementation of approved work programmes and activities related to country programmes and projects. These reports include information on the performance of implementing agency performance indicators.

2.4.2. Monitoring projects - implementation delays and cancellation

Monitoring of projects involves periodic reporting to gauge the project's progress or lack of progress. The Secretariat scrutinizes data on the performance of projects reported by the implementing and bilateral agencies in their "Progress reports". Projects which are experiencing delays and projects with financial balances are monitored more closely and are reported to each Executive Committee meeting.

At each of its meeting the Executive Committee considers:

- Project implementation delays;
- Annual tranche submissions delays, and
- Project cancellation.

The Executive Committee considers a consolidated report on project implementation delays prepared by the Fund Secretariat based on reports from bilateral and implementing agencies. From the 54th Meeting this report has been consolidated into the document "Status of implementation of delayed projects and prospects of Article 5 countries achieving compliance with the next control measures of the Montreal Protocol" presented to each meeting.

A project is classified as having a delay if it is to be completed over 12 months late or where disbursement occurred 18 months or more after project approval. Such projects are monitored at each meeting for progress and are subject to the Executive Committee's procedure for project cancellations. Note that the procedure only applies to stand-alone investment projects and is not used for institutional strengthening projects or multi-year agreements.

The Executive Committee considers cancelling a project with implementation delays that has experienced no progress for two consecutive Executive Committee meetings. At this point, countries and implementing agencies are required to agree deadlines for project milestones. The Executive Committee will inform the country of the possibility of cancellation by means of an official letter sent by the Secretariat that emphasizes the importance of the project and make suggestions for more positive ways to achieve compliance (decision 50/10). The project is automatically cancelled if the agreed deadlines for the project milestones are not met. In the vast majority of cases, projects are cancelled by mutual agreement between the implementing agencies and the Government of the country concerned. Automatic cancellation only occurs in about five per cent of cases.

The Fund Secretariat proactively seeks out information regarding causes for implementation delays, and addresses them in collaboration with the implementing agencies.

2.4.3. Monitoring multi-year agreements

Since 1999, multi-year agreements had increasingly become the predominant means for disbursement of Multilateral Fund resources. Under these agreements, implementing agencies are required to submit a verification report on the achievement of the ODS reduction targets specified in the agreements as a prerequisite for the release of the next tranche of funds. At the 46th meeting the Executive Committee adopted new procedures for verifying national ODS reduction targets in these multi-year projects (decisions 46/38 and 46/39) so that further disbursements of funds to the projects can be

approved. Verification data will be collected by means of a revised reporting format for the implementation of country programmes.

The Executive Committee monitors multi-year agreements through: progress/verification reports submitted with annual funding tranche requests; annual implementing agency progress and financial reports; annual monitoring and evaluation work programme and project completion reports. At the 47th Meeting, the Executive Committee adopted a number of measures to improve the accuracy of progress reporting on multi-year agreements (decision 47/50). The Committee requested implementing agencies to record phase-out according to the actual and real levels of consumption achieved through annual tranches of multi-year agreements. Implementing agencies were also requested to inform countries of the need to exceed the phase-out level indicated in an agreement where necessary to meet the obligations of the Montreal Protocol, as well as those cases where actual consumption or production data had resulted in changes to the phase-out indicated in the agreements. The Executive Committee also decided that there would be a separate sub-agenda item on delays in the submission of annual tranches and disbursement of funds for tranches and obligations. At the first meeting of the year the Executive Committee monitors tranche delays using the **Annual tranche submission delays** document. At the second and third meetings of the year information on tranche submission delays is included in the document presenting the review of the implementation of business plans under the agenda item ***Status of resources and planning.***

2.5. Evaluation

The evaluation process considers completed and on-going projects and provides information on the strengths and limitations of various types of projects and phase-out plans, the major causes of failures to reach targets, lessons learnt during implementation and recommendations for actions to improve performance of the Fund.

The Executive Committee started to address evaluation in 1995 at which time it approved the preparation of evaluation guidelines: for more information refer to the Evaluation Guide in Appendix XI.2 of the "Policy, Procedures, Guidelines and Criteria of the Multilateral Fund". Henceforth, all project proposals included milestones for the completion of the various stages of the project. Completion reports are collected from bilateral and multilateral implementing agencies by the Fund Secretariat using standardized formats for different types of projects. The Secretariat consolidates the information from the agencies' project completion reports including lessons learned reported in annual implementation reports on multi-year agreements (decision 48/12) into the "Consolidated project completion report", for the Executive Committee's

consideration at the final meeting of each calendar year. Given the wealth of information in the lessons learned section of the project completion report, the Executive Committee asked all those involved in the preparation and implementation of projects to take them into consideration, and to facilitate discussion on lessons learned during regional network meetings (decision 50/8).

Evaluation activities are approved on an annual basis by the Executive Committee in the form of the Monitoring and Evaluation Work Programme. Evaluations are prepared by independent consultants under the coordination of the Senior Monitoring and Evaluation Officer. To date the studies have focused on completed and ongoing projects on the sectoral level. The main task ahead is to prepare the mid-term evaluations foreseen in multi-year phase-out agreements.

An evaluation study includes analysis of the objectives, the results achieved by projects and agreements, and reasons for delays. Evaluation studies can point to compliance risks. The lessons and recommendations from evaluation studies are aimed at improving the focus and mode of implementation of projects by providing information on the strengths and limitations of various types of projects and phase-out plans, the major causes of delays and of action taken to overcome difficulties.

For further information see Evaluation Guide. Appendix XI.2. of "Policies, procedures, guidelines and criteria"

APPENDIX 3. EXECUTIVE COMMITTEE MEETINGS

Terms of reference of the Executive Committee as modified by the Meeting of the Parties in its decisions IX/16, XVI/38 and XIX/11

1. The Executive Committee of the Parties is established to develop and monitor the implementation of specific operational policies, guidelines and administrative arrangements, including the disbursement of resources, for the purpose of achieving the objectives of the Multilateral Fund under the Financial Mechanism.

