



**Programa de las
Naciones Unidas
para el Medio Ambiente**

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PROTOCOLO DE MONTREAL
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Punto 6 c) del orden del día provisional¹

**ESTUDIO TEÓRICO PARA LA EVALUACIÓN DEL PROGRAMA DE ASISTENCIA
AL CUMPLIMIENTO DEL PNUMA**

Nota de la Oficial Superior de Supervisión y Evaluación

Introducción

1. En su 93ª reunión, el Comité Ejecutivo aprobó en la decisión 93/9 el mandato² del estudio teórico para la evaluación del Programa de Asistencia al Cumplimiento (PAC) del Programa de las Naciones Unidas para el Medio Ambiente (PNUMA). La solicitud de elaborar este estudio teórico se produjo poco después de la presentación del “Informe final de la evaluación de las redes regionales de oficiales nacionales del ozono”³. Así pues, en aras de la eficacia en el uso de los recursos y para evitar solapamientos, el mandato del estudio teórico del PAC excluyó de su ámbito de aplicación el componente de las redes regionales.
2. La Oficial Superior de Supervisión y Evaluación (OFSE) presentó en la 94ª reunión⁴ una actualización de los progresos realizados y presenta ahora el estudio teórico, adjunto a esta nota de presentación. Se basa en un borrador final preparado por un consultor externo, que realizó un ejercicio de revisión documental y lo complementó con entrevistas a algunas partes interesadas. Los resultados son principalmente descriptivos, más que analíticos.
3. El estudio teórico se estructura en tres capítulos, en los que se presenta el contexto para el estudio teórico del PAC, seguido de las pruebas recogidas mediante el estudio teórico y las entrevistas, y un capítulo concluyente con los resultados del estudio.
4. En el marco de sus conclusiones, el estudio teórico transmite una valoración positiva del programa, indicando que constituye un “tejido conectivo” sobre el terreno entre las realidades de los países del artículo 5 y la constelación de agentes que trabajan en la aplicación del Protocolo de Montreal. También

¹ UNEP/OzL.Pro/ExCom/95/1

² UNEP/OzL.Pro/ExCom/93/12/Rev.1

³ UNEP/OzL.Pro/ExCom/92/6

⁴ UNEP/OzL.Pro/ExCom/94/6

subraya la importancia de este programa, que funciona bien, y que no debe subestimarse. En el estudio teórico no se han detectado problemas ni riesgos sistémicos que requieran una mayor atención de evaluación a corto plazo.

5. La OFSE sugiere que se emprenda una segunda fase a partir de 2026, que permita una evaluación más profunda, que responda a un ámbito más amplio que abarque todos los componentes del PAC. Dicha evaluación exhaustiva, si así se solicita, se prepararía tras tener en cuenta el informe de AcciónOzono que se presentará en la 96ª reunión de conformidad con la decisión 92/5 e) relativa a los progresos realizados en su aplicación de la hoja de ruta presentada en el párrafo 19 del documento UNEP/OzL.Pro/ExCom/92/6⁵, teniendo en cuenta la decisión 92/5 d)⁶, y la actualización de la OFSE que se presentará en la 97ª reunión de conformidad con la decisión 92/5 f) sobre la aplicación de la decisión 92/5 relativa a la evaluación de las redes regionales de oficiales nacionales del ozono, sobre la base de las deliberaciones y decisiones del Comité Ejecutivo al respecto en su 96ª reunión.

6. La OFSE podría actualizar el mandato para una evaluación exhaustiva a fondo, teniendo en cuenta los informes y debates celebrados en las reuniones 96ª y 97ª, para su consideración por el Comité Ejecutivo en la 97ª reunión, y la posterior realización de la evaluación.

Medidas previstas del Comité Ejecutivo

7. El Comité Ejecutivo tal vez desee:

- a) Tomar nota del estudio teórico para la evaluación del Programa de Asistencia al Cumplimiento del PNUMA, que figura en el documento UNEP/OzL.Pro/ExCom/95/11;
- b) Pedir a la Oficial Superior de Supervisión y Evaluación que presente a la 97ª reunión un mandato actualizado para una evaluación exhaustiva a fondo del Programa de Asistencia al Cumplimiento del PNUMA, teniendo en cuenta los informes de AcciónOzono y de la Oficial Superior de Supervisión y Evaluación presentados a la 96ª y 97ª reuniones, respectivamente, de conformidad con la decisión 92/5 e) y 92/5 f), y los debates y decisiones conexos, cuando proceda.

⁵ Informe final de la evaluación de las redes regionales de oficiales nacionales del ozono.

⁶ Alentar a AcciónOzono a considerar y utilizar las conclusiones, lecciones aprendidas y acciones propuestas de la evaluación de las redes regionales de oficiales nacionales del ozono a la hora de planificar y llevar a cabo el trabajo de las redes regionales.

ESTUDIO TEÓRICO PARA LA EVALUACIÓN DEL PROGRAMA DE ASISTENCIA AL CUMPLIMIENTO DEL PNUMA

Informe basado en un borrador final elaborado por un consultor externo

Noviembre de 2024

Índice

Siglas.....	3
Resumen ejecutivo.....	4
Introducción	9
I. Contexto del estudio teórico del PAC	9
I.1 Contexto institucional y mandato del PAC	9
I.2 Antecedentes del estudio teórico	10
I.3 Marco y limitaciones del estudio teórico	12
I.4 Panorama del PAC	13
II Datos empíricos	16
II.1 Servicios del PAC	16
II.2 Mecanismos, estructura y marcos del PAC	24
II.3 Retos	34
III Resultados del estudio teórico	
III.1 Lecciones y buenas prácticas	36
III.2 Conclusion and takeaways	38

Anexos

Anexo I: ORGANIGRAMA DEL PAC

Anexo II: NOTA SOBRE METODOLOGÍA

Anexo III: EJEMPLOS DE COLABORACIÓN ENTRE PAÍSES CON ARREGLO AL PAC

Anexo IV: LISTA DE DECISIONES DEL COMITÉ EJECUTIVO PERTINENTES AL PAC

Anexo V: LISTA DE CUADROS

Anexo VI: LISTA DE DOCUMENTOS CLAVE

Siglas

AHRI	Instituto de Aire Acondicionado, Calefacción y Refrigeración
AREA	Asociación Europea de Aire Acondicionado y Refrigeración
CAP	Programa de Asistencia al Cumplimiento
EFTP	Educación y Formación Técnica y Profesional
GWP	Potencial de calentamiento atmosférico
HFC	Hidrofluorocarbonos
HCFC	Hidroclorofluorocarbonos
HPMP	Plan de Gestión de la Eliminación de los Hidroclorofluorocarbonos
HS	Sistema Armonizado
HVACR	Calefacción, Ventilación, Aire Acondicionado y Refrigeración
iPIC	Consentimiento fundamentado previo oficioso
IS	Fortalecimiento institucional
KIP	Plan de ejecución de Kigali
KPI	Indicador clave de desempeño
LFA	Análisis del marco lógico
MOPAN	Red de Evaluación del Rendimiento de las Organizaciones Multilaterales
MTS	Estrategia de mediano plazo
NOO	Oficial Nacional del Ozono
NOU	Oficina Nacional del Ozono
ODP	Potencial de agotamiento del ozono
OMA	Organización Mundial de Aduanas
ONUDI	Organización de las Naciones Unidas para el Desarrollo Industrial
PIC	Países Insulares del Pacífico
PNUD	Programa de las Naciones Unidas para el Desarrollo
PNUMA	Programa de las Naciones Unidas para el Medio Ambiente
RAC	Refrigeración y Aire Acondicionado
RACHP	Refrigeración, Aire Acondicionado y Bombas de Calor
RC	Coordinador Regional
RDL	Licencia de conducción de refrigerantes
RMP	Plan de manejo de refrigerantes
SAO	Sustancia que agota la capa de ozono
TOC	Teoría del cambio
TOR	Mandato
TPMP	Plan de gestión de la eliminación definitiva
UNEG	Grupo de Evaluación de las Naciones Unidas

Resumen ejecutivo

Visión general del Programa de Asistencia al Cumplimiento (PAC)

1. El Programa de Asistencia al Cumplimiento (PAC) del Programa de las Naciones Unidas para el Medio Ambiente (PNUMA), financiado por el Fondo Multilateral, fue puesto en marcha por AcciónOzono con el fin de prestar servicios a los países para elaborar y aplicar las políticas necesarias para implementar el Protocolo de Montreal, adoptar decisiones fundamentadas sobre tecnologías alternativas a las sustancias que agotan la capa de ozono (SAO) y mantener sus obligaciones de cumplimiento.

2. Entre los servicios del PAC se encuentran: el apoyo a la preparación y promulgación de legislación relacionada con las SAO; el apoyo al establecimiento de sistemas de concesión de licencias y cuotas; la prevención del comercio ilegal de SAO; el apoyo a la elaboración y aplicación de Planes de Gestión de Refrigerantes (PGR) y componentes de los PGR; la información y sensibilización del público mediante la organización de reuniones temáticas y en red; el fomento de la cooperación intrarregional entre países con más experiencia y países con menos experiencia o recién llegados al Protocolo de Montreal, creando una sinergia de esfuerzos para mejorar y acelerar los procedimientos destinados a facilitar el cumplimiento de los objetivos del Protocolo de Montreal. Los servicios del PAC se prestan a través de equipos y oficiales regionales que ofrecen asesoramiento y asistencia tanto a los distintos países como a las redes regionales.

3. Una evolución clave del PAC durante el período 2007-2023 se deriva de la adopción, en 2016, de la Enmienda de Kigali⁷, que exige la reducción de los hidrofluorocarbonos (HFC) utilizados como sustitutos de las SAO eliminadas por el Protocolo de Montreal. La preparación para apoyar la aplicación de la enmienda llevó a la creación de nuevas “áreas temáticas” para el trabajo del PAC⁸ en el fomento del cumplimiento del Protocolo⁹.

Objetivo y destinatarios del estudio teórico

4. En la perspectiva de buscar la mejora continua y como seguimiento de las evaluaciones anteriores del PAC y sus componentes¹⁰, el Fondo Multilateral ha encargado un estudio teórico que tiene por objeto evaluar el impacto y la eficacia del PAC, teniendo en cuenta su mandato y evolución durante el período 2007-2023. De hecho, una parte significativa del trabajo realizado por el PNUMA para apoyar los objetivos del Protocolo de Montreal y sus enmiendas se lleva a cabo a través del PAC.

5. El objetivo de este estudio teórico es proporcionar al Comité Ejecutivo una evaluación fundamentada de la evolución y los logros del PAC desde 2007 para apoyar sus procesos de adopción de decisiones en relación con la selección de prioridades y el uso de recursos para alcanzar los objetivos del Fondo Multilateral, de acuerdo con las áreas temáticas armonizadas con las prioridades del Fondo Multilateral¹¹.

⁷ Decisión XXVIII/1 de la Reunión de las Partes.

⁸ Véase la Estrategia del PAC para 2024-2026.

⁹ Véase la figura 2 del presente documento.

¹⁰ En 2007 se presentó en el documento 52/9 la evaluación más reciente del PAC, que contiene un análisis holístico del programa. En el documento 92/6 se presentó una evaluación reciente sobre el componente del PAC de las redes regionales.

¹¹ Véase el mandato en 93/12/Rev.1

Metodología

6. El estudio teórico utilizó como fuente principal de datos la documentación pertinente elaborada por el PAC, el PNUMA y el Fondo Multilateral. El estudio teórico también integra información proporcionada por entrevistas seleccionadas a miembros del Comité Ejecutivo. En total se celebraron 17 entrevistas con personal de la Secretaría del Fondo Multilateral (tres, incluido un funcionario retirado), del PAC en la sede y en las regiones (12) y miembros del Comité Ejecutivo (dos). Los ámbitos de examen abarcan todas las cuestiones clave propuestas en el anexo I del mandato¹². A efectos analíticos, las preguntas de evaluación se han agrupado y organizado en grupos, tal como se indica en el anexo II del presente documento, con vistas a facilitar la síntesis de la información, cuando proceda. El resumen que figura a continuación presenta las pruebas resultantes del estudio teórico, en consonancia con las preguntas de evaluación del mandato:

Datos empíricos clave

- a) **Componentes del PAC:** El componente de desarrollo de capacidades impartido a través del PAC ha demostrado su eficacia para reforzar el cumplimiento nacional del Protocolo de Montreal. En particular, las capacitaciones acreditadas por organizaciones como ASHRAE añaden credibilidad a las iniciativas de creación de capacidad del PAC. Los datos comunicados en relación con el componente de intercambio de información muestran que el sitio web, las publicaciones, los portales de reuniones y los boletines electrónicos de AcciónOzono, han sido muy utilizados, así como una participación activa de los países en las redes regionales. El número de visitantes únicos del sitio web y de las redes sociales aumenta cada año, lo que indica un mayor acceso a la información. Las aplicaciones y herramientas móviles también registran altos índices de descargas (más de 100 000), lo que indica su pertinencia para las necesidades de la comunidad de técnicos. En cuanto a la prestación de servicios de conocimientos, algunos entrevistados indicaron que la función de centro de intercambio de información es un punto fuerte y un activo importante del programa del PAC. Los comentarios periódicos de las ONO a los equipos regionales confirman que la cooperación entre países es muy apreciada, especialmente porque mejora las capacidades, ayuda a abordar los problemas nacionales de forma más holística, fomenta la participación nacional y ayuda a superar los retos a escala nacional y regional. Las redes regionales del PAC han sido especialmente útiles para facilitar el aprendizaje entre pares y el apoyo entre países.
- b) **Servicios del PAC:** La documentación de los informes del PAC al Comité Ejecutivo proporciona numerosos ejemplos de servicios y actividades del PAC que contribuyen a la ejecución de proyectos nacionales; el PAC trabaja en el fortalecimiento de las capacidades, infraestructuras, aptitudes y asociaciones necesarias para que los países eliminen de forma eficaz las sustancias controladas, tal como exige el Protocolo, en primer lugar ayudando a los países a establecer y fortalecer los marcos normativos y reglamentarios, incluidos los sistemas de concesión de licencias y cuotas, normas y controles de importación y exportación relativos a los HCFC/HFC. En consecuencia, el PAC también trabaja para abordar el fortalecimiento de los sistemas nacionales de datos y la cooperación entre países, con vistas a apoyar el suministro de datos precisos, completos y oportunos para la presentación de informes sobre el Protocolo de Montreal.
- c) **Mecanismos de coordinación interna del PAC:** La práctica de celebrar reuniones periódicas de los equipos y fomentar los canales de comunicación, es decir, las reuniones quincenales y el intercambio continuo de información, ofrecen oportunidades para debatir los retos y armonizar

¹² Anexo I del documento UNEP/OzL.Pro/ExCom/93/12/Rev.1.

los enfoques entre los distintos equipos regionales. Asimismo, la participación de las partes interesadas regionales y nacionales en la planificación del trabajo y la revisión conjunta de los proyectos ayuda a satisfacer las necesidades regionales y a incorporar perspectivas desde el principio, al igual que la participación de expertos regionales en eventos y comités mundiales clave para difundir y contextualizar la información y dar a conocer los puntos de vista regionales.