2. The Executive Committee shall consist of seven Parties from the group of Parties operating under paragraph 1 of Article 5 of the Protocol and seven Parties from the group of Parties not so operating. Each group shall select its Executive Committee members. Seven seats allocated to the group of Parties operating under paragraph 1 of Article 5 shall be allocated as follows: two seats to Parties of the African region, two seats to Parties of the region of Asia and the Pacific, two seats to Parties of the region of Latin America and the Caribbean, and one rotating seat among the regions referred, including the region of Eastern Europe and Central Asia. The members of the Executive Committee shall be endorsed by the Meeting of the Parties.

2 bis. The members of the Executive Committee whose selection was endorsed by the Eighth Meeting of the Parties shall remain in office until 31 December 1997. Thereafter, the term of office of the members of the Committee shall be the calendar year commencing on 1 January of the calendar year after the date of their endorsement by the Meeting of the Parties.

3. The Chairman and Vice-Chairman shall be selected from the fourteen Executive Committee members. The office of Chairman is subject to rotation, on an annual basis, between the Parties operating under paragraph 1 of Article 5 and the Parties not so operating. The group of Parties entitled to the chairmanship shall select the Chairman from among their members of the Executive Committee. The Vice-Chairman shall be selected by the other group from within their number.

4. Decisions by the Executive Committee shall be taken by consensus whenever possible. If all efforts at consensus have been exhausted and no agreement reached, decisions shall be taken by a two-thirds majority of the Parties present and voting, representing a majority of the Parties operating under paragraph 1 of Article 5 and a majority of the Parties not so operating present and voting.

5. The meetings of the Executive Committee shall be conducted in those official languages of the United Nations required by members of the Executive Committee. Nevertheless, the Executive Committee may agree to conduct its business in one of the United Nations official languages.

6. Costs of Executive Committee meetings, including travel and subsistence of Committee participants from Parties operating under paragraph 1 of Article 5, shall be disbursed from the Multilateral Fund as necessary.

7. The Executive Committee shall ensure that the expertise required to perform its functions is available to it.

8. The Executive Committee shall have the flexibility to hold two or three meetings annually, if it so decides, and shall report at each Meeting of the Parties on any decision taken there. The Executive Committee should consider meeting, when appropriate, in conjunction with other Montreal Protocol meetings.

9. The Executive Committee shall adopt other rules of procedure on a provisional basis and in accordance with paragraphs 1 to 8 of the present terms of reference. Such provisional rules of procedure shall be submitted to the next annual meeting of the Parties for endorsement. This procedure shall also be followed when such rules of procedure are amended.

10. The functions of the Executive Committee shall include:

(a) To develop and monitor the implementation of specific operational policies, guidelines and administrative arrangements, including the disbursement of resources;

(b) To develop the plan and budget for the Multilateral Fund, including allocation of Multilateral Fund resources among the agencies identified in paragraph 5 of Article 10 of the Amended Protocol;

(c) To supervise and guide the administration of the Multilateral Fund;

(d) To develop the criteria for project eligibility and guidelines for the implementation of activities supported by the Multilateral Fund;

(e) To review regularly the performance reports on the implementation of activities supported by the Multilateral Fund;

(f) To monitor and evaluate expenditure incurred under the Multilateral Fund;

(g) To consider and, where appropriate, approve country programmes for compliance with the Protocol and, in the context of those country programmes, assess and where applicable approve all project proposals or groups of project proposals where the agreed incremental costs exceed $500,000;

(h) To review any disagreement by a Party operating under paragraph 1 of Article 5 with any decision taken with regard to a request for financing by that Party of a project or projects where the agreed incremental costs are less than $500,000;

(i) To assess annually whether the contributions through bilateral cooperation, including particular regional cases, comply with the criteria set out by the Parties for consideration as part of the contributions to the Multilateral Fund;

(j) To report annually to the meeting of the Parties on the activities exercised under the functions outlined above, and to make recommendations as appropriate;

(k) To nominate, for appointment by the Executive Director of UNEP, the Chief Officer of the Fund Secretariat, who shall work under the Executive Committee and report to it; and

(l) To perform such other functions as may be assigned to it by the Meeting of the Parties.

Rules of procedure for Meetings of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol

APPLICABILITY

Unless otherwise provided for by the Montreal Protocol or by the decision of the Parties, or excluded by the Rules of Procedure hereunder, the Rules of Procedures for meetings of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer shall apply mutatis mutandis to the proceedings of any meeting of the Executive Committee.

Rule 1

These Rules of procedure shall apply to any meeting of the Executive Committee for the Interim Multilateral Fund under the Protocol on Substances that Deplete the Ozone Layer convened in accordance with Article 11 of the Protocol.

DEFINITIONS

Rule 2

For the purposes of these rules:

1. "Executive Committee" means the Executive Committee for the Interim Multilateral Fund as established by decision II/8 at the Second Meeting of the Parties to the Montreal Protocol.
2. "Committee members" means Parties selected as members of the Executive Committee for the Interim Multilateral Fund.
3. "Meeting" means any meeting of the Executive Committee for the Interim Multilateral Fund.
4. "Chairman" means the Committee member selected Chairman of the Executive Committee.
5. "Secretariat" means the Multilateral Fund Secretariat.
6. "Fund" means the Interim Multilateral Fund.

PLACE OF MEETINGS

Rule 3

The meetings of the Executive Committee shall take place at the seat of the Fund Secretariat, unless other appropriate arrangements are made by the Fund Secretariat in consultation with the Executive Committee.

DATES OF MEETINGS

Rule 4

1. Meetings of the Executive Committee shall be held at least twice every year.

2. At each meeting, the Executive Committee shall fix the opening date and duration of the next meeting.

"The Executive Committee shall have the flexibility to hold two or three meetings annually, if it so decides, and shall report at each Meeting of the Parties on any decision taken there. The Executive Committee should consider meeting, when appropriate, in conjunction with other Montreal Protocol meetings." (Paragraph 8 of the "Terms of reference of the Executive Committee" as modified by the Meeting of the Parties in its decision XIX/11.