- d) **Distribución del personal y asignación presupuestaria del PAC:** Las prioridades para determinar la distribución del personal y la asignación presupuestaria del PAC se establecen de acuerdo con las necesidades identificadas de los países del Artículo 5. El PAC elabora su propuesta de presupuesto basándose en las necesidades actuales y previstas de los países del artículo 5, identificadas a partir de diversas fuentes, como la información directa de las oficinas nacionales del ozono (ONO), los debates en las reuniones de las redes regionales, las orientaciones de otras reuniones y eventos del Protocolo de Montreal y mediante consultas con organismos bilaterales y de ejecución y asociados.
- e) **Estrategia y planes de trabajo del PAC:** Si bien sigue centrándose en la eliminación de HCFC y la reducción de SAO, la documentación del marco estratégico del PAC muestra que, a partir de 2016, el PAC ha reforzado progresivamente su labor de sinergia de los objetivos del Protocolo de Montreal con los objetivos del cambio climático, en consonancia con el mandato de la Enmienda de Kigali. Una evolución clave durante ese período es la introducción de una estrategia trienal para el PAC. La primera iteración de esta estrategia, que abarca el período 2016-2018, refleja la integración de la enmienda de Kigali, por ejemplo, de las siguientes maneras: El objetivo global 3 es *“crear capacidad para adoptar alternativas a los HCFC a fin de lograr cobeneficios climáticos”*. Este objetivo aborda directamente los vínculos entre la reducción de los HCFC y la mitigación del cambio climático, mientras que el objetivo estratégico 7 del programa se centra en *“promover cobeneficios climáticos por la eliminación de los HCFC mediante opciones tecnológicas, buenas prácticas, la reducción de las emisiones y prácticas energéticamente eficientes”*.
- f) **Indicadores de impacto y rendimiento:** Entre las consideraciones de los debates del Comité Ejecutivo sobre los indicadores del PAC se encuentran: consolidar los indicadores de rendimiento dentro de la presentación anual del PAC y relacionarlos con los análisis del marco lógico y la estrategia trienal del PAC para racionalizar la presentación de informes y reforzar el vínculo entre actividades, productos y resultados; así como el posicionamiento de dichos indicadores en la documentación de presentación de informes del PAC. Se debería trabajar en este sentido, tal y como se determina en el mandato del estudio teórico, aunque es necesario realizar un análisis adicional para elaborar un conjunto renovado de indicadores que sea adecuado para el PAC.
- g) **Mecanismos de información al Comité Ejecutivo:** El PNUMA utiliza mecanismos establecidos, canalizados a través de la Secretaría, para informar anualmente al Comité Ejecutivo sobre la aplicación del PAC (por ejemplo, informes anuales de situación y financieros). Algunos medios propusieron elaborar informes más breves y analíticos que se centren en los resultados y los impactos en lugar de enumerar todas las actividades para que los informes sean más estratégicos y estén más orientados a los resultados; integrar el presupuesto del PAC y los informes de situación siempre que sea posible para evitar la duplicación y presentar una narrativa más cohesiva, entre otros.
- h) **Creación, refuerzo y mantenimiento de capacidades en los países del artículo 5:** El PAC utiliza diferentes mecanismos para ayudar a los países del artículo 5 a determinar sus

necesidades en relación con el cumplimiento del Protocolo de Montreal, asegurando un proceso ascendente de determinación de las necesidades impulsado directamente por los propios socios del artículo 5, es decir, las ONO y las partes interesadas nacionales. Dichos mecanismos incluyen, entre otros, reuniones de redes regionales de oficiales nacionales del ozono, servicios de asistencia al cumplimiento específicos para cada país basados en sus necesidades expresadas y consultas durante la preparación de los proyectos.

- i) **Retos en la aplicación:** Además de informar sobre los progresos realizados y los resultados de las actividades del PAC, el PNUMA también intenta destacar las dificultades a las que se ha enfrentado durante el período de referencia, junto con su propuesta de presupuesto para el PAC. El estudio teórico señala que, de 2007 a 2009, el PAC solía informar sobre los “retos” que afectaban a su aplicación, como anexo III de su documento anual de presupuesto y programa de trabajo¹³. En el estudio no se han identificado problemas sistémicos distintos de los factores externos. En el formato actual, los retos se presentan más bien como parte de la teoría del cambio, inherente al documento del programa de trabajo del PAC y a la estrategia trienal¹⁴, donde el marco lógico presenta el diagrama del problema a las soluciones, que se abordarán a través de las medidas propuestas por el PAC y los resultados e impactos previstos.
- j) **Colaboración con las Secretarías:** Los flujos de trabajo reflejan la colaboración, coordinación e intercambio de información entre el PAC y la Secretaría del Ozono (con sede en Nairobi) en una amplia gama de actividades tanto a nivel mundial como nacional, para contribuir a la aplicación efectiva de las funciones y actividades de cumplimiento del Protocolo de Montreal. La relación de trabajo entre el PAC y la Secretaría del Fondo Multilateral se centra en el apoyo a la aplicación y el cumplimiento del Protocolo de Montreal por parte de los países del artículo 5 mediante proyectos, el establecimiento de políticas, la gestión de datos y la asistencia técnica prestada por el PAC, de la que informa y supervisa la Secretaría.
- k) **Asociaciones con otras partes interesadas en la aplicación del Protocolo de Montreal:** El PNUMA cuenta con una serie de asociaciones estratégicas para ayudar a avanzar en los objetivos del Protocolo de Montreal, incluyendo asociaciones industriales, organizaciones aduaneras, organismos de las Naciones Unidas, asociaciones de refrigeración y aire acondicionado (RAC) y redes de expertos, ayudando a aprovechar la experiencia, el conocimiento y la divulgación, y para llenar los vacíos en materia de capacidad.
- l) **Dimensión de género:** En 2022, AcciónOzono elaboró su primer plan de integración de la perspectiva de género, en consonancia con la política del PNUMA sobre la integración de la perspectiva de género y con la política operativa sobre género del Fondo Multilateral. Además, el PAC integra la atención a la incorporación de la perspectiva de género en su estrategia, así como a través de la orientación a nivel de proyecto, el apoyo al desarrollo de capacidades de las Oficinas Nacionales del Ozono, el intercambio de conocimientos sobre temas de género, los debates en las reuniones de la red, las estadísticas de participación y la aplicación de la política general de género del PNUMA en las operaciones del PAC.
- m) **Contribución del PAC al cumplimiento de la Enmienda de Kigali y otras cuestiones nuevas**

¹³ Véase el Anexo III del presupuesto y programa de trabajo del Programa de Asistencia al Cumplimiento (PAC) del PNUMA para 2007 en el documento UNEP/OzL.Pro/ExCom/50/20 y el anexo III del presupuesto y programa de trabajo del Programa de Asistencia al Cumplimiento del PNUMA para 2010, en el documento UNEP/OzL.Pro/ExCom/59/17.

¹⁴ Véase el Diagrama 1: Análisis de problemas, página 14, y el Programa de Asistencia al Cumplimiento de AcciónOzono, la Estrategia del PAC para 2024-2026, y el Plan de trabajo, presupuesto e informe de situación, que figuran en el documento UNEP/OzL.Pro/ExCom/93/94.

del Protocolo de Montreal: El PAC trata de sensibilizar, crear capacidades técnicas y promover la colaboración entre los países para que cumplan sus obligaciones en virtud del Protocolo de Montreal, incluso ahora, desde la adopción de la Enmienda de Kigali, abordando nuevas cuestiones relacionadas con el cambio climático. Los servicios del PAC ayudan a las Oficinas Nacionales del Ozono a fomentar la eficiencia energética, especialmente proporcionando productos informativos, impartiendo cursos de capacitación y presentaciones, y facilitando debates sobre este tema en sus reuniones regionales, así como prestando apoyo a proyectos nacionales. El PAC contribuye a lograr el cumplimiento mediante la prestación de sus servicios y el apoyo a los proyectos nacionales, incluido el refuerzo de las capacidades en relación con las cuestiones emergentes.

- n) **Adaptación del PAC a la pandemia de COVID-19:** El PAC del PNUMA tuvo que adaptar muchas de sus operaciones debido a la pandemia de COVID-19, cambiando en general su enfoque de modos de operación presenciales a virtuales, manteniendo al mismo tiempo una comunicación regular y una planificación flexible para apoyar mejor a los países dentro de las limitaciones impuestas por el COVID-19. De hecho, muchas de las reuniones presenciales previstas tuvieron que cancelarse o postergarse, por lo que el PAC pasó las reuniones temáticas y de la red regional a formato virtual, organizó numerosos seminarios web y reuniones virtuales utilizando plataformas de conferencias en línea, y prestó servicios específicos para cada país a distancia mediante videoconferencias, llamadas telefónicas, correo electrónico y aplicaciones de mensajería en lugar de misiones presenciales, debido a las restricciones de viaje. Se aplazaron pusieron talleres, exposiciones o actos paralelos previstos en conferencias y foros internacionales que implicaban viajes y reuniones.
- o) **Lecciones aprendidas y buenas prácticas:** El diseño y la aplicación de los componentes del PAC han evolucionado durante el período considerado para este estudio teórico, en respuesta a las necesidades y prioridades cambiantes de los países del Artículo 5 del Protocolo de Montreal. En la evolución clave se incluye una mayor regionalización y el enfoque en las prioridades de los países, entre otros. Algunas de las buenas prácticas destacadas durante la preparación de este estudio teórico son los sistemas para vincular a los países en parejas, las listas de expertos regionales, las colaboraciones regionales en materia de normas, formación aduanera y enfoques de aplicación, los proyectos conjuntos y el intercambio de estudios de casos, que abordan cuestiones de interés común en distintas regiones.

Conclusiones y aportes

7. En el estudio teórico se llega a la conclusión de que el PAC es muy bien valorado por las principales partes que participan en el Protocolo de Montreal, su financiación, gobernanza y aplicación, desde los financiadores, los países miembros, hasta su Comité Ejecutivo, la Secretaría del Fondo Multilateral, el PNUMA, el PAC y los oficiales nacionales del ozono en general.

8. Además, el estudio teórico llega a la conclusión de que el PAC es eficaz para reforzar el cumplimiento de los países del artículo 5, como componente necesario para el éxito de la aplicación del Protocolo de Montreal y su Enmienda de Kigali. El PAC constituye el “tejido conectivo” vital sobre el terreno entre las realidades de los países del artículo 5 y la constelación de agentes que participan en el Fondo Multilateral para la aplicación del Protocolo de Montreal, y no debe subestimarse su importancia como programa que funciona correctamente.

9. Los datos empíricos y conclusiones del estudio teórico sugieren que se podría hacer más para aclarar los papeles, funciones y actividades diferenciadas entre el PNUMA como organismo de ejecución – que participa en la ejecución de proyectos– y las actividades específicas del PAC.

10. También se sugiere seguir analizando formas de racionalizar los numerosos requisitos de presentación de informes a los que se enfrenta el programa, para aligerar la carga de sus procesos administrativos y aumentar la eficiencia. La doble presentación de informes al PNUMA y al Comité Ejecutivo implica complejidad en el cumplimiento de los diferentes requisitos de presentación de informes.

11. Una segunda fase de esta evaluación podría abordar las cuestiones mencionadas y proponer indicadores de resultados renovados para evaluar el rendimiento y el impacto del programa. Se daría prioridad a la evaluación de los resultados en materia de desarrollo de capacidades y sostenibilidad de los países del PAC mediante la elaboración y utilización de conjuntos de indicadores válidos, significativos y contextualmente pertinentes, que se actualizarían y adaptarían de forma sistemática y recurrente.

Introduction

12. This report presents the results of the desk study commissioned by the evaluation unit of the Multilateral Fund and undertaken through an external consultancy. The desk study provides an assessment of UNEP's CAP based on evidence, i.e., findings of facts, collected mainly from available Multilateral Fund and CAP documentation. Semi-structured interviews and in-person meetings were also conducted to complement documentary evidence and identify topics for consideration in the event of a second phase for the CAP evaluation.

13. The report is composed of three chapters beginning with a summary description of the context for the desk study and of the CAP, followed by a chapter that presents the evidence gathered by the study. The final chapter presents lessons, good practices and takeaways.

I. Context for the desk study of the CAP

I.1 Institutional context and mandate

14. UNEP fulfils its implementing agency mandate through the Law Division's OzonAction branch. The discharge of this mandate contributes directly and indirectly to UNEP's 2022-2025 medium term strategy (MTS),¹⁵ which focusses on three interconnected planetary crises – climate change, biodiversity loss and pollution. The UNEP MTS employs seven interlinked sub-programmes for action: climate action, chemicals and pollutions action, nature action, science policy, environmental governance, finance and economic transformations and digital transformations. Most of UNEP's work under the Multilateral Fund falls under the environmental governance sub-programme, although some of it contributes to climate action as well.

15. UNEP's mandate is defined in the agreement signed on 19 June 1991 between UNEP's Executive Director and the Chair of the Executive Committee of the Montreal Protocol. The Executive Committee entrusted UNEP with the following roles as an implementing agency¹⁶:

- Political promotion of the objectives of the Protocol;
- Research and data gathering, according to the provisions of the Protocol; and
- Assistance in clearinghouse functions as per Article 10 (3)(b) of the Montreal Protocol. The latter clearinghouse function comprises the following activities:

¹⁵ UNEP/EA.5/3/Rev.1

¹⁶ Extract from the "Agreement between the Executive Committee of the Interim Multilateral Fund for the Implementation of the Montreal Protocol and the United Nations Environment Programme." Mostafa K. Tolba, UNEP Executive Director, and Ilkka Ristimäki, Chair of the Executive Committee, 19 June 1991.

- Assist Parties operating under paragraph 1 of Article 5, through country-specific studies and other technical cooperation, to identify their needs for cooperation;
- Facilitate technical cooperation to meet these identified needs;
- Disseminate information and relevant materials, hold workshops and training sessions and other related activities for the benefit of Parties that are developing countries; and
- Facilitate and monitor other multilateral, regional and bilateral cooperation available to Parties that are developing countries.

16. UNEP aims to design its strategies, work programmes, and services according to this mandate, in line with its areas of comparative advantages.¹⁷

17. In 2002, OzonAction strategically reoriented its approaches and delivery mechanisms by creating a unique compliance assistance programme (CAP) to help Article 5 countries better address the demands of the Montreal Protocol's compliance period.

18. Starting in 2016, UNEP proposes for the consideration of the Executive Committee a three-year CAP strategy that sets the overall vision and strategic direction of the CAP for the upcoming period, which is aligned with the Multilateral Fund's business planning cycle. UNEP updates its strategy at the beginning of each triennium to reflect the evolving situation of Article 5 countries with respect to the Montreal Protocol and its amendments, as well as the recent policies, guidelines, and decisions of the Meeting of the Parties and the Executive Committee. UNEP has submitted four such strategies to the Executive Committee for its consideration and endorsement.¹⁸

19. UNEP develops its strategy based on the current and anticipated needs of Article 5 countries that it identifies from various sources and through consultations and interactions with concerned stakeholders. This needs-based approach considers feedback that UNEP collects during its meetings of the regional networks of ozone officers, the CAP teams' regular and direct consultations with NOUs and other national stakeholders, ideas generated during joint implementation activities with sister implementing agencies and bilateral agencies, as well as interactions with the Multilateral Fund Secretariat and Ozone Secretariat. UNEP also reviews the previous strategies as well as the decisions and discussions of the major Montreal Protocol events that have taken place since the last strategy was adopted three years previously, as well as recent evaluations and audits related to UNEP's Montreal Protocol-related work. The strategy follows UNEP's results-based management approach that includes a theory of change.

I.2 Background

20. The Executive Committee approved the first CAP budget in 2001, as a component of UNEP's business plan for 2002 (decision 35/36). At that same meeting, the Executive Committee decided to maintain the CAP in the UNEP business plan (decision 35/5) and requested that indicators be set up for the CAP (decision 35/14). Subsequently, the Executive Committee approved the first set of CAP indicators in 2003,¹⁹ based on a proposal from the Secretariat, to track aspects such as the number of countries receiving CAP assistance, to establish baselines for tracking and reporting on compliance with the Montreal Protocol and the number of countries reporting data in compliance with Article 7 of the Protocol.

¹⁷ See section on mandate in the 3-year strategy of UNEP, in document UNEP/OzL.Pro/ExCom/93/94.