Rule 5

The Secretariat shall notify all Committee members of the dates and venue of meetings at least six weeks before the meeting.

OBSERVERS

Rule 6

1. The Secretariat shall notify the President of the Bureau and the implementing agencies *inter alia* UNEP, UNDP and the World Bank of any meeting of the Executive Committee so that they may participate as observers.
2. Such observers may, upon invitation of the Chairman, participate without the right to vote in the proceedings of any meeting.

Rule 7

1. The Secretariat shall notify any body or agency, whether national or international, governmental or nongovernmental, qualified in the field related to the work of the Executive Committee, that has informed the Secretariat of its wishes to be represented, of any meeting so that it may be represented by an observer subject to the condition that their admission to the meeting is not objected to by at least one third of the Parties present at the meeting. However, the Executive Committee may determine that any portion of its meetings involving sensitive matters may be closed to observers. Nongovernmental observers should include observers from developing and developed countries and their total number should be limited as far as possible.
2. Such observers may, upon invitation of the Chairman and if there is no objection from the Committee members present, participate without the right to vote in the proceedings of any meeting in matters of direct concern to the body or agency which they represent.

AGENDA

Rule 8
In agreement with the Chairman and the Vice Chairman, the Secretariat shall prepare the provisional agenda for each meeting.

Rule 9
The Secretariat shall report to the meeting on the administrative and financial implications of all substantive agenda items submitted to the meeting, before they are considered by it. Unless the meeting decides otherwise, no such item shall be considered until at least twenty-four hours after the meeting has received the Secretariat's report on the administrative and financial implications.

Rule 10
Any item of the agenda of any meeting, consideration of which has not been completed at the meeting, shall be included automatically in the agenda of the next meeting, unless otherwise decided by the Executive Committee.

REPRESENTATION AND CREDENTIALS

Rule 11
The Executive Committee shall consist of seven Parties from the group of Parties operating under paragraph 1 of Article 5 of the Protocol and seven Parties from the group of Parties not so operating. Each group shall select its Executive Committee members. The members of the Executive Committee shall be formally endorsed by the Meeting of the Parties.

Rule 12
Each Committee member shall be represented by an accredited representative who may be accompanied by such alternate representatives and advisers as may be required.

OFFICERS

Rule 13
If the Chairman is temporarily unable to fulfil the obligation of the office, the Vice Chairman shall in the interim assume all the obligations and authorities of the Chairman.

Rule 14
If the Chairman or Vice Chairman is unable to complete the term of office the Committee members representing the group which selected that officer shall select a replacement to complete the term of office.

Rule 15

1. The Secretariat shall:

(a) Make the necessary arrangements for the meetings of the Executive Committee, including the issue of invitations and preparation of documents and reports of the meeting;

(b) Arrange for the custody and preservation of the documents of the meeting in the archives of the international organization designated as secretariat of the Convention; and

(c) Generally perform all other functions that the Executive Committee may require.

Rule 16

The Chief Officer of the Secretariat shall be the Secretary of any meeting of the Executive Committee.

VOTING

Rule 17

Decisions of the Executive Committee shall be taken by consensus whenever possible. If all efforts at consensus have been exhausted and no agreement reached, decisions shall be taken by a two thirds majority of the Parties present and voting, representing a majority of the Parties operating under paragraph 1 of Article 5 and a majority of the Parties not so operating present and voting.

LANGUAGES

Rule 18

The meeting of the Executive Committee shall be conducted in those official languages of the United Nations required by members of the Executive Committee. Nevertheless the Executive Committee may agree to conduct its business in one of the United Nations official languages.

AMENDMENTS TO RULES OF PROCEDURE

Rule 19

These rules of procedure may be amended according to Rule 17 above and formally endorsed by the Meeting of the Parties to the Montreal Protocol.

OVERRIDING AUTHORITY OF THE PROTOCOL

Rule 20

In the event of any conflict between any provision of these rules and any provision of the Protocol, the Protocol shall prevail.

DECISIONS PERTAINING TO MEETING COSTS

Costs of meetings, including travel and subsistence of Executive Committee participants from Parties operating under paragraph 1 of Article 5 shall be disbursed from the Multilateral Fund as necessary.
(UNEP/OzL.Pro/2/3 Appendix II of Decision II/8, para. 6).
(UNEP/OzL.Pro/4/15 Annex X to Decision IV/8, para. 6).

The Executive Committee decided that budget line 3301 could be used to support travel of the Chairperson or Vice-Chairperson of the Executive Committee, irrespective of whether or not they represented countries operating under paragraph 1 of Article 5, if such travel was required to enable the Chairperson or Vice-Chairperson to represent the Executive Committee.
(UNEP/OzL.Pro/ExCom/11/36, para. 24).

The Executive Committee decided in 1992 that when the President of the Bureau of the Meeting of the Parties to the Montreal Protocol is a national of a developing country operating under Article 5, paragraph 1, the costs of travel and daily subsistence allowance for his/her attendance or attendance of his/her representative as observer at the meeting should be paid from the Fund.
(UNEP/OzL.Pro/ExCom/5/16, para. 65).

Table 1. Standard Agenda Item and associated documents

Agenda Items and sub-items	Document associated with item
Opening of the meeting	
Organizational matters	
• Adoption of the agenda	Provisional agenda & Provisional annotated agenda
• Organization of work	Provisional agenda & Provisional annotated agenda
Secretariat activities	Secretariat activities
Status of contributions and disbursements	Status of contributions and disbursements
Report on balances and availability of resources	Report on balances and availability of resources
Status of implementation of delayed projects and prospects of Article 5 countries achieving compliance with the next control measures of the Montreal Protocol	Status of implementation of delayed projects and prospects of Article 5 countries achieving compliance with the next control measures of the Montreal Protocol Formerly: Status/prospects of Article 5 countries in achieving compliance with the initial and intermediate control measures of the Montreal Protocol
Business planning	*Note that different business planning activities have to take place at different points in the annual cycle. See tables 2, 3 and 4 for details.*
Programme implementation	
• Evaluation activities	Specific reports on evaluation activities and other related documents
• Annual tranche submission delays	Annual tranche submission delays *This item has a separate document for the first meeting. For the second and third meetings, this item is part of the document presenting the review of the current year's business plan.*
• Report on implementation of approved projects with specific reporting requirements	Report on implementation of approved projects with specific reporting requirements
Project proposals	
• Overview of issues identified during project review	Overview of issues identified during project review
• Bilateral cooperation	Bilateral Cooperation
• [Amendments to] work programmes for [year]	(Amendment to) work programme for [year] of UNEP (Amendment to) work programme for [year] of UNDP (Amendment to) work programme for [year] of UNIDO (Amendment to) work programme for [year] of the World Bank
• Investment projects	Project proposal(s): [country]
Country Programmes	Country Programme of [country]
Specific policy issues	Documents as necessary
Other matters	
Adoption of the report of the meeting	L.1 - Draft report of the [number] meeting of the Executive Committee.
Closure of the meeting	

Table 2. Agenda items and sub-items occurring at the first meeting of the year

Agenda Items/sub-item	Documents associated with agenda item
Status of resources and planning	
• Financial planning for the triennium *This item occurs once every three years.*	Financial planning for the triennium [year-year]
Three-year Business plans	
• Three-year consolidated business plan of the Multilateral Fund (including status of compliance)	Three-year consolidated business plan of the Multilateral Fund (including the status of compliance of Article 5 countries)
• [year – year] business plans *(Individual three-year business plans for bilateral agencies and multilateral agencies)*	[year] business plans for bilateral agencies Business plan for the year [year] of [agency]

Table 3. Additional agenda items and sub-items occurring at the second meeting of the year

Agenda Items/sub-item	Documents associated with agenda item
Status of resources and planning	
• [current year] business plans	[current year] business plans *A review of current year's business plans of the agencies in light of approvals made at the first meeting of the year and submissions to the second meeting.*
•	
Programme Implementation	
• Progress reports as at 31 December of [preceding year]	Consolidated progress report Progress report of bilateral cooperation as at 31 December [year] Progress report of [agency] as at 31 December [year]
• Evaluation of the implementation of the preceding year's business plans	Evaluation of the implementation of the [year] business plans
Provisional [year] accounts	Provisional [year] accounts *Note that these are the accounts of the preceding year.*
Report of the Executive Committee to the [ordinal number] Meeting of the Parties (MOP)	Draft report of the Executive Committee to the [ordinal number] Meeting of the Parties *Note that the Report of the Executive Committee to the MOP may be considered at either the second or third meeting of the year depending on the timing of the MOP. The draft report is considered by the Executive Committee and, following the Executive Committee meeting, is updated by the Secretariat and cleared by the Chair and Vice Chair.*

Table 4. Additional agenda items and sub-items occurring at the third meeting of the year

Agenda Items/sub-item	Documents associated with agenda item
Status of resources and planning	
• [current year] business plans	[current year] business plans *A review of current year's business plans of the agencies in light of approvals made at the first and second meetings of the year and submissions to the second meeting.*
•	
• Model rolling three-year phase-out plan	Model rolling three-year phase-out plan: [year-year]
Programme implementation	
• Consolidated project completion report	[year] Consolidated project completion report
• Draft Monitoring and Evaluation work programme for the following year	Draft Monitoring and Evaluation work programme for the year [year]
Project proposals	
• Core unit costs for UNDP, UNIDO and the World Bank for the following year	Core unit costs for UNDP, UNIDO and the World Bank for [year]
• Compliance Assistance Programme (CAP) budget and work programme for UNEP for the following year	Compliance Assistance Programme (CAP) budget and work programme for UNEP for the following year [year]
Accounts of the Multilateral Fund	
• Final [year] accounts	Final accounts of [year] *Note that these are the accounts of the of preceding year*
• Reconciliation of the accounts	Reconciliation of the [year] accounts
Revised three-year budget the Fund Secretariat	Revised [year1, year2] and proposed [year 3] budgets of the Fund Secretariat
Report of the Executive Committee to the [ordinal number] Meeting of the Parties (MOP)*	Draft report of the Executive Committee to the [ordinal number] Meeting of the Parties *Note that the Report of the Executive Committee to the MOP may be considered at either the second or third meeting of the year depending on the timing of the MOP. The draft report is considered by the Executive Committee and, following the Executive Committee meeting, is updated by the Secretariat and cleared by the Chair and Vice Chair.*

APPENDIX 4. LOGISTICS AND ARRANGEMENTS FOR MEETINGS

This section reviews the rules of procedure of meetings of the Executive Committee relevant to the logistical aspects of meetings and also provides details of the practical arrangements for meeting participants. Specific information relating to an upcoming meeting can be found in the General Information Note issued by the Secretariat approximately six weeks before the meeting.

4.1. Pre-session: Before the Meeting

4.1.1. Preparation of the agenda

The provisional agenda for the meeting is prepared by the Secretariat in agreement with the Chair and Vice Chair of the Executive Committee and is sent to Executive Committee members together with the letters of invitation at least six weeks before the meeting.

The agenda contains a number of standard items (see table 1) and other items that are related to the Executive Committee's annual cycle. Tables 2, 3 and 4 shows items that are specific to the first, second and third meetings of the year. There may also be policy issues which respond to specific decisions either from the Executive Committee or the Parties to the Montreal Protocol.

4.1.2. Representation and Attendance

The Secretariat notifies Executive Committee members of the dates and venue of meetings at least six weeks before the meeting. Invitations are sent to the 14 members of the Executive Committee.

The Secretariat also notifies the following individuals/bodies, who/which are authorized to participate as observers. Observers are allowed, upon invitation of the Chair, to participate without the right to vote in the proceedings of any meeting. These include:

- Representatives of the Implementing Agencies
- Representatives of the Ozone Secretariat
- The President of the Bureau of the Meeting of the Parties
- The President and Vice-President of Implementation Committee

Furthermore the Secretariat notifies NGOs and other organizations qualified in the field related to the work of the Executive Committee that has informed the Secretariat of its wishes to be represented, of meetings. These bodies can only attend provided there is no objection from the Committee members. Apart from the above, Executive Committee meetings are not open to the general public.