¹⁸ The strategies covered the periods 2016-2018 in document UNEP/OzL.Pro/ExCom/75/33/Rev.1, 2018-2020 in document UNEP/OzL.Pro/ExCom/80/28), 2021-2023 in document UNEP/OzL.Pro/ExCom/86/36, and 2024-2026 in document UNEP/OzL.Pro/ExCom/93/94.

¹⁹ See decision 49/3 in document UNEP/OzL.Pro/ExCom/49/43.

21. In 2005, following up on concerns expressed regarding possible funding overlap under the different categories of activities, the Executive Committee also asked UNEP to provide a detailed progress report elaborating and differentiating past activities and funds disbursed in categories such as the CAP, the global awareness programme and region-specific activities; that were at the time distinct components. The Executive Committee subsequently proposed to conduct all UNEP's work on information and awareness-raising within the budget for the CAP.²⁰

22. The set of current performance indicators for the CAP was approved in 2006 at the 48th meeting, reflecting programmatic and contextual evolution. Indeed, the previous set of indicators from 2003 was intended to track performance of the six following aspects: usefulness of the region/thematic meetings; assistance to countries for data reporting for the purpose of establishing baselines assistance with Article 7 data reporting; countries in actual or potential non-compliance as per Meeting of the Parties decisions; countries at risk of becoming in non-compliance per Article 7 data trends; information clearing house. The renewed set of indicators shows that some targets such as establishing country baselines were met and no longer relevant to provide relevant information on the CAP performance.

Table 1: CAP indicators

Indicator	Data	Assessment
Efficient follow-up to regional/thematic meetings	○ List of recommendations emanating from 2006 regional network/thematic meetings. ○ Agendas of network/thematic meetings and meeting evaluation questionnaires	○ Implementation rate of those meeting recommendations that are to be implemented in 2006. ○ Relevance of topics and their presentation at network/thematic meetings as evaluated by participants
Effective support to National Ozone Units (NOU) in their work, particularly guidance to new NOU, including support to the development and introduction of import/export licensing systems covering all controlled substances, including management and enforcement.	○ List of innovative ways/means/products/services for supporting NOU in their work, with specification of those destined for new NOU. ○ List of import/export licensing systems in Article 5 countries	○ 10 such ways/means/products/services. ○ Qualitative description of the progress made in the development and enforcement of import/export licensing systems covering all controlled substances, including management and enforcement
Assistance to countries in actual or potential non-compliance (according to decisions of the Meeting of the Parties and/or as per reported Article 7 data and trends analysis)	○ List of countries in actual or potential non-compliance that received CAP assistance outside network meetings	Number of countries in actual or potential non-compliance that received CAP assistance outside network meetings and results of this assistance (e.g. return to compliance, country prepared action plan, action plan approved by the Meeting of the Parties, Article 7 data reported on time)
Innovation in production and delivery of global and	List of global and regional information products and services destined for new target audiences	Number of global and regional information products and services destined for new target audiences or

²⁰ See e.g., decision 52/29 in document UNEP/OzL.Pro/ExCom/52/55 and decision 56/33 in document UNEP/OzL.Pro/ExCom/56/64.

Indicator	Data	Assessment
regional information products and services	or that reach existing target audiences in new ways.	that reach existing target audiences in new ways.
Close cooperation between CAP regional teams and bilateral and multilateral implementing agencies working in the region.	List of joint missions/undertakings of CAP regional staff with implementing agencies and bilateral agencies.	Number of joint missions/undertakings and achieved results (e.g. agreements reached, problems solved, assistance provided)

Source: Decision 48/7 in document UNEP/OzL.Pro/ExCom/48/45.

23. The CAP was evaluated in 2006, and the evaluation results were presented in 2007 at the 52nd meeting of the Executive Committee,²¹ highlighting the CAP's positive contribution to facilitating compliance in all regions through the provision of technical assistance and direct support to countries. It is worth noting that previous CAP evaluations included in the scope all the components of the programme, including the regional networks and other CAP services, thus facilitating a holistic analysis of the programme.

24. The conclusions of the previous evaluation indicated that the CAP had helped in: supporting the preparation and enactment of ODS-related legislation; establishing licensing and quota systems; preventing illegal trade in ODS; implementing refrigerant management plans (RMP) and RMP components; informing and raising public awareness through the organization of network and thematic meetings; building intra-regional cooperation between more experienced and less experienced countries or newcomers to the Montreal Protocol, creating a synergy of efforts to improve and speed up procedures aimed at facilitating compliance with the targets of the Montreal Protocol. Reporting information also highlighted that the relocation of CAP staff to the regions facilitated the delivery of more timely advice and assistance to both individual countries and the regional networks.

25. The Executive Committee documentation reflects the evolution that came into play since 2007 and the latest CAP evaluation. Following up on the 28th Meeting of Parties in October 2016 when the Kigali Amendment to the Montreal Protocol was adopted, adding HFCs to the list of substances controlled under the Protocol, the CAP started reporting to the Executive Committee on activities related to HFC phase-down from 2017 onwards. More recently, the Executive Committee also identified the need to enhance the CAP over the next years to meet the evolving needs of Article 5 countries, particularly in the light of implementation of the Kigali Amendment, consequently adding resources for the CAP.²²

I.3 Desk study framework and limitations

26. The monitoring and evaluation work programme for 2023²³ was approved at the 91st meeting of the Executive Committee, including the request to prepare the TORs for the evaluation of the CAP, to be presented at the 93rd meeting. These were approved by decision 93/9 and, subsequently, the evaluation unit commissioned a desk study for the evaluation of the CAP.

27. The present desk study reviews the progress made since the last evaluation of the CAP in 2007, to support the production of findings and lessons learned for the Executive Committee when selecting priorities and assigning funding for the CAP, to provide management information for OzonAction to strengthen compliance with the Kigali Amendment – including on the CAP performance indicators.

²¹ UNEP/OzL.Pro/ExCom/52/9

²² Decision 91/61(a(ii)) and decision 93/91

²³ UNEP/OzL.Pro/ExCom/91/11/Rev.1

28. The desk study covers the governance arrangements, activities and functioning of the CAP since the latest evaluation of this component of the Multilateral Fund support i.e., covering the period from 2007 to 2023, focussing on strategic and operational aspects of the CAP, avoiding duplication with the most recent related evaluations.²⁴ This efficient approach implies a limitation in the scope of the desk study, by excluding a key component from the analysis of the entire programme. A potential revision of the performance indicators would have required to analyse the programme in a systemic and comprehensive approach. To further the relevance and usefulness of the desk study results, attention has been paid to recent developments of the CAP - such as the CAP strategy 2024-2026.²⁵

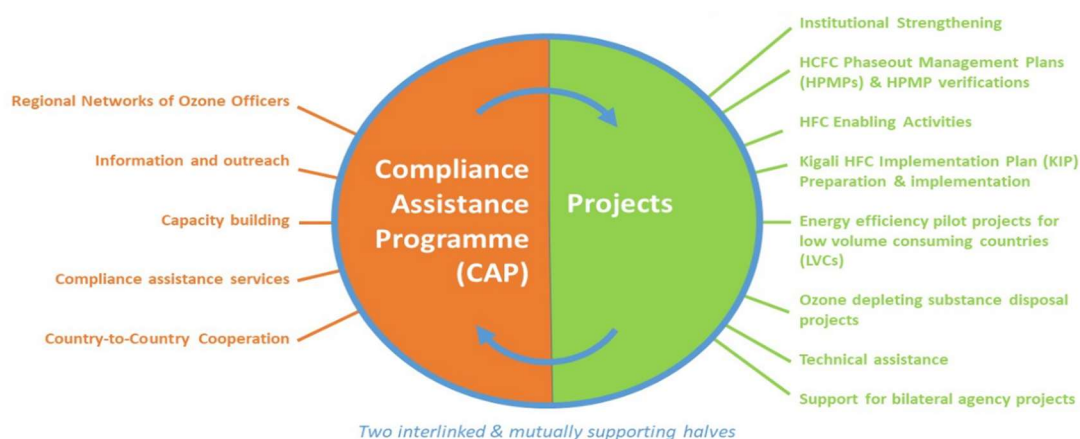
29. The desk study findings presented in chapter II are organised to address the set of indicative questions suggested in annex I of the TORs.²⁶ These questions have been grouped into three categories that reflect those common priorities identified by the Executive Committee and other key respondents during the study, and to avoid redundancies in the presentation of findings. The three clusters address (a) effectiveness and impact of CAP capacity building activities in Article 5 countries, including for compliance with the Kigali Amendment; (b) relevance and effectiveness of CAP mechanisms, structure and frameworks; and (c) challenges faced by CAP.

I.4 Overview of the CAP

CAP services and components

30. The objective and scope of the desk study are defined in its TORs, aiming at covering most of CAP components, with the exception of regional networks, noting the recent evaluation which was finalized in 2023. As indicated in the TORs, the figure 1 below represent the interlinkages between the different services and components of CAP.

Figure 1: OzonAction and CAP



Source: Terms of Reference for the desk study in document UNEP/OzL.Pro/ExCom/93/12/Rev.1

31. CAP services and components have been designed based on UNEP's mandate as an implementing agency for the Montreal Protocol, with the following roles: promote the objectives of the Protocol at a

²⁴ UNEP/OzL.Pro/ExCom/92/6

²⁵ UNEP/OzL.Pro/ExCom/93/94

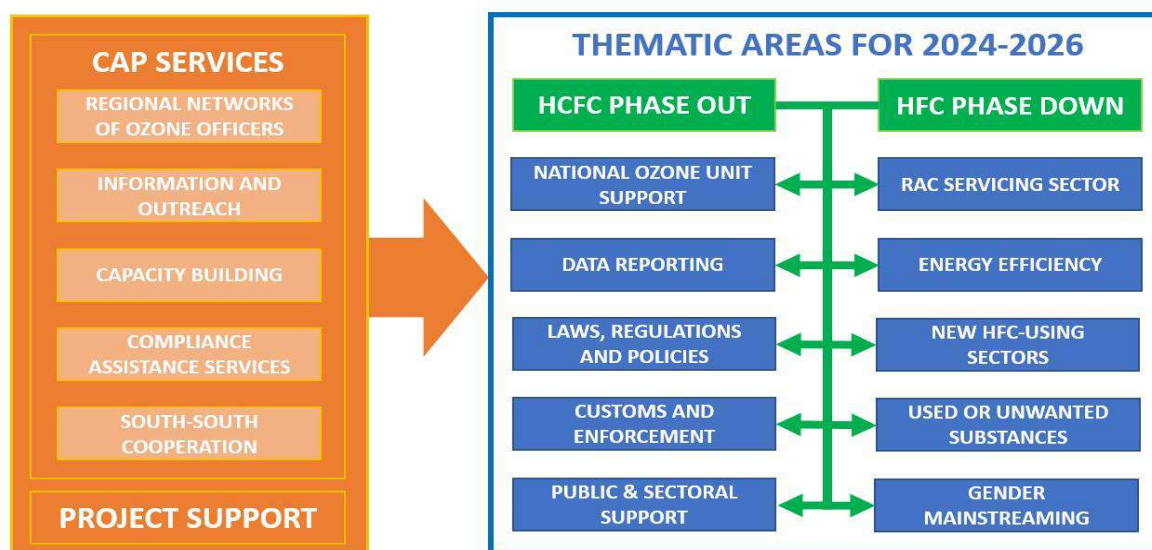
²⁶ UNEP/OzL.Pro/ExCom/93/12/Rev.1

political level, support research and data gathering according to the provisions of the Montreal Protocol and provide assistance in clearinghouse functions as per Article 10 (3)(b) of the Montreal Protocol.

32. CAP reporting documentation from 2006²⁷ mentions the following categories of activities and related CAP achievements for the year: assistance for data reporting, special assistance to countries in actual or potential non-compliance, other assistance modalities such as country-to-country cooperation,²⁸ facilitation of communication with the implementation committee, assistance in policy/legislation development and implementation, assistance in ratification of ozone treaties and support to new parties, and capacity building of National Ozone Officers (NOO).

33. CAP services evolved during the period 2007-2023 under review and the results are grouped under two main compliance pillars: the phase out of hydrochlorofluorocarbons (HCFCs) as part of CAP's initial mission under the Montreal Protocol, and the phase down of hydrofluorocarbons (HFCs) following up on the entry into force of the Kigali Amendment on 1st January 2019.

Figure 2: Focus areas for CAP during 2024-2026



Source: OzonAction CAP Strategy 2024-2026, p. 4 in document UNEP/OzL.Pro/ExCom/93/94.

34. CAP current TOC presented in CAP Strategy 2024-2026, maps and connects the following elements:

Figure 3: Key elements of the CAP ToC 2024-2026



Source: Consultant's elaboration based on the CAP Strategy 2024-2026, p.15 in in document UNEP/OzL.Pro/ExCom/93/94.

35. The TOC presents assumptions for each of these elements, as well as a series of general assumptions. The underlying issue identified that CAP is trying to address, is that "Article 5 countries may

²⁷UNEP/OzL.Pro/ExCom/50/20

²⁸ Now referred to as country-to-country cooperation.

be unable to meet and sustain compliance with the Montreal Protocol and its amendments without external support” to, at the end of the line, reach the expected impact i.e., “Global targets agreed by UN members (under the Montreal Protocol, the Paris Accord and the SDGs) are met”.²⁹ Problem-solving approach through the flow of the TOC has replaced the previous approach in which challenges were presented on their own as a separate annex on the workplans. The current strategic approach and planning adopts a systemic treatment of the flow from issues to be addressed, solutions and sustainable impact in the long-term.

CAP funding

36. The Executive Committee's chairperson and UNEP's Executive Director signed an agreement on 19 June 1991, establishing UNEP's mandate as an implementing agency to co-operate with the Executive Committee and eligible Parties in the areas detailed under its scope of co-operation; for this purpose, UNEP submits project proposals, work programmes and work programme amendments to the Executive Committee for approval. The CAP is considered to be an annual project, and UNEP proposes it at the end of each year in the form of the CAP workplan, progress report and budget. The work programme and budget, including special CAP-specific reporting, is submitted to the second Executive Committee meeting of the year following review and recommendations by the Multilateral Fund Secretariat.

37. Since 2002, there have been a dozen of Executive Committee decisions specifically related to UNEP CAP,³⁰ one of which being decision 47/24 (iii), which maintained that "future increases in the CAP budget would be limited to 3 per cent, unless the Executive Committee was given evidence that inflationary pressures justified otherwise."³¹ UNEP kept within this limit. After a constant growth over the period 2007-2015 of 2.5% a year on average, CAP increase in approved budget slowed from 2017 falling to less than 1% a year on average for the period 2018-2023, in part due to the effects of the COVID-19 pandemic on business operations. Following the recovery and return to normal operations in 2023, the approved budget for 2024 marks a shift with a 3% increase over the 2023 approved budget.

Table 2: CAP approved budget over the period 2007-2024

	2007	2008	2009	2010	2011	2012	2013	2014	2015
	ExCom 50	ExCom 53	ExCom 56	ExCom 59	ExCom 62	ExCom 65	ExCom 68	ExCom 71	ExCom 73
Total project costs (USD)	8 003 000	8 243 090	8 490 000	8 745 000	9 007 000	8 987 000	9 158 000	9 338 000	9 459 000
Personnel component (in % of project costs)	66	67	67	69	68	70	70	71	72
Other components (in % of project costs)	34	33	33	31	32	30	30	29	28

	2016	2017	2018	2019	2020	2021	2022	2023	2024
	ExCom 75	ExCom 77	ExCom 80	ExCom 82	ExCom 84	ExCom 86	ExCom 88	ExCom 90	ExCom 93
Total project costs	9 540 000	9 776 000	9 863 000	9 974 000	9 974 000	9 974 000	9 988 900	10 130 162	10 631 200
Personnel component (in % of project costs)	73	76	76	76	76	76	77	78	77
Other components (in % of project costs)	27	24	24	24	24	24	23	22	23

Source: Consultant's elaboration based on CAP budget documents.