4.1.3. Letter of invitation

Executive Committee members should reply to the invitation as soon as possible providing names of their delegation including those from any co-opted countries. It is important that Executive Committee members from Article 5 countries indicate those representatives selected to receive financial support.

Information on logistics is prepared as an Information Note and sent to members by email. This provides practical details on the meeting venue, local hotels rates and information on how to access meeting documents on the intranet. Participants make their travel and hotel arrangements.

4.1.4. Financial and other support

Financial support, including the cost of travel and a subsistence allowance for each day of the meeting, is provided from the Multilateral Fund to the following:

- Executive Committee participants from Article 5 countries. Three attendees from each delegation are supported.
- The President of the Bureau of the Meeting of the Parties to the Montreal Protocol if she/he is a national of an Article 5 country.

The Fund Secretariat will provide all Executive Committee members with assistance to obtain any visas necessary for attending the meeting.

4.1.5. Time and venue of meetings

Meetings of the Executive Committee take place three times per year in March/April, June/July and November/December and are usually held in Montreal, Canada (Rule 3). The ICAO premises on 999 University Street have been the venue for several years.

The Executive Committee may decide to hold a meeting outside Montreal if, for example, the timings of the Montreal Protocol and Executive Committee meetings coincide. The Executive Committee considers meeting, when appropriate, in

conjunction with other Montreal Protocol meetings (Decision XIX/11) and thus the two secretariats coordinate arrangements to the greatest extent possible.

In order for the meeting to take place outside Montreal, the Executive Committee will require an invitation from the host country. Following this invitation the Fund Secretariat can arrange a host country agreement. The extra costs of such meetings, if any, should be borne by the host country. In the event that the host country cannot cover the extra costs, these costs must be borne from the Secretariat budget.

4.1.6. Meeting documents

Meeting documents are normally available for each agenda item and are usually written in English. Electronic documents are published on the intranet as soon as they are cleared by the Chief Officer of the Secretariat. Documents are available to meeting participants four weeks before the start of the meeting. All documents, with the exception of information documents, are translated into all the United Nations (UN) official languages of the member countries of the Executive Committee. Translated documents are usually available on the intranet approximately 7 days following the issuance of the English documents. For environmental and economy reasons, paper copies of documents are no longer dispatched to participants. Participants are encouraged to use electronic versions of documents and to bring a laptop to meetings in order to consult and access downloaded or online documents.

Since the 45th meeting, all Executive Committee documents have been for "GENERAL" distribution. Occasionally documents may be for "LIMITED" distribution, and are distributed in the first instance to the Executive Committee and assigned the "GENERAL" distribution status following the Executive Committee's meeting. The Executive Committee decided to restrict access to any project documents that a Party requested to be classified as restricted until the Executive Committee's consideration of the matter. Documents with a "GENERAL" distribution status are made available on the public web site four weeks before the meeting.

Occasionally a corrigendum or addendum to a document may be issued or a document may not be ready by the four week deadline. Executive Committee participants are alerted to the issuance of any such documents. All documents, with the exception of those indicating corrections or revisions, must be issued at least 14 days before the meeting.

4.2. In-session: During a Meeting

4.2.1. Practical arrangements

On arrival at the meeting venue, participants should register and for security reasons collect an identification badge.

4.2.2. Schedule of meetings

The Executive Committee normally meets in two sessions:

- 10 a.m. to 1 p.m.
- 3 p.m. to 6 p.m.

Night sessions may be arranged as and when they are needed. Meetings of any contact groups or presentations are arranged in consultation with the Secretariat at times adjacent to these meeting times.

4.2.3. List of participants

A list of meeting participants is circulated during the week of the meeting.

4.2.4. Meeting management

The Chair directs the proceedings of the meeting. If the Chair is temporarily unable to fulfil the obligation of the office, the Vice-Chair shall in the interim assume all the obligations and authorities of the Chair. If the Chair or Vice-Chair is unable to complete the term of office, the Committee members representing the group which selected that officer shall select a replacement to complete the term of office.
(UNEP/OzL.Pro/3/11 Appendix VI of Decision III/22 (Rules 13, 14)

Items on the agenda are normally considered in the order indicated in the Provisional Agenda unless the meeting decides to change the order of items during the agenda item "Organization of work".

Arrangements for meetings of sub-groups and contact groups will be made during the plenary session. The facilitator of any break-out group should inform the Secretariat as soon as possible on their requirements for a meeting room.

Comments, both oral and written, provided by members of the Executive Committee should be unified submissions delivered directly and solely in the name of the Executive Committee member (decision 35/62).

4.2.5. Observers

Occasionally the Executive Committee may decide that parts of its meetings involving sensitive matters may be closed to observers.

4.2.6. Interpretation

Simultaneous interpretation is provided during the plenary in all the UN official languages of the Executive Committee members. Interpretation is not normally provided for meetings of other groups unless this is pre-arranged with the Secretariat.

4.2.7. Conference room papers

During the meeting session the Secretariat may issue one or more conference room papers (CRPs). These papers are issued in English only and are often based on text drafted by meeting participants. Participants should provide the Secretariat with a copy of their draft text by email. CRPs will be posted on the intranet.

4.2.8. Preparation of the L.1 draft meeting report

During the meeting the Secretariat prepares a draft report, the L.1 with the assistance of the team of report writers servicing the meeting. The Secretariat forwards a preliminary English version of the L.1 to the Chair for her/his comments before it is submitted to the Executive Committee.

The L.1 report is drafted in English and translated overnight in time for the start of the final meeting session of the week. Normally the L1 report in all languages is available to Executive Committee members on the intranet one or two hours in advance of the final session of the meeting. An email alert is sent to all meeting participants when the L1 report is posted.