38. The desk study also notes that changes in the presentation of the CAP budget were made to increase transparency through layout changes which facilitated the distinction between global and regional activities. They did not relate to any substantive changes in the actual organization of the programme.

²⁹ OzonAction CAP Strategy 2024-2026, p.15 in document UNEP/OzL.Pro/ExCom/93/94.

³⁰ See annex IV to the present document.

³¹ UNEP/OzL.Pro/ExCom/47/61

CAP staffing

39. The CAP is composed of regional and global CAP teams, and two management positions, totalling 47 posts. They are distributed in different UNEP offices at 5 duty stations. The Global CAP team (based in Paris, Nairobi and Panama City) includes 15 posts;³² the 5 regional CAP teams include respectively 9 posts for the Asia and the Pacific region, based in Bangkok; 9 posts for the Africa region, based in Nairobi; 6.5 posts for the Latin America and the Caribbean region, based in Panama; 3 posts for the West Asia region, based in Beirut; and 2.5 posts for the Europe and Central Asia region, based in Paris (see annex I).

II. Evidence

40. This chapter³³ examines the evidence, i.e., findings of facts, sufficient and appropriate to inform the desk study on the effectiveness and impact of CAP capacity building activities in Article 5 countries, including for compliance with the Kigali Amendment.

II.1 CAP services

Contribution to the implementation of country projects

Key evidence

CAP reporting documentation to the Executive Committee provides numerous examples of CAP services and activities contributing to the implementation of country projects e.g., institutional strengthening, HPMPs, HPMP verifications, HFC enabling activities, Kigali HFC implementation plan (KIP), energy efficiency pilot projects for low volume consuming countries, Ozone depleting substance disposal projects, technical assistance projects, and support for bilateral agency projects. It also serves as the lead agency for most HPMPs, therefore contributing most significantly to the overall success of the HPMP phase-out.

41. UNEP's CAP provides compliance assistance services that support the implementation of Multilateral Fund projects by Article 5 countries, including but not limited to projects where UNEP is the lead or cooperating implementing agency. CAP staff provide direct assistance to NOU for managing their countries' Montreal Protocol projects as well as for identifying emerging needs and addressing these by developing new projects.

42. The CAP supports NOU develop and maintain their capacity to strengthen the enabling environment for projects, so that NOU can support their government institutions develop and enforce their policy and regulatory frameworks related to licensing, quotas and bans. CAP also works with NOU so that, in turn, they can support their governments' monitor compliance status and risks, and accurately report consumption data on ODS, which is required for verification of compliance and country project development.

43. Beyond support to countries and NOU for the development of HPMPs and KIPs, CAP reporting documentation provides numerous examples of activities related to:

- Technical advice to avoid or address situations of potential non-compliance, which helps countries in strategically prioritize and design their country projects based on needs;

³² Additionally, two finance posts, not part of the CAP budget, are funded through OTA (PSCs).

³³ Questions covered in section II.1 address the issues grouped under cluster 1 in annex II of the present document.

- Regional capacity building workshops and meetings on technical, policy and data reporting issues, which help NOU and partners implement activities in their projects;
- Country-to-country cooperation discussion to exchange experience and best practices which helps in circulating the knowledge available to support projects; and
- Guidance materials that can help project preparation, analysis, and sustain outcomes beyond projects.

44. Of all the implementing agencies, UNEP has both the mandate and the structure that allows it to assist countries with their compliance efforts outside of individual projects, and for the long-term. In cases where other agencies are no longer active in a particular country, UNEP provides a degree of CAP support to help the countries overcome certain challenges.

Enabling environment for the management of controlled substances

Key evidence

The CAP works on strengthening the capacities, infrastructure, skills and partnerships needed by countries to effectively phase out controlled substances as required in the Protocol, first by assisting countries to establish and strengthen policy and regulatory frameworks including on HCFC/HFC licensing and quota systems, standards, and import/export controls. This, as well as CAP technical support to assisting accurate data reporting, create the foundations that enable projects and activities.

45. The CAP supports countries capacities to manage controlled substances by, inter alia, the following actions:

- Building the technical capacities of NOU through training, tools, technical guidance and regional experience-sharing;
- Providing advice, experts, training curricula, information, tools and products to use in support of training activities for the refrigeration servicing sector as implemented by Article 5 countries through their national projects (HPMPs, KIPs);
- Working with customs to strengthen regulatory enforcement at national borders and enable proper oversight of ODS;
- Promoting certifications such as the refrigerant driving license (RDL) which verifies professional skills to encourage further professionalization;
- Facilitating partnerships to increase the available expertise and research; and
- Informing stakeholders and the public to gain support for NOU policies e.g., through the material made available on the OzonAction website.³⁴

46. CAP also works to support the RAC sector by, among others, promoting the certification and professionalization of refrigeration technicians. Some key activities in this area include:

- The development of guidance and templates to help NOU establish sustainable certification programs, building on examples like the European Union (EU) F-Gas programme;
- Piloting the RDL global qualification program to introduce minimal skills recognition;
- Promoting national RAC technician certification programs supported through HPMPs in countries.
- Encouraging integration of certification/competency standards into national Technical and Vocational Education and Training (TVET) frameworks through curriculum updates and accreditation;
- Providing tools like guidelines on competency standards and program templates to assist countries;

³⁴ <https://www.unep.org/ozonaction/resources>

- Reviewing national certification programs and advising NOU on enhancing them;
- Outreaching certification best practices and sharing experiences at the meetings of the regional networks;
- Linking certification to improved employment opportunities to incentivize technicians, recognizing certified technicians through initiatives like world maps and local award programmes, and
- Developing e-learning modules on competencies to facilitate skills testing and certification and exploring hybrid programs like competency-based RDL to account for different country contexts.

Strengthening mechanisms in Article 5 countries on data management and reporting

Key evidence

Both the documentation and stakeholders provide concrete examples of how the CAP works to address all aspects of strengthening capacities to improve the quality of national data systems and cross-country cooperation, in view of assisting the countries to report accurate country data.

47. The CAP assists NOUs with capacity building to promote a better understanding of new data reporting formats and tools, through workshops and manuals on data collection, cross-checking, reconciliation and reporting. The CAP also provides guidance and tools to help NOUs establish internal data management systems, such as, inter alia:

- NOU training modules focused specifically on data reporting, Article 7 reporting formats including in NOO training curricula;
- Guidance on establishing national data collection mechanisms, assistance accessing Article 7 Country programme online systems;
- Data collection and management sessions at regional network meetings; and
- Country programme progress reporting guidance and templates and webinars on specific reporting issues, such as HFC baselines required under Kigali Amendment.

48. The CAP shares methodologies for data triangulation across sources like licenses, import records, surveys, in view of building the capacity of NOU to analyse consumption trends and drivers to inform policy decisions and to facilitate regional data exchange and reconciliation differences between countries' reported trade. It is generally considered by stakeholders that the CAP supports accurate forecasting and transparent tracking of quotas to facilitate control measures and encourages responsible data management by NOU and customs agencies.

49. Some key data management tools and training that CAP provides to strengthen Article 5 countries' reporting include: WhatGas? refrigerant identifier app to help differentiate substances and mixtures, a GWP-ODP calculator app and online tool³⁵ for conversion between metrics, customs data collection and reconciliation guidelines, a HCFC quota and licence tracker desktop application, data reconciliation webinars and factsheets on methodologies, the informal prior informed consent (iPIC) online platform, customs data access protocols and HS code guidance.

³⁵ <https://www.unep.org/ozonaction/gwp-odp-calculator>

Building, strengthening and sustaining capacities in Article 5 countries

Key evidence

Key mechanisms to identify and integrate iteratively the specific needs of each Article 5 country in a strategic manner rest on NOUs, based on a bottom-up approach. Observations are made by CAP stakeholders that information related to country needs could be better captured CAP reporting and overall CAP documentation.

50. The CAP uses different mechanisms to support Article 5 countries in identifying their needs in relation to achieving compliance with the Montreal Protocol, ensuring a bottom-up needs identification process driven directly by the Article 5 partners themselves i.e., the NOU and national stakeholders. These include:

Table 3: Mechanisms fostering the participation of Article 5 countries

Type of activity	Content	Frequency
Regional network meetings of ozone officers	Provide a forum for countries to collectively identify priority topics, challenges and needs to address through CAP assistance. Countries help set Network workplans.	Once or twice a year, plus smaller thematic meetings
Country-specific compliance assistance services	CAP engages directly with NOU to understand their specific needs based on compliance status and country conditions.	Weekly
Consultations during project preparation	CAP assists countries identify technical and capacity building needs for projects submitted to the Executive Committee.	Daily (at project preparation stage)
Network survey/needs assessment	CAP periodically surveys NOU to rank and prioritize assistance services according to their needs.	Annually
Bilateral contacts	CAP staff have ongoing dialogue with NOU through country missions, email, calls to stay updated on emerging needs.	Weekly
Country Programme and Institutional Strengthening (IS) project reporting	Identifies challenges faced and assistance required in implementing national activities.	Biannually
Partnership activities	Joint events with partners provide additional avenues for countries to flag technical needs.	n/a

Source: Consultant's elaboration based on the desk review.

CAP contribution to achieving compliance with the Kigali Amendment and other new issues under the Montreal Protocol

Strengthening coordination for energy efficiency

Key evidence

CAP reporting information shows that the CAP seeks to raise awareness, build technical capacity, and promote collaboration to foster energy efficiency as countries implement their obligations under the Montreal Protocol. CAP supports NOU to foster energy efficiency, especially providing information products, delivering trainings and presentations, and facilitating discussions on this topic at meetings.

51. The CAP developed training materials and guides, such as the universal training kit,³⁶ emphasizing techniques for maintaining or improving the energy efficiency of refrigeration equipment during servicing, by including topics like proper leak detection and repair. The CAP also produced factsheets (e.g., on ODS alternatives, low-GWP alternatives in air conditioning, next steps for the refrigeration services sector)³⁷ to share information on the Kigali Amendment and energy efficiency. Results from demonstration projects were also used to showcase the feasibility of *not-in-kind* technologies that can deliver energy efficiency benefits along with reduced climate impacts.³⁸

52. These material and information are circulated to the NOUs through regional coordinators. Additionally, network meetings³⁹ organized by the CAP provide opportunities for NOU to learn from each other's experiences on policies and standards related to minimum energy performance in new equipment. These meetings are also generally considered useful for the CAP to identify linkages and opportunities as well as to encourage cooperation between NOU and energy efficiency institutions, and to help integrate relevant initiatives.⁴⁰

Strengthening coordination for disposal of unwanted substances

Key evidence

CAP provides several types of support to NOU to help NOU strengthen their national arrangements for environmentally-sound disposal of unwanted ODS and alternatives in the RAC supply chain. The CAP facilitates the collaboration between countries to exchange experiences on disposal approaches at regional level, as well as through country-to-country cooperation, and cooperation with relevant stakeholders.

53. The CAP provides the NOUs with information materials and guidelines and other reference materials on relevant disposal options, technologies and best practices. These global and regional guidance materials aim to raise awareness and provide practical guidance to NOU and other stakeholders and are often presented during special sessions at regional network meetings to discuss challenges in implementation and possible solutions with NOU to build capacities to better face the challenges arising from unwanted substances.

54. The CAP assists NOU that request support to review their national policies and regulations related to the disposal of ODS and alternatives e.g., providing guidance on amendments needed to facilitate

³⁶ <https://www.ozonaction.org/DownloadPortal/home>

³⁷ See e.g., <https://www.unep.org/ozonaction/resources/factsheet/qps-uses-methyl-bromide-and-their-alternatives-ozonaction-factsheet>

³⁸ For example, PRAHA series projects in high-ambient countries to test low-GWP alternatives in air-conditioning (PRAHA-I in Egypt/Jordan/Lebanon/West Bank and Gaza; PRAC-II in Egypt/Jordan/Lebanon/West Bank and Gaza).

³⁹ <https://www.ozonactionmeetings.org/>

⁴⁰ For more information on the regional networks, see the dedicated evaluation report UNEP/OzL.Pro/ExCom/92/6

environmentally sound disposal practices. Country-specific assistance is also further provided on request, as the CAP provides direct assistance to individual countries to help them assess their national regime for disposal and identify potential gaps, areas for improvement and related recommendations to strengthen their management of unwanted substances.

Strengthening coordination for management of safety issues

Key evidence

The combination of CAP services to help NOU address challenges around refrigerant safety and management includes information, capacity building activities, technical tools and country-specific assistance. As with other topics, the CAP also provides country-specific services. Upon request, CAP provides advice, information and technical assistance to help NOUs assess safety issues in their context, draft safety procedures and guidelines, strengthen coordination with relevant national agencies, integrate safety into national strategies, and deliver training programs and workshops. CAP supports NOU understanding and management of relevant standards through information sharing and discussions at network meetings. Some NOU are also helped to update national standards and codes.

55. The CAP develops and disseminates publications, factsheets, videos and other materials providing information on safe handling of refrigerants, especially newer lower-GWP alternatives that may be flammable or toxic. These materials, as well as demonstration projects, aim to raise awareness of safety issues and share best practices. Safety is also integrated into all CAP-developed training tools, curricula and programs for refrigeration technicians, to help upgrading skills for minimizing leakages and safely working with new refrigerants. CAP also organizes regional workshops focused specifically on safety for flammable refrigerants. Especially, the CAP works in partnerships with international industry associations to develop training packages, resources and programs on safety issues. Capacity building events and materials e.g., produced jointly with partner associations help ensure priorities of Article 5 countries are addressed.

CAP support to NOUs to strengthen coordination for development and use of standards

Key evidence

The CAP provides several types of support to NOU to foster standards for the sound management of refrigerants, such as guidance, information, tools and partnerships to help NOUs engage effectively with standard's development processes and enforcement of adopted standards.

56. The CAP develops and shares information materials on relevant safety standards for the use of ozone-friendly lower-GWP alternatives, including on standards related to management of flammable, toxic and high-pressure alternatives to help NOU and other stakeholders stay updated on new standards. The programme organizes sessions on refrigerants, standards and RAC applications in regional network meetings and thematic workshops to increase awareness of relevant standards at national and regional levels. Generally, the CAP facilitates country-to-country cooperation to share experiences in the development and enforcement of standards for safe handling of flammable and toxic alternatives.

CAP components

Capacity building

Key evidence

Based on feedback received from Article 5 countries, the capacity building component delivered through the CAP has proven to be effective in strengthening national compliance with the Montreal Protocol. Especially, trainings accredited by organizations like ASHRAE add credibility to CAP capacity-building initiatives. Evidence of CAP effectiveness with respect to capacity building includes the NOU consistently reporting that trainings have equipped them with critical technical knowledge and skills to undertake their roles more professionally. Tools, guidance materials and information products developed by the CAP also address key needs reported by NOU.

57. Countries are found objectively more able to comply with the Montreal Protocol requirements and meet project commitments in a timely manner after capacity-building trainings. A contributing factor lies in trained regional experts who become long-term resources nationally and regionally in their areas of expertise.

58. The on-going demand for e-learning products, conferences and events indicates a continuing interest in acquiring knowledge and skills through CAP capacity-building initiatives. While periodic reviews identify room for improvement, the consistent feedback indicates that CAP capacity building strengthens national capacity and ultimately compliance.

Information exchange

Key evidence

The information exchange component of the CAP programme has proven effective to meet Article 5 countries' knowledge needs for sustained Montreal Protocol implementation, based on feedback and metrics. Indeed, reported data show an uptake/use of the OzonAction website, publications, meetings portals and e-newsletters, as well as an active participation of countries in regional networks. The unique website and social media visitors increasing annually indicates growing information access. Mobile apps and tools also see high downloads rates (100K+), indicating relevance to the needs of the technician community. Additionally, key partners actively distribute CAP information, leveraging outreach of materials.

59. CAP demonstrates commitment, within its resources, to adapt its communication for different audiences and translate its products to optimize their outreach. Data demonstrate that translations contributed to expanding global outreach, with websites showing 30-50% traffic from non-English speaking visitors.

Clearinghouse function

Key evidence

In terms of knowledge services delivery, the clearinghouse function is considered by CAP stakeholders to be a major strength and asset under the CAP programme. CAP reporting information provides examples of CAP's effectiveness in delivering its clearinghouse function, across the following dimensions.

Table 4: Reporting dimensions of CAP clearinghouse function

Dimension	Content
Information	Feedback from NOU and professionals shows clearinghouse information is directly relevant to their needs for policymaking, project design, technology selection etc.
Knowledge hub	The OzonAction clearinghouse is recognized globally as an authoritative knowledge hub for the Montreal Protocol. Its resources are widely used, by different categories of stakeholders.
Coverage	The clearinghouse aggregates a rich variety of up-to-date compliance resources from multiple sources, ensuring comprehensive coverage.
Formats	Information is available through user-friendly online platforms, tools, publications and events tailored to diverse audience profiles and languages.
Synergies	The clearinghouse promotes resource efficiency synergies between the Montreal Protocol and other multilateral initiatives.
Partnerships	Over 300 partners contribute to providing information, expanding the clearinghouse's outreach through their own networks.
Continual updates	New guidance, case studies, alerts and training materials are regularly uploaded to keep pace with emerging issues.

Source: Consultant's elaboration based on the desk review.

60. CAP's reporting content with respect to its clearing house component covers a broad range of information production activities; to some extent what falls under the "clearinghouse" category of activities is not always clearly distinguished from other categories of activities led by the CAP such as e.g., "capacity building" that may also include the production of information under the form of training material in other activities.

Country-to-country cooperation

Key evidence

Regular feedback from NOU confirms that country-to-country cooperation is highly appreciated especially as it enhances capacities, supports addressing national issues more holistically, fosters national ownership and helps in overcoming challenges at national and regional levels. CAP regional networks have been specifically instrumental in facilitating peer learning and support among countries e.g., for troubleshooting issues together, for collaborating on standards, licensing frameworks and enforcement strategies, for identifying regional experts to provide localized guidance, for sharing experiences and inspire others facing similar barriers. Overall, the regional networks tend to act, to a variable degree depending on networks, as regional information hubs where materials are tailored for local cultures and language needs, as well as a means to develop regional positions in negotiations and discussions.

61. The CAP also developed a country-to-country system to pair "success stories" with countries facing more challenges, setting up reciprocal visits to help in replicating good practices under the form of study tours to show national stakeholders concrete alternatives and downstream uses. Annex III to the present document includes some examples of successful country system pairings facilitated by CAP that helped replicate tried-and-tested solutions and practices across regions.⁴¹

⁴¹ CAP progress report to the 85th Executive Committee meeting in document UNEP/OzL.Pro/ExCom/85/8), CAP progress report to the 84th Executive Committee meeting in document UNEP/OzL.Pro/ExCom/84/18 and CAP progress report to the 83rd Executive Committee meeting in document UNEP/OzL.Pro/ExCom/83/20.

Gender dimension

Key evidence

OzonAction developed a gender-mainstreaming plan, aligned with UNEP Policy on gender mainstreaming and with the operational policy on gender of the Multilateral Fund. Furthermore, CAP integrates attention to gender mainstreaming in its strategy as well as through project-level guidance, capacity building support to NOU, knowledge sharing on gender topics, discussions at network meetings, participation statistics, and applying UNEP's overall gender policy within CAP operations. The CAP works in partnership with stakeholders to promote and support the participation of women in the RAC sector, developing publications, organising meetings⁴² and supporting initiatives. E.g., the CAP directly contributed with funding to the establishment in 2022 of the international networks of women in cooling (INWIC) to advance the engagement of women, promote career opportunities and increase their overall participation in the refrigeration, air-conditioning and heat pumps (RACHP) sector.

62. At the activity level, CAP conducts outreach activities to encourage the participation of women in Montreal Protocol workshops, trainings and other events. OzonAction also collects and shares profiles of women working in refrigeration servicing and other Montreal Protocol fields.

63. CAP also provides guidance and support to NOU on mainstreaming gender, for example by developing factsheets on promoting gender equality under the Montreal Protocol. Moreover, gender is discussed as a theme/session in CAP's regional network meetings and other events. Information on relevant gender topics is shared with participants. CAP reports on progress made in mainstreaming gender in compliance with the gender mainstreaming operational policy⁴³ of the Multilateral Fund, including, when available, statistics on participation of women.

II.2 CAP mechanisms, structure and frameworks

64. This section⁴⁴ examines the evidence, i.e., findings of facts, sufficient and appropriate to inform the desk study on the relevance and effectiveness of CAP mechanisms, structure and frameworks.

CAP internal coordination mechanisms

Coordination

Key evidence

The OzonAction standard operating procedures⁴⁵ from 2022 highlight several coordination mechanisms between the Global CAP team and its regional CAP teams, to support continuous communication as well as collaborative planning and coherence between regional priorities and global CAP strategy.

⁴² <https://www.unep.org/ozonaction/ozonaction-and-gender-mainstreaming>

⁴³ UNEP/OzL.Pro/ExCom/92/51.

⁴⁴ Questions covered in section II.2 address the issues grouped under cluster 2 in annex II of the present document.

⁴⁵ OzoneAction, Standard Operating Procedures, 16 February 2022, version 2.

65. These coordination mechanisms are displayed in table 5 below:

Table 5: Internal coordination mechanisms for OzonAction

Type of meeting	Coordination mechanism
Regular meetings	Global and regional CAP team leaders hold bi-weekly online meetings to coordinate on regional priorities, strategies and resources.
Work planning	Regional CAP teams provide input to the global CAP work plan development process based on regional needs and priorities.
Project proposal review	All country project proposals being submitted to the Multilateral Fund are guided and reviewed by the global CAP team. The global team also manages the submission process and participates with the regional teams in the negotiations with the Multilateral Fund Secretariat. Implementation of approved projects is done by the regional CAP teams.
Information sharing	Regional and global CAP teams keep each other updated on activities/outcomes through various type of interactions.
Technical support	The global team provides specialized technical/policy support, expertise and global partner contacts to regional teams.
Monitoring and reporting	Project substantial and financial progress is monitored on an ongoing basis by CAP and reported through the various reporting mechanisms required by the Executive Committee. Country project reporting is done through the collaboration of the regional and global CAP teams.
Policy coordination	Regional feedback informs global positions on emerging Montreal Protocol issues through the global CAP team.

Source: Consultant's elaboration based on the desk review.

66. The regional CAP teams are under the overall supervision of the OzonAction branch of UNEP's law division. There is centralized coordination, management and supervision at the UNEP headquarters level i.e., UNEP OzonAction provides a forum for regular interaction and information exchange between the regional CAP teams, based on monthly meetings.

67. The regional CAP coordinators advise and coordinate the regional networks, with overall support from the OzonAction office in Paris, to identify priority needs and issues. To inform their activities and meeting agendas there is bottom-up coordination and consultation with the regional networks' member countries. There is also planning and budgeting coordination between the regional and headquarters levels, as regional CAP teams prepare work programmes and annual plans that are submitted annually for overall approval by headquarters.

Effectiveness

Key evidence

Although the documentation does not provide direct and clear evidence on the effectiveness of the coordination mechanisms, it is reasonable to posit that they contributed to smoother interactions and timely delivery of high-quality services. The practice of holding regular team meetings and nurturing communication channels i.e., bi-weekly meetings, and ongoing information sharing, provide opportunities to discuss challenges, align approaches and receive guidance from the global team in a timely manner. Also, involving regional and country stakeholders in work planning and jointly reviewing projects helps meet regional needs and incorporate their perspectives from the start, as does having regional experts involved in key global events and committees to disseminate and contextualize information and to build awareness of regional viewpoints.

68. Some examples of where regional input mechanisms have meaningfully shaped global policies under the Montreal Protocol include, inter alia:

- The “*HFC Phasedown Schedule*” for which regional analyses and discussions informed the consensus of the HFC phase-down schedule agreed by parties, with certain flexibility accommodating diverse capacities and conditions across regions;
- The “*High-Ambient Standards*”, for which regional cases demonstrating technology and market impacts in hot climates helped justify Executive Committee approval of funds to support development and testing of high-ambient temperature equipment; and
- The “*F-Gas Regulation*” for which briefings from regional experts on implementation experiences to date with the EU F-Gas policy helped global discussions on developing international HFC management guidelines.

69. Regional networking events enabled exchange of diverse national approaches and best practices, some of which were scaled-up or adopted in other regions. Feedback from regional customs operations forums shaped iPIC system upgrades to facilitate the specific import/export verification needs across regions.

CAP staffing distribution and budget allocation

Key evidence

Although no major deficiencies are evident based on the information provided, Executive Committee meeting documents over the period 2007-2023 reflect questions raised by Executive Committee members regarding the time spent on tasks not related to the Montreal Protocol by CAP staff funded by the Multilateral Fund, which might have an impact on the delivery of CAP services (decision 77/38). On this matter, the Executive Committee reiterated concerns that resources provided to the CAP should be used solely for the purposes of that programme, and not used for any other UNEP activities (decision 80/55).

70. UNEP aims to keep increases within 3% as per decision 47/24. Even though some submissions (e.g., in 2011) may have exceeded this threshold, rates approved over the period 2007-2023 have varied from 0-3% due to adjustments needed to accommodate changing compliance needs under the Montreal Protocol - within the confines of that decision.⁴⁶

Staffing and financial resources

71. Based on the information provided in CAP reporting documentation, it appears that the current allocation of staff and resources is efficiently used to produce the expected results. The current allocation of staff and resources is supported by a results-based approach designed to achieve results through the strategy of ongoing responsiveness from CAP teams. CAP stakeholders shared concerns regarding regular situations of staff work overload, that could be improved by receiving more support, in particular regarding the administrative procedures required to initiate the implementation of activities after signature of the agreements.

⁴⁶ Current organigramme is presented in annex I to the present document.

Criteria for definition of CAP priorities

Key evidence

The priorities for determining CAP budget allocations are set according to the identified needs of Article 5 countries. CAP develops its budget proposal based on the current and anticipated needs of Article 5 countries identified from various sources such as direct feedback from NOUs, discussions at regional network meetings, guidance from other Montreal Protocol meetings and events, through consultations with implementing agencies and partners, etc. The main needs relate to supporting countries achieve and sustain compliance with Montreal Protocol commitments, based on continuous feedback from Article 5 countries. Hence, CAP proposed services and products are discussed with national ozone officers through regional network meetings and bilateral discussions to assess iteratively priority needs.

72. CAP priorities also rest on the objectives of the current CAP strategy as well as on existing commitments. The budget allocation aims to implement the activities identified in the overarching objectives and strategic programme objectives of the three-year CAP strategy approved by the Executive Committee. This provides the programmatic framework for CAP services. Results of previous years are also considered for funding allocations, factoring in the outputs and results achieved in the previous years based on progress and financial reports to the Executive Committee.

73. The budget proposal integrates guidance provided by the Executive Committee through its decisions on issues like performance indicators, priorities of the business planning process, etc. Finally, the criteria focus on responding to the priority needs of Article 5 countries to sustain compliance, continuing approved projects and commitments, implementing the strategies approved by the Executive Committee, and utilizing available resources in the most effective manner.

CAP strategy and workplans

Key evidence

While continuing to focus on HCFC phase-out and ODS reductions, CAP strategic framework documentation shows that the CAP has, from 2016, progressively strengthened its work on synergizing the Montreal Protocol's objectives with climate change goals, in line with the Kigali Amendment's mandate. A key evolution over that period is the introduction of a triennial strategy for the CAP. The first iteration of this strategy, covering 2016-2018, reflects the integration of the Kigali Amendment e.g., in the following ways: Overarching objective 3 is "Building capacity to adopt alternatives to HCFCs to achieve climate co-benefits". This objective directly addresses the linkages between the HCFC phase-out and climate change mitigation, while strategic programme objective 7 focuses on "Promoting climate co-benefits in the HCFC phase-out through technology choices, good practices, emissions reduction and energy efficient practices".⁴⁷

74. The integration of the Kigali Amendment and climate change issues in the current CAP strategy has evolved significantly compared to the 2017-2019 period. Some of the key changes include the addition/reformulation of overarching objective 3 in the 2018-2020 CAP strategy to focus specifically on "Building capacity to initiate enabling activities for the HFC phase-down". This objective did not exist in the previous strategies. Also, within overarching objective 2 on "Strengthening the refrigeration servicing sector",⁴⁸ a greater emphasis has been placed on addressing issues related to the adoption of lower-GWP

⁴⁷ UNEP/OzL.Pro/ExCom/77/32, pages 5 and 12.

⁴⁸ UNEP/OzL.Pro/ExCom/80/28, page 3.

alternatives and maintaining/enhancing energy efficiency through capacity building and information activities.

75. Overall, climate change linkages and opportunities are more prominently highlighted in relation to both the HCFC phase-out and HFC phase-down in newer versions of the strategy; this includes co-benefits messaging and ensuring consistency between Montreal Protocol objectives and other sectors/frameworks like energy efficiency.

76. CAP workplans from 2017 onwards have included activities to support countries assess HFC consumption and policies as well as introducing energy efficient and low-GWP alternative technologies. Workplans show increased integration of HFC-related requirements into CAP assistance for enabling activities projects, review of licensing systems, data reporting, standards and codes of practice, information materials etc. Activities geared to building capacity for Kigali Amendment ratification and implementation have been added, including information sharing, guidance documents, targeted country assistance etc. Thematic meetings organized by CAP have included sessions on HFC phase-down under the Kigali Amendment, low-GWP alternatives, standards for flammable refrigerants, and energy efficiency. The CAP has produced factsheets, videos and other materials on topics like energy efficiency options, national policies linking HCFC phase-out to low-GWP alternatives, and the benefits of the Kigali Amendment. partnerships were forged with organizations working on energy efficiency and climate issues (e.g., ASHRAE) to strengthen collaboration and integrate ozone and climate considerations.

Impact and performance indicators

Adequacy to reflect CAP performance

77. The previous evaluation of CAP⁴⁹ did not examine the “new” set of key performance indicators (KPI) for the CAP, that was introduced at the 48th meeting of the Executive Committee⁵⁰ in 2006 and is attached to CAP business plan.⁵¹

⁴⁹ UNEP/OzL.Pro/ExCom/52/9

⁵⁰ The original set of indicators was approved by the Executive Committee at its 41st meeting in 2003, when it agreed on indicators to monitor the performance of the CAP.

⁵¹ UNEP/OzL.Pro/ExCom/91/25

Table 6: Performance indicators and targets for UNEP's CAP 2024

Performance Indicator	Data	Assessment	2023 target
Efficient follow-up to regional network/thematic meetings	List of recommendations emanating from 2021-2022 regional network/thematic meetings	Implementation rate of those meeting recommendations that are to be implemented in 2023	90% implementation rate
Effective support to National Ozone Units (NOUs) in their work, particularly guidance to new NOUs	List of innovative ways/means/products/services for supporting NOUs in their work, with specification of those destined for new NOUs	Number of innovative ways, means, products, services for supporting NOUs in their work, with specification of those destined for new NOUs	- 7 innovative ways, means, products, services; -All new NOUs receive capacity building support
Assistance to countries in actual or potential non-compliance (as per Meeting of the Parties decisions and/or as per reported Article 7 data and trend analysis)	List of countries in actual or potential non-compliance that received CAP assistance outside the network meetings	Number of countries in actual or potential non-compliance that received CAP assistance outside the network meetings	All such countries
Innovations in production and delivery of global and regional information products and services	List of global and regional information products and services destined for new target audiences or that reach existing target audiences in new ways	Number of global and regional information products and services destined for new target audiences or that reach existing target audiences in new ways	7 global and regional information products and services
Close cooperation between CAP regional teams and implementing and bilateral agencies working in the regions	List of joint missions/undertakings of CAP regional staff with implementing and bilateral agencies	Number of joint missions/undertakings	2 joint missions / undertakings in each region, if the COVID-19 pandemic situation allows and there are no restrictions

Source: UNEP/OzL.Pro/ExCom/93/28, table 5, page 5-6.