4.3. Post Meeting

4.3.1. Finalization of the meeting report

The Secretariat finalizes the report in English based on the Executive Committee's comments made at the time of adoption of the L.1. Once the editing and proof-reading steps are finished, the report is translated into the official UN languages used by the Executive Committee.

4.3.2. Communicating the outcome of the meeting

The report is available to all Executive Committee members, other participants and to the Parties to the Montreal Protocol from the Multilateral Fund website and intranet. In order to make the outcome of the meeting more widely known, a news release is prepared and a document summarizing decisions made at the meeting is sent by email to all meeting participants, Parties to the Montreal Protocol, and by UNEP DTIE to the Regional Network Officers of UNEP's Compliance Assistance Programme (CAP). The report, the summary of decisions and news item are placed on the Multilateral Fund intranet and public website in addition to the report.

The Chief Officer of the Fund Secretariat writes to relevant Article 5 countries informing them of relevant decisions affecting activities in their country including project approvals, cancellations, implementation delays, and tranche submission delays. Relevant implementing and bilateral agencies receive copies of these letters. The Secretariat also contacts bilateral and implementing agencies to follow up on relevant decisions and issues.

4.3.3. Funds for approved projects and activities

Following the meeting, the Secretariat instructs the Treasurer to transfer resources covering all the activities approved at the meeting to the implementing agencies, and/or to credit them as bilateral contributions of the relevant non-Article 5 Parties.

APPENDIX 5. REFERENCE INFORMATION

5.1. Organizations and People

Names, addresses and principal contacts for the Executive Committee Members, the Fund Secretariat, Implementing agencies, bilateral agencies, and the Treasurer can be found in the Directory available with this primer.

5.2. Publications, information resources and databases

5.2.1. Fund Secretariat – Publications

Creating a real change. June 2006.
The Secretariat prepared a leaflet about the Multilateral Fund for distribution at the 25th OEWG. The leaflet is targeted at government policy-makers and focuses on the characteristics of the Fund and its achievements.
Printed leaflet. PDF is available at www.multilateralfund.org

Creating a real change for the environment. September 2007.
This booklet was originally prepared on the occasion of the 20th Anniversary of the Vienna Convention for the Protection of the Ozone Layer and was updated for the 20th Anniversary of the Montreal Protocol with the assistance of the Government of Canada. It provides an overview of the lessons learned by the Multilateral Fund since 1991, and also presents some of the challenges and opportunities that lie ahead.
Printed booklet. PDF is available at www.multilateralfund.org

A Culture of Success. September 2007.
An interactive video on CD was produced to mark the 20th anniversary of the Montreal Protocol on Substances that Deplete the Ozone Layer. The CD contains not only an overview video, but also another 90 minutes of video interviews, text and images that can be accessed through an interactive menu. A Culture of Success tells the story of the Multilateral Fund and its achievement in the words of some of the people who made substantive contributions to make the Fund a success. Twenty-four interviewees talk about the Multilateral Fund, lessons learned and the challenges and opportunities that lie ahead.
CD. An online version is also available at www.unmfs.org/live_version/library.html.

Monitoring, Evaluation and Institutional Learning. September 2007.
A fact sheet on monitoring, evaluation and institutional learning was published on 16 September 2007. An extended version of the brief fact sheet is also available on the Multilateral Fund website in the Evaluation Library section.
Printed booklet. PDF available at www.multilaterafund.org

5.2.2. Fund Secretariat – Information Resources and Databases

Multilateral Fund public website
The site provides general information on the Multilateral Fund, its history, institutional arrangements, and achievements. It includes a comprehensive documents section with meeting reports, meeting summaries, press releases and policy & procedures. The site also includes full meeting documentation from the 46th Meeting onwards.
Online resource. http://www.multilateralfund.org

Multilateral Fund intranet
The intranet can be accessed via the public web site http://www.multilateralfund.org through the "Intranet" option on the menu. The intranet contains web sites for each meeting from the 38th meeting onwards. Each site contains meeting documents, a summary of decisions (from the 39th meeting onwards). Production sector documents, an evaluation document library, and links to key documents and key web sites can also be found. The intranet also provides a gateway to other information resources such as the MYA database.
Online resource. http://209.167.130.87/Executive%20Committee/default.aspx

Balances Summary Database
The database includes data on projects that had been completed 12 months previously but had significant levels of remaining balances from the funds approved by the Executive Committee. The Secretariat started maintaining these data in 1999 which are updated at every meeting. Data include funds approved, funds disbursed, funds returned, funds obligated and unobligated.
Available on request. Format: Excel.

Business Plans Database
A summary of the three-year business planning of the Multilateral Fund to address certain amounts of ODSs for specific countries during the triennium to enable compliance with the Protocol control measure. The Secretariat started maintaining these data in 1996 and the

database is updated every year. Data include three-year planning values and levels of ODS phase-out.
Available on request. Format: Excel.

Country Profiles (in development)
The development of web-based country profiles is based on decision 53/8 (b) which requested the Senior Monitoring and Evaluation Officer to initiate the development of web-based country profiles including information compiled for the compliance-risk assessments requested under decision 53/4 (b). Data provided for each Article 5 country are extracted from a number of databases maintained by the Fund and Ozone Secretariats. The main purpose is to provide a user-friendly, one stop access to relevant country data and documents with regard to ODS phase-out achieved and scheduled to be realized, with an indication of cases of non-compliance and information on progress towards compliance.
Available at: http://209.167.130.87/countryprofile/cp.aspx

Consolidated Progress Report Database
The database summarises progress and financial information on projects provided by implementing and bilateral agencies. The Secretariat started maintaining these data in 1991 and the database is updated every year. Data include the percentage of projects completed, ODP phased out, and per cent of funds disbursed.
Available on request. Format: Excel .