78. The desk study notes that, over the period 2007-2023, this set of performance indicators remained the same while corresponding targets as well as means of verification (data and assessments requirements) were simplified, based on UNEP's proposals and on decisions of the Executive Committee. Concurrently, another set of performance indicators was developed from 2014, and included in "Regional logical frameworks analysis" from 2014 to 2016.⁵² From 2016 onwards, to better track the achievements of the programme objectives defined in the strategy, the CAP revised the logical framework to make it more comprehensive and useful to track and report on the CAP performance. This revised "Logical framework analysis" (LFA) annexed to CAP reporting includes yearly expected results, performance indicators and benchmarks, linked to CAP strategy and current TOC.⁵³

Key evidence

Since 2007, summaries of Executive Committee discussions reflect concerns on refining or consolidating the indicators. For example, at the 91st meeting in 2023, the Executive Committee requested that UNEP provide a target for policy and regulatory assistance that better reflected the CAP's activities in this area. However, KPI for tracking of performance trends over time have remained the same over the years. Despite discussions on the adequacy of the current indicator framework for the CAP, no changes have yet been made to this core set of indicators approved in 2006. However, CAP added in 2016 additional sets of indicators used for reporting in the "Logical framework analysis" based on CAP expected results presented in CAP's theory of change.

⁵² UNEP CAP budget proposal, workplan and progress report for 2014-2016 in documents UNEP/OzL.Pro/ExCom/71/23, UNEP/OzL.Pro/ExCom/73/30 and UNEP/OzL.Pro/ExCom/75/33/Rev.1.

⁵³ Annex 2A, UNEP CAP 2018-2020 three year rolling strategy 2018 workplan, activities and budget proposal 2017 progress report & review of CAP in document UNEP/OzL.Pro/ExCom/80/28.

79. The desk study notes that accountability reporting information provided on CAP performance through the “Logical framework analysis” does not systematically address country specific factors that: a) drive the achievement of intended outcomes and b) vary between countries and over time and does not adequately capture the dimensions of CAP value creation and sustainability.

Positioning in framework documentation

Key evidence

Since 2007, Executive Committee discussions also reflect concerns on whether the set of performance indicators (cf. tab. 6) should be repositioned e.g., to be put in relation with the logical framework analyses and the triennial CAP strategy. Some potential considerations in the discussion included: consolidating performance indicators within the annual CAP submission and relating them to the logical framework analyses and triennial CAP strategy could help streamline reporting and reinforce the link between activities, outputs and outcomes; and keeping performance indicators in the business plan maintains their current level of visibility for Executive Committee discussions on planned activities and targets. However, it results in some duplication with the logical framework included in the annual CAP.

80. The set of CAP’s performance indicators attached to the TORs for this desk study (cf. tab. 6) is currently attached to UNEP business plan, while a more comprehensive set of performance indicators clearly linked to the CAP strategic objectives is presented in the LFA.

Mechanisms for reporting to the Executive Committee

Existing mechanisms

Key evidence

Established mechanisms through which UNEP systematically reports to and interacts with the Executive Committee on CAP implementation, annually and on an ad-hoc basis, are as follows presented in table 7 below.

Table 7: CAP existing mechanisms for reporting to the Executive Committee

Type	Objectives
Annual progress and financial reports	UNEP submits annual progress and financial reports on CAP implementation to the second Executive Committee meeting of the year. These reports detail activities carried out in the previous year, achievements and results, as well as expenditures. The reports also contain a section on the ongoing and planned CAP activities for the current year.
Status reports on specific issues	From time to time, the Executive Committee may request UNEP to provide status reports on specific issues related to CAP implementation. For example, UNEP has provided reports on the balancing of CAP budgets, staffing levels and associated costs.
Presentations at Executive Committee meetings	UNEP OzonAction is an observer at Executive Committee meetings and its representatives provide input or clarifications upon request of the chairperson. UNEP also participates in contact group meetings that are open to implementing agencies.

Type	Objectives
Othe reporting	- CAP progress reports - Multi-year agreement (MYA) tranche reports - Tranche submission delays reports - Institutional strengthening (IS) project reports - Specific reporting requirement reports - Project completion reports (PCRs) - - Financial balances reports

Source: Consultant's elaboration based on the desk review.

Reporting format

Key evidence

Executive Committee discussions reflect an appetite for improved quality and focus of CAP reporting. Some avenues suggested include: producing shorter, more analytical reports that focus on outcomes and impacts rather than listing all activities to make the reports more strategic and results-oriented; integrating the CAP budget and progress reports where possible to avoid duplication and present a more cohesive narrative; including more quantitative performance data, case studies and analytics to better demonstrate progress and results; focusing more on deviations, challenges, lessons learned rather than just reciting activities; clearly linking activities, outputs and outcomes to the approved CAP strategy and logic framework to show how implementation is achieving objectives; including a brief forward-looking section to articulate priorities and anticipated challenges/needs in the coming period; using infographics, tables and visuals judiciously to help better communicate messages and trends; seeking country feedback on report quality/usefulness and making improvements based on inputs received; and leveraging evaluation findings more systematically where available to strengthen analytical sections.

81. The Executive Committee also suggested that the CAP seek user feedback more systematically to continuously enhance its reporting, in view of ultimately producing shorter, more analytical and results-focused reports rather than descriptive and by strengthening the linkage of interventions to approved strategies in the documentation to better showcase the outcomes/impacts of CAP interventions. The desk study notes that decisions taken by the Executive Committee regarding CAP reporting were focussed on the content of reporting rather than on its format.

Working with the Secretariats

CAP and the Ozone Secretariat

Key evidence

Workflows reflect collaboration, coordination and exchange of information between CAP and the Ozone Secretariat (based in Nairobi) on a wide range of support activities both at global and national levels, to support the effective implementation of Montreal Protocol compliance functions and activities. The collaboration is overall considered very helpful by CAP stakeholders.

82. Workflows between CAP and the Ozone Secretariat are presented in table 8 below:

Table 8: Workflows between CAP and the Ozone Secretariat

Type	Content
Implementation committee	UNEP participates as an observer in all implementation committee meetings. UNEP's CAP team regularly follows up with Article 5 countries in cooperation with the Ozone Secretariat on issues related to implementation committee matters such as outstanding data reporting, establishment and operation of licensing systems, compliance action plans, possible/actual non-compliance issues, etc.
Data reporting	CAP assists countries in submitting timely and accurate data reports to the Ozone Secretariat as required under Article 7 of the Montreal Protocol. This includes following up with countries on data submission deadlines and working with countries to address any queries from the Ozone Secretariat related to reported data.
Ratification support	CAP works with the Secretariat to encourage and assist countries that have not yet ratified amendments like the Kigali Amendment to do so. They provide joint support through activities like regional workshops and missions.
Policy and technical support	The Secretariat provides guidance and interpretations on Montreal Protocol obligations. CAP helps communicate this guidance to countries and assists with developing supportive policies and regulations. CAP also helps countries to implement relevant decisions adopted by the Meeting of the Parties to the Montreal Protocol as well as recommendations adopted by the implementation committee. This may involve providing clarifications, additional data, action plans, as requested.
Coordination on compliance issues	CAP coordinates closely with the Ozone Secretariat on cases of countries in potential or actual non-compliance. This includes jointly tracking progress on compliance-related activities and providing joint assistance as needed.
Exchange of information	The Ozone Secretariat and CAP regularly share information on issues like reported data trends, challenges faced by countries, licensing systems, etc. This helps both entities stay updated on latest developments.
Regional Network meetings	CAP invites the Ozone Secretariat as speakers to all regional network meetings, and occasionally to other thematic meetings or workshops as needed. This provides Article 5 countries with direct access to the Secretariat staff enabling both formal and informal interactions on key topics to help advance the work of the Multilateral Fund. CAP and the Ozone Secretariat organise bilateral sessions with countries in the meeting margins to address specific compliance issues
Awareness and outreach	CAP and Ozone Secretariat regularly cooperate on joint activities related to increasing awareness about the Montreal Protocol and Kigali Amendment through support for inter alia World Ozone Day celebrations, outreach events, exhibitions, web sites, information materials, etc.

Source: Consultant's elaboration based on the desk review.

Key evidence

The work relationship between CAP and the Multilateral Fund Secretariat focusses on supporting Article 5 countries' Montreal Protocol implementation and compliance through projects, policy setting, data management and technical assistance provided by CAP and coordinated closely with the Secretariat. There is close collaboration between CAP and the Secretariat on key Montreal Protocol processes to support effective country compliance, to which CAP contributes with its unique clearinghouse mandate

83. Workflows and interactions between UNEP's CAP team and the Multilateral Fund Secretariat are presented in table 9 below:

Table 9: Workflows between CAP and the Multilateral Fund Secretariat

Type	Content
Project submissions, project progress reporting and financial reporting	○ CAP assists Article 5 countries with preparing projects/proposals, as well as with project progress reporting and financial reporting to be submitted to the Executive Committee. This includes both investment projects as well as non-investment projects like institutional strengthening renewals, HCFC phase-out management plans, enabling activities for HFC phase-down, etc. ○ The CAP team works closely with the Multilateral Fund Secretariat on the review process for these submissions to make sure they comply with guidelines before presentation to the Executive Committee and presents progress and financial reports.
Data reporting	○ CAP provides compliance assistance to countries on accurate and timely reporting of country programme data reporting. ○ The CAP team coordinates with the Multilateral Fund Secretariat on data reporting guidelines, templates and requirements. It assists countries to liaise on any data clarifications.
Project implementation	○ CAP report on the support provided for the implementation of investment and non-investment projects approved by the Executive Committee on behalf of Article 5 countries. ○ The CAP team works with the Multilateral Fund Secretariat on project monitoring, progress and financial reporting requirements. It assists with any Secretariat requests related to projects.
Policy setting	○ The CAP team closely follows Executive Committee decisions and guidelines that set operational frameworks and priorities. ○ CAP representatives regularly brief the Secretariat on activities in inter-sessional meetings and at informal advisory group meetings.
Participation in meetings	○ CAP participates in Executive Committee and Inter-Agency Coordination, Meetings, and other Montreal Protocol meetings. ○ CAP coordinates with the Multilateral Fund Secretariat on meeting documents, sessions and side events.
Regional Network meetings	○ CAP invites the Multilateral Fund Secretariat as speakers to all regional network meetings, and occasionally to other thematic meetings or workshops as needed. This provides Article 5 countries with direct access to the Secretariat staff enabling both formal and informal interactions on key topics to help advance the work of the Multilateral Fund. CAP and the Secretariat

	organise bilateral sessions with countries in the meeting margins to address specific implementation or project issues. ○ CAP also invites the Senior Monitoring and Evaluation Officer of the Multilateral Fund Secretariat to provide updates on the monitoring and evaluation work programme and evaluation activities, in particular on those relevant to the CAP.
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Source: Consultant's elaboration based on the desk review.

Partnerships with other stakeholders relevant to the implementation of the Montreal Protocol

Partnerships

Key evidence UNEP has several strategic partnerships in place to help advance the objectives of the Montreal Protocol, including with industry associations, customs organizations, UN agencies, RAC associations and expert networks. The purpose of these partnerships is to leverage expertise, knowledge and outreach potential of partners to strengthen NOU and other stakeholders, fill capacity gaps, and maximize impact using partnerships mandated under Article 10 of the Montreal Protocol.

84. Examples of CAP partnerships are presented in table 10 below:

Table 10: Type of CAP partnerships

Type	Objectives
With industry associations, professional associations, and intergovernmental bodies	Like Air-conditioning and Refrigeration European Association (AREA), ASHRAE, Air-conditioning, Heating and Refrigeration Institute (AHRI), International Institute of Refrigeration (IIR) to promote adoption of ozone-friendly, low-GWP alternatives and energy efficient technologies. This includes collaborating on tools, guidance materials, standards, events.
With customs organizations	Like the World Customs Organization (WCO) to strengthen trade control capacity through training, resources. This includes periodic updating of the Montreal Protocol e-learning course.
With bilateral and implementing and bilateral agencies	CAP cooperates closely with sister implementing agencies (UNDP, UNIDO, World Bank) and bilateral agencies on the development, submission, implementation and reporting of joint country projects. UNEP also regularly invites those agencies to participate in regional network and thematic meetings.
With RAC associations	Globally and within regions to support NOU in national phase-out strategies, technology transfer, alternative assessments.
With initiatives	Like the green customs initiative to deliver joint training, enforce trade controls, combat illegal trade.
With expert groups	Within ASHRAE, AREA etc. to guide program activities, develop standards, advance alternatives.

Source: Consultant's elaboration based on the desk review.

85. Through the establishment of partnerships, the programme contributes to training of technicians on sound refrigerant management practices (e.g., the international HVACR Technician Organization, and regional certification programmes developed in over 20 Article 5 countries). It also helps developing global training curricula, like the universal training kit and refrigerant management university course that was co-developed with ASHRAE and is now adopted globally, made available to over 450 engineering institutions. Local refrigeration training programmes and materials were also strengthened in over 50 countries through tools such as the universal training kit.

Effectiveness

Key evidence

Partnerships support CAP in developing and continuously updating its content and multiplying the reach and potential impact of its activities. Some key results achieved through UNEP's strategic partnerships under the CAP include, beyond the development of training material and courses offering for technicians and customs officers, the effective training of RAC stakeholders, although some disaggregated information on these aspects is not systematically provided in CAP reporting documentation.

86. A global qualification program titled refrigerant driving license (RDL) was designed and piloted in six countries via partnership with AHRI, AREA and other associations. The CAP partnerships also contributed to update the e-learning training course on Montreal Protocol for over 100,000 customs officers worldwide through the WCO platform. This package including the joint Montreal Protocol customs training manual, and an e-learning course developed with WCO is now used globally to build customs capacity for trade control of ODS.

87. Regional refrigeration codes were developed in collaboration with partners and adopted in Article 5 countries. Regional model refrigeration codes were co-developed with IIR and adopted in many countries, improving the framework of standards. Partnerships also supported demonstration projects showcasing lower-GWP alternatives benefiting over 30 countries. Joint global conferences, events and side-events organized with partners to showcase technologies, raise awareness and train participants. Stakeholder workshops and summits organized with partners raised awareness amongst thousands of participants, and over 150 technical publications, videos and manuals produced in cooperation with partners outreach globally. CAP's strategic partnerships model taps into expertise, knowledge and networks beyond UNEP's capacity alone and helps leverage additional expert support for Article 5 countries.⁵⁴

II.3 Challenges

88. This section⁵⁵ examines the evidence, i.e., findings of facts, sufficient and appropriate to inform the desk study on the challenges faced by CAP.

Challenges in implementation

Key evidence

In addition to reporting on the progress and results of CAP activities, UNEP also tries to highlight the difficulties faced over the reporting period e.g., together with its proposed budget for the CAP. The desk study notes that, from 2007 to 2009, CAP used to report on the "Challenges" affecting its implementation, in annex 3 to its annual budget and work programme document, however, this has been

⁵⁴ Summarized information retrieved from UNEP CAP progress reports submitted to the Executive Committee in the 82nd, 84th and 86th meetings.

⁵⁵ The contents of this section address the questions in cluster 3 of annex II of the present document.

discontinued. Since then, the CAP has introduced its TOC and, rather than “challenges”, issues are reported through reported under the respective sections, rather than separately from the issue which they affect.

89. UNEP provides regular updates to the Executive Committee on changes to the CAP team structures, roles and locations in annual budget submissions in relation to any identified challenges that may impact effective CAP implementation support, as well as in its progress reports on a regular basis. Challenges identified in the implementation are most often related to external factors in the countries, rather than systemic issues related to the structure of the programme. Thus, the desk study has not identified any systemic challenge to the implementation of CAP.

CAP adaptation to the Covid-19 Pandemic

Key evidence

UNEP's CAP had to adapt many of its operations due to the COVID-19 pandemic, overall shifting its approach from in-person to virtual modes of operation, while maintaining regular communication and flexible planning to best support countries within the constraints imposed by the COVID-19 pandemic. Many planned physical meetings had to be cancelled or postponed, so CAP shifted regional network and thematic meetings to virtual format, organized numerous webinars and virtual meetings using online conferencing platforms, and delivered country-specific services remotely through videoconferencing, phone calls, email and messaging apps rather than through in-person missions, due to travel restrictions. Planned workshops, exhibitions or side events at international conferences and fora that involved travel and gatherings were postponed.

90. Overall, the CAP maintained flexibility in implementation plans to adapt to sudden changes in conditions or priorities arising from the pandemic situation. Relying more heavily on online communication tools to maintain regular contact with NOU and continue providing compliance assistance and support, the CAP also adjusted its workplans over 2020 to 2023 to accommodate constraints on activities requiring in-person participation like training and study tours. The CAP continued developing and outreaching e-learning courses, videos, guidance documents and digital tools since it was not possible to deliver in-person training. The desk study notes that the CAP returned a portion of the 2020 budget to the Multilateral Fund earlier than planned, in recognition of impacts on activities. Indeed, some activities had to be cancelled due to limited engagement from external partners on some initiatives posed challenges related to travel restrictions, meeting restrictions, logistical disruptions, and uncertainty.

91. Based on the challenges experienced due to the COVID-19 pandemic, to further build resilience against future potential disruptions and ensure the continuity of services to countries, UNEP/OzonAction has taken some steps to strengthen virtual capabilities and business continuity protocols. CAP has followed UNEP's policies and guidance to formalize flexible work arrangements, for staff to work remotely when needed. The management of CAP activities during the COVID-19 pandemic overall tested virtual options for the delivery of services like network meetings and trainings; when considered a relevant and useful addition, these alternative modalities were integrated into training programmes after the pandemic.

III Results of the desk study

92. This final chapter presents the lessons and good practices, as well as conclusions and takeaways resulting from the desk review and interviews held to inform this desk study.

III.1 Lessons and good practices

93. **Components:** The design and implementation of CAP components have evolved over the period in response to changing needs and priorities of Article 5 countries under the Montreal Protocol. Key elements in this evolution include:

Table 11. Key elements in the evolution of CAP during the period 2007-2023

Type	Content
Regionalization	There has been a shift towards more regionalization of CAP resources and services to better address the needs of specific regions and sub-regions. For example, the majority of CAP staff is now based in the regions. Regional Networks have proven highly effective platforms for peer learning, problem-solving and information exchange between countries.
Focus on country priorities	The CAP tracks have evolved over time to focus more on emerging priority areas for countries. Originally the emphasis was more on CFC phaseout, but it has shifted towards helping countries with HCFC phase-out obligations and HFCs phase-down with the introduction of the Kigali amendment.
Capacity building approaches	Training approaches have evolved from basic workshops to include more tailored, country-driven activities like National Training Curricula. E-learning and country-to-country cooperation are now emphasized more.
Knowledge management	More emphasis on digital/electronic knowledge services like online reporting, databases, toolkits, social media, and webinars to facilitate information access and exchange. Meeting portals for the regional networks.
Private sector focus	Increased private sector focus through partnerships, engagement in network meetings, and consideration of technological/economic factors.
Flexibility	The CAP aims to maintain flexibility and adaptability in its project design and implementation to changing situations and emerging needs in Article 5 countries. The tracks and activities are reviewed and modified as required.

Source: Consultant's elaboration based on the desk review.

Regionalization

94. Foremost among the changes initiated by CAP has been a shift towards more regionalization of CAP resources and services to better address the needs of specific regions and sub-regions. The majority of CAP staff is based in the regions. Regional Networks have proven highly effective platforms for peer learning, problem-solving and information exchange between countries.

Country-to-country capacity building

95. Regional and inter-regional activities supported by CAP provide for mutually beneficial “south-south” exchanges of experiential knowledge, comparative practices, and in doing so facilitate the development of networks and relationships i.e., “systemic capacity”.

Private sector collaboration

96. Engagement with associations, and to a lesser extent with commercial business, provides mutual benefits including increased organisational and network capacity in-country, regionally and globally. These collaborations allow for the harvesting of research and development knowledge and innovation from businesses and associations involved, which constitute a significant value addition in and across countries, in both private and public domains. As well, and more generally, this type of collaboration raises public awareness on issues relevant to achieving the goals of the Montreal Protocol.

Planning and overall management

97. Measures were effectively taken to ensure business continuity to mitigate the effects of the COVID-19 pandemic, allowing for flexible, adaptive approaches and contingency planning for CAP activities. Virtual modalities like webinars for outreach when travel is not possible provide continuity and sustained benefits. Additionally, the following lessons:

- a) Strong collaborative partnerships for resilience and alternatives are critical for navigating disruptions efficiently and effectively;
- b) Addressing the range of factors affecting countries' capacities is critical to understanding and adapting to different country contexts;
- c) Online tools such as e-learning and digital exchanges provide value added opportunities to complement in person activities; and
- d) Engaging technical partners early in conceptualizing initiatives and projects contributes to increased collaboration for efficient and effective implementation.

98. The analysis of documentary data and information from interviews information identify the following good practices:

- a) Systems for pairing countries have clearly helped replicate good practices. A more strategic approach to matching countries based on comparative advantages could increase and sustain impacts. Formalizing partnerships may support sustained collaboration;
- b) Regional expertise rosters have efficiently matched needs with solutions. Expanding directories to include specialized private sector and academic experts could strengthen this mechanism;
- c) Sharing case studies have inspired regional peers facing similar challenges. A knowledge hub systematically collecting and disseminating more regional experiences could foster replication of innovative practices; and
- d) Regional collaboration on standards, customs training and enforcement approaches has strengthened capacities. More cross-country participation in partner forums could expand these coordination benefits.

99. In general, mechanisms facilitating regular, structured exchanges and collaboration between NOUs and counterparts have clearly worked well and could be enhanced through reinforcing the efficient use of resources, institutionalization and adoption of digital/virtual components where relevant.

100. The current set of indicators, presented in table 1 of this report, no longer appear to provide a meaningful and accurate account of CAP's performance, especially considering the extensive and detailed analysis presented in the programme budget documentation. The indicators used in the TOC are more updated and relevant to the actual work of CAP.

III.2 Conclusions and takeaways

101. The results of the desk study suggest that more could be done to clarify the roles, functions and distinct activities between UNEP as an implementing agency -involved in project implementation – and the activities specific to CAP.

102. It is also suggested to further analyze ways to streamline the many reporting requirements faced by the programme, to lighten the burden on its administrative processes and increase efficiency. The dual reporting to UNEP and to the Executive Committee implies complexity in fulfilling the different reporting requirements.

103. The desk study found in its analysis of documentation and across all interview respondents a clearly expressed emphasis on the opportunity of streamlining the various administrative and reporting processes required of CAP, to improve the efficiency of its operations and the allocation of its staff resources. These findings are consistent with previous analyses such as the one presented in the 2019 Multilateral Organisation Performance Assessment Network (MOPAN) assessment of the Multilateral Fund.

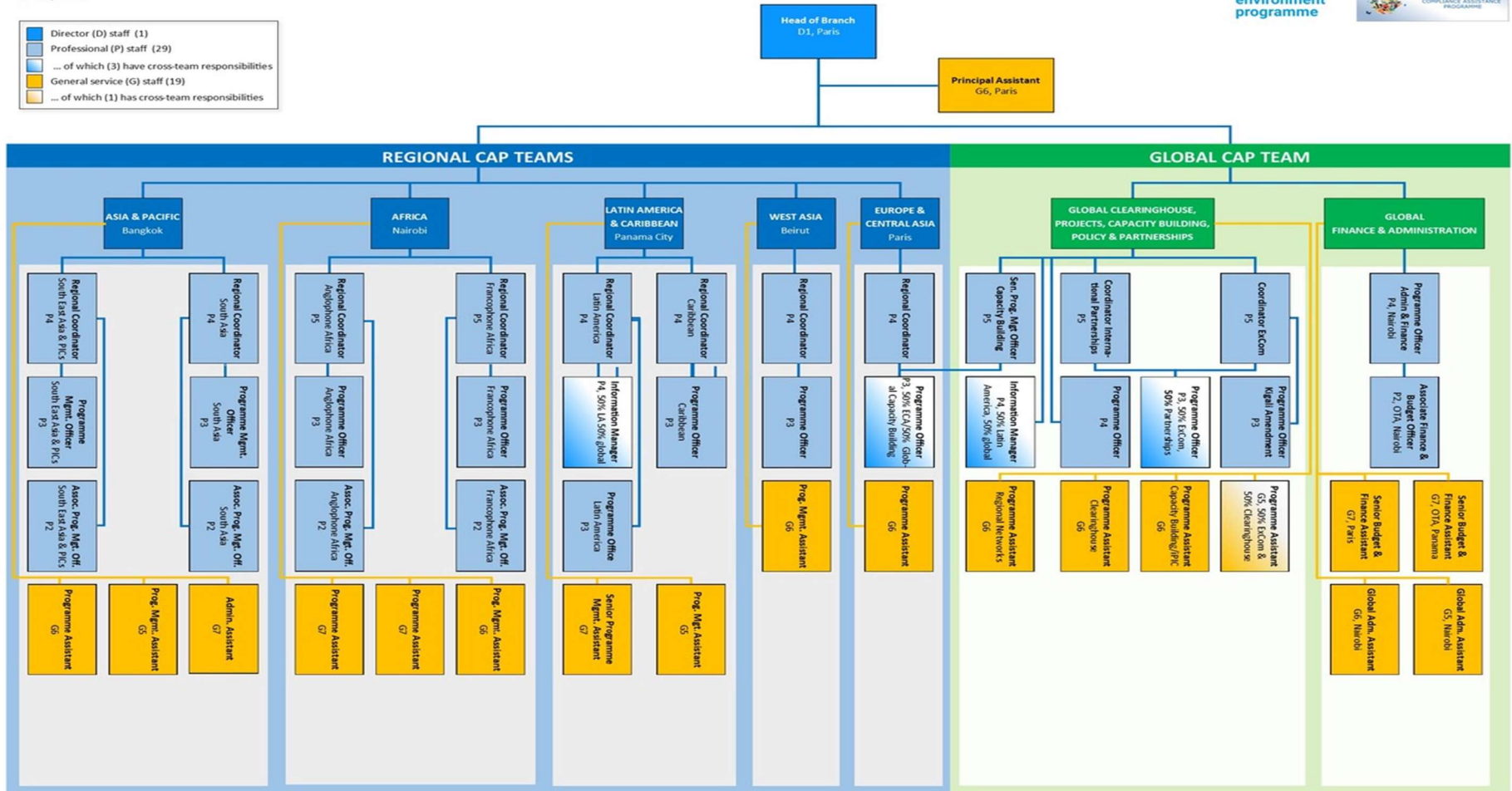
104. A second phase for this evaluation could address the above-mentioned issues and propose renewed performance indicators to better assess the performance and impact of the programme. From its analysis of documentation and from its interviews and meetings with respondents from CAP, the Multilateral Fund Secretariat and the Executive Committee, the desk study considers that the various sets of indicators related to CAP activities and used in its various reporting documents convey poorly the performance of CAP, for either management or accountability purposes.

105. A second phase of the evaluation, covering all components of the programme, could provide more detailed information to revise the KPIs. It is suggested that priority be given to CAP's country capacity building and sustainability outcomes through the development and use of valid, meaningful and contextually relevant sets of indicators, updated and adapted on a systematic and recurrent basis.

106. The desk study concludes that CAP is effective in strengthening compliance of Article 5 countries as a critical pillar for the successful implementation of the Montreal Protocol, including the Kigali amendment. CAP constitutes the vital "connective tissue" on the ground between the realities of Article 5 countries and the constellation of actors involved in the Multilateral Fund for the implementation of the Montreal Protocol. Its importance as a well-functioning programme should not be underestimated.

ORGANIGRAM

UNEP Law Division, OzonAction — ORGANIGRAM
31 July 2024



Source: Organigram provided by UNEP CAP team in July 2024

Annex II

METHODOLOGICAL NOTE

Departing from the inception report, questions have been repackaged in three distinct thematic clusters. They have been addressed in the three sections of chapter II which present the evidence based on inputs received at data collection phase and iteratively integrated in the desk review process and results. The results of the desk study, addressing the last question of the TORs, are presented in chapter III.

Cluster 1 – key questions	Detailed questions
How effective and impactful are CAP services to build, strengthen and sustain capacities in Article 5 countries, including for achieving compliance with the Kigali amendment and climate-related issues?	(b) CAP services: How do the CAP's services contribute to the implementation of country projects by the implementing and bilateral agencies, including UNEP itself? How effective is this support? How does the CAP contribute to creating an enabling environment to foster compliance and to enhance national capacities for the management of controlled substances, including strengthening mechanisms in Article 5 countries on data management and reporting? (h) Building, strengthening and sustaining capacities in Article 5 countries: What mechanisms are in place to ensure that Article 5 countries are driving the agenda to identify their needs in relation to achieving compliance with the Montreal Protocol? (m) CAP contribution to achieving compliance with the Kigali Amendment and other new issues under the Montreal Protocol: How effective has the CAP been in updating and implementing its strategies and work plans to foster compliance with the Kigali Amendment, including inter alia issues such as energy efficiency and disposal? How does the CAP support capacity of NOU to strengthen coordination with various agencies associated with activities relating to energy efficiency, disposal and safety issues, including standards? (a) CAP components: How effective is the delivery of the programme regarding its different components: capacity building, information exchange, clearinghouse function, and country-to-country cooperation. Does the CAP achieve its goals in an effective and efficient manner? (l) Gender dimension: How has the CAP integrated the gender dimension and what has been the impact in Article 5 countries?
Cluster 2 – key questions	Detailed questions
How relevant and effective are CAP mechanisms, structure and frameworks to support the achievement of CAP objectives?	(c) CAP internal coordination mechanisms: What are the coordination mechanisms between the Global CAP team and its Regional CAP teams and how effective are these in ensuring smooth interaction and timely delivery of high-quality services? (d) CAP staffing distribution and budget allocation: How does the current allocation of staff and resources respond to the needs of the programme to achieve the expected results and what are the criteria for defining the programme's priorities? (e) CAP strategy and work plans: How effective is CAP in delivering the outputs of its work plans and in achieving the outcomes of its overall strategy, in line with its logical framework?