Country Programme Summary Sheets
This compendium presents relevant information for each Article 5 country on issues related to the Montreal Protocol. Information is provided only on those countries for which country programmes have been approved by the Executive Committee of the Multilateral Fund. Information is presented by country and each country summary contains general information such as the agency responsible for the country programme, status of ratification of relevant conventions (MP and VC), information on production and consumption of controlled substances, data on the country programme and the country's strategy, and a profile of approved projects and activities.
Available on http://www.multilateralfund.org and the intranet. Format:PDF and Access

Implementation Delay Summary Database
A summary of ongoing projects that were classified as projects with implementation delays, i.e. projects expected to be completed over 12 months late or where disbursement occurred 18 months after approvals. The Secretariat started maintaining these data in 1998 and the database is updated every meeting. Data includes new progress report remarks, assessment of progress and category of delays.
Available on request. Format: Excel.

Inventory of Approved Projects
Provides general information about projects approved by the Executive Committee, including the country or region, the sector, the Executive Committee meeting at which it was approved and the type of project, implementing agency, ODS phase-out and funds approved and disbursed.
Printed compendium.
Available on request. Format: PDF and Access

Multi-year Agreements Database
Web-based overview tables of multi-year agreements (MYAs) facilitate the review of requests for annual tranches of multi-year projects. MYA tables include the latest Article 7 and country programme ODP consumption and production data, the ODS phased-out by ODP and by the project, project costs, the tranche submission schedule, information on national policies and on the results of completed activities as well as the annual implementation plan. The overview tables are available through the intranet. The MYA database is used to generate the project cover sheet in project proposal documents.
Online resource available from the intranet: http://209.167.130.87/myareports

Phase-out plans and projects
This document contains the texts of all agreements and associated Executive Committee decisions pertaining a country's phase-out plans and multi-year projects. Information is arranged by alphabetical order of country name.
Printed compendium. PDF and searchable database available from http://www.multilateralfund.org.

Policies, Procedures, Guidelines and Criteria of the Multilateral Fund
All the decisions of the Executive Committee as well as the decisions of the Parties relating to the Multilateral Fund are compiled and updated after every meeting of the Executive Committee and of the Parties by the Fund Secretariat into a document called "Policies, Procedures, Guidelines and Criteria". The policies, procedures, guidelines and/or criteria are divided into 11 sections: Financial Mechanism, Executive Committee, Fund Secretariat, Bilateral Cooperation, Implementing Agencies, Article 5 Parties, Controlled substances, Country Programmes, Project proposals, Institutional Strengthening, Monitoring & Evaluation. Each section is grouped by subject area. Description provided for each entry is quoted from the Report of the Executive Committee or the Report of Meeting of the Parties to the Montreal Protocol in which the entry was adopted. Source documents and their meeting, date, are also indicated. A list of any supporting Executive Committee or Meeting of the Parties (MOP) documents is also provided for entries mainly related to

procedures and guidelines. The document also provides a list of Executive Committee or MOP documents used in the preparation of the PPGC and dates and venues of the Meetings of the Parties to the Montreal Protocol and the Executive Committee of the Multilateral Fund.
Printed compendium. PDF and searchable database available at http://www.multilateralfund.org.

5.2.2. HCFC – policy documents

UNEP/OzL.Pro/ExCom/53/60	Options for assessing and defining eligible incremental costs for HCFC consumption and production phase-out activities
UNEP/OzL.Pro/ExCom/54/53	Draft guidelines for the preparation and implementation of HCFC phase-out management plans
UNEP/OzL.Pro/ExCom/54/54, Corr.1 & Add.1	Preliminary discussion paper providing analysis on all relevant cost considerations surrounding the financing of HCFC phase out (decision 53/37 (i))
UNEP/OzL.Pro/ExCom/55/47	Revised analysis of relevant cost considerations surrounding the financing of HCFC phase-out (decisions 53/37(i) and 54/40)
UNEP/OzL.Pro/ExCom/56/13	Cost structure for determining funding levels for preparation of HCFC investment and associated activities (decision 55/13(d
UNEP/OzL.Pro/ExCom/56/58 & Add.1	Issues related to relevant cost considerations surrounding the financing of HCFC phase out (decision 55/43(g)

5.2.3. Information resources from the Ozone Secretariat

Web site: http://ozone.unep.org
The Ozone Secretariat is the Secretariat for the Vienna Convention for the Protection of the Ozone Layer and for the Montreal Protocol on Substances that Deplete the Ozone Layer. This web site provides background information on the Montreal Protocol, access to Montreal Protocol meeting documents and reports. It also provides PDF version of the Ozone Secretariat's publications including the Handbook for the International Treaties for the Protection of the Ozone Layer. A section providing data reporting tools and access to Article 7 data by year, party, and Annex group of substances was added.

Handbook for the Montreal Protocol on Substances that Deplete the Ozone Layer
7th edition 2006. Ozone Secretariat.
The Handbook is intended to provide the reader with all details of the legal and policy actions taken by the world community to protect the ozone layer. It is divided into five sections. Section 1 provides the text of the Montreal Protocol, together with a summary of its control measures. Section 2 provides all the decisions of the annual Meetings of the Parties arranged by Article of the Protocol plus an index to the decisions. Section 3 contains the relevant annexes to the decision of the Parties including those on destruction procedures, essential use exemptions, assessment panels, critical use exemptions, the non-compliance procedure, the Multilateral Fund, financial matters and declarations of the Parties. Section 4 deals with the Rules of Procedure for the meetings of the Parties to both the Vienna Convention and the Montreal Protocol. Section 5 provides a guide to sources of further information relevant to ozone protection. An electronic version is available to download at http://ozone.unep.org/Publications (Arabic, Chinese, English, French, Russian, and Spanish).

Handbook for the Vienna Convention for the Protection of the Ozone Layer (1985)
7th edition 2006. Ozone Secretariat.
The Handbook is divided into four main sections. Section 1 provides the full text of the Vienna Convention for the Protection of the Ozone Layer, and also includes the decisions of the Conferences of the Parties to the Convention, arranged under appropriate Articles. Section 2 provides all the decisions of the Conference of the Parties in sub-sections relating to each article of the Convention. Section 3 deals with the Rules of Procedure for the meetings of the Parties to the Vienna Convention and the Meetings of the Parties to the Montreal Protocol. Section 4 is a general index by keyword. An electronic version is available to download at http://ozone.unep.org/Publications (Arabic, Chinese, English, French, Russian, and Spanish).

5.2.3. Websites of the implementing agencies

UNDP
Website: http://www.undp.org/chemicals/montrealprotocol.htm

UNEP OzonAction
Website: http://www.uneptie.org/ozonaction/

UNIDO
Website: http://www.unido.org/doc/5072
An overview of UNIDO's Montreal Protocol related activities.

WORLD BANK
Website: http://go.worldbank.org/KXM814CLA0

5.2.4. Websites of other conventions and related organizations

Global Environment Facility
Website: http://www.thegef.org
The GEF funds projects in six focal areas, one of which is ozone depletion. The GEF funds projects that enable Countries with Economies in Transition (CEIT) including the Russian Federation and nations in Eastern Europe and central Asia to phase out their use of ozone destroying chemicals. The website includes information about participants and partners, its operational policies, focal areas and specific projects, and scheduled events and meetings. There is also a searchable database of GEF projects that includes information/data on projects and links to project and evaluation documents

Rotterdam Convention on Prior Informed Consent
Website: http://www.pic.int
The Rotterdam Convention, in force since 2004, covers the international trade of certain hazardous chemicals. It stipulates that the export of the most dangerous pesticides and chemicals can only be authorised with the "prior informed consent" (PIC) of the receiving country. Information on the Rotterdam Convention including official documents of the Intergovernmental Negotiating Committee (INC), the Conference of Plenipotentiaries, the Interim Chemical Review Committee (ICRC), the Chemical Review Committee (CRC) and the Conference of the Parties and the PIC Circular.

The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal
Website: http://www.basel.int
The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal is a comprehensive global environmental agreement on hazardous and other wastes. This website provides information on the Convention, its Secretariat and associated meetings and includes documents, reports and publications.

Strategic Approach to International Chemicals Management (SAICM)
Website: http://www.chem.unep.ch/saicm/
UNEP Governing Council, at its seventh Special Session in February 2002, adopted a decision on a "Strategic Approach to International Chemicals Management" (SAICM). The Strategic Approach to International Chemicals Management (SAICM) initiative aims to create a global standard for the safe use of chemicals, especially as much of their production has shifted to developing countries. This web site contains information on SAICM implementation, and meetings and documents pertaining to the SAICM process.

The Stockholm Convention on Persistent Organic Pollutants (POPs)
Website: http://www.pops.int
The Stockholm Convention is a global treaty to protect human health and the environment from persistent organic pollutants (POPs). POPs are chemicals that remain intact in the environment for long periods, become widely distributed geographically, accumulate in the fatty tissue of living organisms and are toxic to humans and wildlife. POPs circulate globally and can cause damage wherever they travel. The web site provides information on the convention, its programmes, Parties, partners and official documents and information on meetings. A new version of the Electronic Reporting System for national reports under Article 15 of the Convention is also available.

UNEP Chemicals
Website: http://www.chem.unep.ch
UNEP Chemicals works to protect humans and the environment from adverse effects caused by chemicals throughout their lifecycle, and hazardous waste. It is the focal point of UNEP activities on chemicals issues and the main catalytic force in the UN system for concerted global action on the environmentally sound management of hazardous chemicals The web site include sections on UNEP's implementation of the Strategic Approach to International Chemicals Management (SAICM), the Mercury Programme, Persistent Organic Pollutants, mainstreaming of chemicals, pesticide activities, the chemical information network and links to chemicals related UNEP documents and publications.

United Nations Framework Convention on Climate Change
Website: http://www.unfccc.int
The Convention on Climate Change sets an overall framework for intergovernmental efforts to tackle the challenge posed by climate change. It recognizes that the climate system is a shared resource whose stability can be affected by industrial and other emissions of carbon dioxide and other greenhouse gases. This site provides information on

the Framework Convention, its Secretariat and associated meetings. It includes meeting documents, reports, publications and provides access to the websites of the Clean Development Mechanism (CDM, the Greenhouse Gas Inventory Data and the Technology Information Clearing House. This CDM section of the UNFCCC website includes background information and details on the CDM institutions, a description of project activity cycle in CDM, CDM statistics and documentation.

5.2.5. Other websites

Montreal Protocol Who's Who

This website provides biographical details of visionaries, innovators and implementers who are making the Montreal Protocol a global environmental success story.

Available at http://www.uneptie.org/ozonAction/information/MontrealProtocolWhosWho.htm

5.3. Useful acronyms

CAP	Compliance Assistance Programme
CEIT	Country with economies in transition
CFC	Chlorofluorocarbons
COP	Conference of the Parties
CRP	Conference room paper
CTC	Carbon tetrachloride
FERM	Fixed exchange rate mechanism
GEF	Global Environment Facility
HAP	Hydrocarbon aerosol propellant
HCFC	Hydrochlorofluorocarbons
HFC	Hydrofluorocarbons
HPMP	HCFC phase-out management plan
IBRD	International Bank for Reconstruction and Development
ICAO	International Civil Aviation Organization
LVC	Low volume consuming (countries)
NCPP	National CFC phase-out plans (NCPP)
NPP	National phase-out plans
MAC	mobile air-conditioning
MB	methyl bromide
MDI	Metered-dose inhaler
MOP	Meeting of the Parties to the Montreal Protocol
MYA	Multi-year agreement
NGO	Non governmental organization
NOU	National ozone unit
NPP	National phase-out plan
ODP	Ozone depleting potential
ODS	Ozone depleting substance
OEWG	Open-Ended Working Group Meeting
RMP	Refrigerant management plan

SEAP	South Asia and South East Asia and the Pacific (SEAP) Network
TCA	Trichloroethane
TEAP	Technology & Economic Assessment Panel
TOC	Technical Options Committees (of the TEAP)
TPMP	Terminal phase-out management plan
UNON	United Nations Office at Nairobi
UNDP	United Nations Development Programme.
UNEP	United Nations Environmental Programme.
UNEP DTIE	United Nations Environment Programme Division of Technology, Industry and Economics
UNIDO	United Nations Industrial Development Organization.