	How does CAP update its strategy and goals to align with decisions of the Executive Committee introducing new issues, such as energy efficiency, disposal, or any other new line of assistance to Article 5 countries? (f) Impact and performance indicators: To what extent are the current framework of performance indicators, as approved in the 48th meeting of the Executive Committee, fit for purpose to effectively reflect the performance of the programme? Should they stay in their current place in UNEP's business plan or should they be consolidated within the annual CAP submission and be related to the logical framework analyses and the triennial CAP strategy? (g) Mechanisms for reporting to the Executive Committee: What are the existing mechanisms to report on a regular basis to the Executive Committee? Could there be any improvement in preparing shorter and more analytical and strategic reports (e.g., outcomes/impact instead of outputs/activities)? (j) Working with the Secretariats: What are the working flows between CAP and the Ozone Secretariat and the Multilateral Fund Secretariat and how effective are the established mechanisms? (k) Partnerships with other stakeholders relevant to the implementation of the Montreal Protocol: What are the strategic partnerships in place, for which purpose, and with which results?
Cluster 3 – key questions	Detailed questions
What challenges did/does CAP face?	(i) Challenges in implementation: Are there systemic issues that are recurrently hampering better results in meeting compliance requirements in Article 5 countries? Based on lessons learned, how could the CAP contribute to overcoming these constraints in the future? (n) CAP and adaptation to the COVID-19 pandemic: How did CAP adapt to the COVID-19 pandemic and are there any issues that have been integrated into the programme to strengthen business continuity protocols and build resilience?

Annex III

EXAMPLES OF COUNTRY-TO-COUNTRY COLLABORATION UNDER CAP

Indonesia-India	Indonesia gained insight into India's training infrastructure for certifying large numbers of servicing technicians.
Palestine-Jordan	Palestine adopted Jordan's iPIC-linked licensing portal to administer its HCFC quota system more efficiently.
Mauritius-Seychelles	Mauritius shared knowledge of its ban on HCFC-based equipment with Seychelles to assist early removal.
Mexico-Guatemala	Mexico assisted Guatemala in developing enforceable standards through collaboration between their standardization agencies.
Malaysia-Thailand	Malaysia transferred knowledge of addressing ODS disposal challenges by partnering with recyclers to Thailand.
Fiji-Samoa	Fiji helped Samoa establish an online training platform and certification programme for RAC service technicians.
South Africa-Botswana	South Africa aided Botswana in introducing mandatory certification of refrigeration servicing technicians.
Ghana-Nigeria	Ghana's experience regulating flammable refrigerants guided Nigeria's revised code of practice under HPMP.

Source: Consultant's elaboration based on CAP progress reports at the 82nd, 84th and 86th Executive Committee meetings.

Annex IV

EXECUTIVE COMMITTEE DECISIONS RELATED TO UNEP CAP

Executive Committee decision	Executive Committee meeting agenda item
Decision 93/91 UNEP/OzL.Pro/ExCom/93/105	AGENDA ITEM 9: PROJECT PROPOSALS (e) UNEP Compliance Assistance Programme budget for 2024
Decision 92/5 UNEP/OzL.Pro/ExCom/92/56	AGENDA ITEM 6: EVALUATION (a) Final report on the evaluation of regional networks of national ozone officers
Decision 91/42 UNEP/OzL.Pro/ExCom/91/72	AGENDA ITEM 9: PROJECT PROPOSALS (d) Projects recommended for individual consideration A. non-investment activities – Technical assistance Global: Twinning of ozone officers and national energy-efficiency policymakers to support Kigali Amendment objectives (UNEP)
Decision 91/61 UNEP/OzL.Pro/ExCom/91/72	AGENDA ITEM 9: PROJECT PROPOSALS (e) UNEP Compliance Assistance Programme budget for 2023
Decision 88/43 UNEP/OzL.Pro/ExCom/88/79	AGENDA ITEM 9: PROJECT PROPOSALS (d) UNEP Compliance Assistance Programme budget for 2022
Decision 86/61 UNEP/OzL.Pro/ExCom/86/100	AGENDA ITEM 9: PROJECT PROPOSALS (d) UNEP Compliance Assistance Programme budget for 2021
Decision 84/60 UNEP/OzL.Pro/ExCom/84/75	AGENDA ITEM 9: PROJECT PROPOSALS (d) UNEP Compliance Assistance Programme budget for 2020
Decision 83/61 UNEP/OzL.Pro/ExCom/83/48	AGENDA ITEM 11: REVIEW OF ADMINISTRATIVE COST REGIME: ANALYSIS BY COUNTRY OF PROJECT MANAGEMENT UNITS, INSTITUTIONAL STRENGTHENING, AND IMPLEMENTING AGENCIES, INCLUDING ACTIVITIES AND FUNDING UNDER THE COMPLIANCE ASSISTANCE PROGRAMME, CORE UNITS AND OTHER ELEMENTS OF THE ADMINISTRATIVE COST REGIME, AND INFORMATION ON NATIONAL LEVEL INDEPENDENT VERIFICATION (DECISION 82/82(B))
Decision 82/57 UNEP/OzL.Pro/ExCom/82/72	AGENDA ITEM 9: PROJECT PROPOSALS (d) UNEP Compliance Assistance Programme Budget for 2019
Decision 81/38 UNEP/OzL.Pro/ExCom/81/58	AGENDA ITEM 9: PROJECT PROPOSALS (d) Final report on the review of the overall structure of the Compliance Assistance Programme (decision 80/55(b)(i))
Decision 80/55 UNEP/OzL.Pro/ExCom/80/59	AGENDA ITEM 9: PROJECT PROPOSALS (d) Review of the overall structure of the Compliance Assistance Programme (decision 77/38(c)) and UNEP's Compliance Assistance Programme budget for 2018
Decision 77/38 UNEP/OzL.Pro/ExCom/77/76	AGENDA ITEM 9: PROJECT PROPOSALS (d) UNEP's Compliance Assistance Programme (CAP) budget for 2017
Decision 75/38 UNEP/OzL.Pro/ExCom/75/85	AGENDA ITEM 9: PROJECT PROPOSALS (d) UNEP's Compliance Assistance Programme (CAP) budget for 2016
Decision 74/10 UNEP/OzL.Pro/ExCom/74/56	AGENDA ITEM 6: PROGRAMME IMPLEMENTATION (c) Status reports and reports on projects with specific reporting requirements

Decision 73/53 UNEP/OzL.Pro/ExCom/73/62	AGENDA ITEM 8: PROJECT PROPOSALS (d) UNEP's Compliance Assistance Programme (CAP) budget for 2015
Decision 71/33 UNEP/OzL.Pro/ExCom/71/64	AGENDA ITEM 8: PROJECT PROPOSALS (d) UNEP's Compliance Assistance Programme (CAP) budget for 2014
Decision 70/10 UNEP/OzL.Pro/ExCom/70/59	AGENDA ITEM 6: PROGRAMME IMPLEMENTATION (b) Progress reports as at 31 December 2012 (iv) UNEP
Decision 69/5 UNEP/OzL.Pro/ExCom/69/40	AGENDA ITEM 6: 2013-2015 BUSINESS PLANS (a) Consolidated business plan of the Multilateral Fund
Decision 68/18 UNEP/OzL.Pro/ExCom/68/53	AGENDA ITEM 8: PROJECT PROPOSALS (d) UNEP's Compliance Assistance Programme (CAP) budget for 2013
Decision 66/16 UNEP/OzL.Pro/ExCom/66/54	AGENDA ITEM 7: PROGRAMME IMPLEMENTATION (d) Systematizing and streamlining reporting on progress to the Executive Committee across the spectrum of reports
Decision 65/17 UNEP/OzL.Pro/ExCom/65/60	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance Assistance Programme (CAP) budget for 2012
Decision 63/4 UNEP/OzL.Pro/ExCom/63/60	AGENDA ITEM 5: STATUS OF RESOURCES AND PLANNING (c) Status of implementation of delayed projects and prospects of Article 5 countries in achieving compliance with the next control measures of the Montreal Protocol
Decision 62/24 UNEP/OzL.Pro/ExCom/62/62	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance Assistance Programme (CAP) budget for 2011
Decision 60/6 UNEP/OzL.Pro/ExCom/60/54	AGENDA ITEM 6: 2010-2012 BUSINESS PLANS (b) Business plans of the implementing agencies (iii) UNEP
Decision 59/27 UNEP/OzL.Pro/ExCom/59/59	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance Assistance Programme (CAP) budget for 2010
Decision 56/6 UNEP/OzL.Pro/ExCom/56/64	AGENDA ITEM 6: PROGRAMME IMPLEMENTATION (a) Monitoring and evaluation (i) Final report on the evaluation of institutional strengthening projects
Decision 56/33 Decision 56/34 UNEP/OzL.Pro/ExCom/56/64	AGENDA ITEM 7: PROJECT PROPOSALS (d) Amendments to work programmes for 2008 (ii) UNEP
Decision 56/43 UNEP/OzL.Pro/ExCom/56/64	AGENDA ITEM 7: PROJECT PROPOSALS (f) Compliance Assistance Programme (CAP) budget for 2009
Decision 53/8 UNEP/OzL.Pro/ExCom/53/67	AGENDA ITEM 6: PROGRAMME IMPLEMENTATION (a) Monitoring and evaluation (iv) Review of the new format for reporting on multi-year agreements, including terminal phase-out management plans (follow-up to decision 51/13)
Decision 53/19 UNEP/OzL.Pro/ExCom/53/67	AGENDA ITEM 7: PROJECT PROPOSALS (c) Amendments to work programmes for 2007: (ii) UNEP
Decision 53/21 UNEP/OzL.Pro/ExCom/53/67	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance Assistance Programme (CAP) budget and work programme for UNEP for the year 2008

Decision 52/7 UNEP/OzL.Pro/ExCom/52/55	AGENDA ITEM 6: PROGRAMME IMPLEMENTATION (a) Monitoring and evaluation (ii) Final report on the evaluation of the CAP programme
Decision 50/26 UNEP/OzL.Pro/ExCom/50/62	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance Assistance Programme (CAP) budget and work programme for UNEP for the year 2007
Decision 47/24 UNEP/OzL.Pro/ExCom/47/61	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance assistance programme budget and work programme for UNEP for the year 2006
Decision 47/10 UNEP/OzL.Pro/ExCom/47/61	AGENDA ITEM 7: PROJECT PROPOSALS (a) Overview of issues identified during project review
Decision 45/7 UNEP/OzL.Pro/ExCom/45/55	AGENDA ITEM 5: RESOURCE AVAILABILITY, ALLOCATION AND BUSINESS PLANNING (c) 2005-2007 business plans: (iii) UNEP
Decision 44/8 UNEP/OzL.Pro/ExCom/44/73	AGENDA ITEM 6: PROGRAMME IMPLEMENTATION (a) Final evaluation report on halon banking projects for countries with low volumes of installed capacities
Decision 44/27 UNEP/OzL.Pro/ExCom/44/73	AGENDA ITEM 7: PROJECT PROPOSALS (d) Compliance Assistance Programme (CAP) budget (follow-up to decision 41/38 (c)) and work programme for UNEP for the year 2005
Decision 42/6 UNEP/OzL.Pro/ExCom/42/54	AGENDA ITEM 5: BUSINESS PLANNING (c) 2004-2006 business plans: (i) Bilateral agencies
Decision 41/38 UNEP/OzL.Pro/ExCom/41/87	AGENDA ITEM 9: REPORT OF THE 30TH MEETING OF THE SUB-COMMITTEE ON PROJECT REVIEW (d) Work programme of UNEP for the year 2004
Decision 41/39 UNEP/OzL.Pro/ExCom/41/87	AGENDA ITEM 9: REPORT OF THE 30TH MEETING OF THE SUB-COMMITTEE ON PROJECT REVIEW (e) Report from UNEP on the use of programme support costs (Decisions 35/36 and 40/49)
Decision 38/79 UNEP/OzL.Pro/ExCom/38/70/Rev.1	AGENDA ITEM 14: COMMUNICATION STRATEGY FOR GLOBAL COMPLIANCE WITH THE MONTREAL PROTOCOL (DECISION 37/72 (b))
Decision 38/36 UNEP/OzL.Pro/ExCom/38/70/Rev.1	AGENDA ITEM 6: REPORT OF THE TWENTY-SEVENTH MEETING OF THE SUB-COMMITTEE ON PROJECT REVIEW (d) Work programme of UNEP for the year 2003
Decision 37/63 UNEP/OzL.Pro/ExCom/37/71	AGENDA ITEM 6: REPORT OF THE TWENTY-SIXTH MEETING OF THE SUB-COMMITTEE ON PROJECT REVIEW (h) Report by UNEP on the progress made in the implementation of the Compliance Assistance Programme (CAP) (submitted by UNEP DTIE)
Decision 36/2 UNEP/OzL.Pro/ExCom/36/36	AGENDA ITEM 5: REPORT OF THE SIXTEENTH MEETING OF THE SUB-COMMITTEE ON MONITORING, EVALUATION AND FINANCE (a) Monitoring and evaluation: (i) Report on the extended desk study on clearing-house evaluation

Decision 35/14 UNEP/OzL.Pro/ExCom/35/67	AGENDA ITEM 5: REPORT OF THE FIFTEENTH MEETING OF THE SUB-COMMITTEE ON MONITORING, EVALUATION AND FINANCE (h) Report on the performance indicators and proposal on modifications: follow-up to Decision 34/11
Decision 35/36 UNEP/OzL.Pro/ExCom/35/67	AGENDA ITEM 6: REPORT OF THE TWENTY-FOURTH MEETING OF THE SUB-COMMITTEE ON PROJECT REVIEW (d) Work programme of UNEP for the year 2002
Decision 26/41 UNEP/OzL.Pro/ExCom/26/70	AGENDA ITEM 9: ADMINISTRATIVE COSTS OF THE IMPLEMENTING AGENCIES (STATUS REPORT)
Other relevant documentation	
UNEP/OzL.Pro/ExCom/43/55 Cover note and letter from the Executive Director of UNEP to the Chief Officer of the Multilateral Fund	AGENDA ITEM 14: UNIFIED BUDGETS FOR THE UNEP COMPLIANCE ASSISTANCE PROGRAMME (CAP) (FOLLOW-UP TO DECISION 41/39) Final report of the meeting in document 43/61

Source: Summary prepared by the evaluation unit based on detailed compilation provided by OzonAction team.

Annex V

LIST OF TABLES

Table number & page	Title
Table 1, page 11	CAP indicators
Table 2, page 15	CAP approved budget over the period 2007-2024
Table 3, page 19	Mechanisms fostering the participation of Article 5 countries
Table 4, page 22	Reporting dimensions of CAP clearinghouse function
Table 5, page 24	Internal coordination mechanisms for OzonAction
Table 6, page 28	Performance indicators and targets for UNEP's CAP 2024
Table 7, page 29	CAP existing mechanisms for reporting to the Executive Committee
Table 8, page 31	Workflows between CAP and the Ozone Secretariat
Table 9, page 32	Workflows between CAP and the Multilateral Fund Secretariat
Table 10, page 33	Type of CAP partnerships
Table 11, page 36	Key elements in the evolution of CAP during the period 2007-2023

Annex VI

LIST OF KEY DOCUMENTS

- UNEP (2023) Report of the Ninety-Third Meeting of the Executive Committee [UNEP/OzL.Pro/ExCom/93/105]
- UNEP (2023) Final Report on the Evaluation of Regional Networks of National Ozone Officers [UNEP/OzL.Pro/ExCom/92/6]
- UNEP (2023) Desk Study for the Evaluation of Enabling Activities for HFC Phase-Down [UNEP/OzL.Pro/ExCom/92/7]
- UNEP (2023) UNEP's CAP Budget for 2024 [UNEP/OzL.Pro/ExCom/93/94]
- UNEP (2023) UNEP's CAP Budget for 2024 [UNEP/OzL.Pro/ExCom/93/94] Annex: OzonAction CAP 2024-2026 and CAP Strategy 2024 Work Plan, Activities, Budget Proposal and Progress Report for 2023
- UNEP (2023) Law Division, OzonAction, Staff Profiles
- UNEP (2022) CAP Budget for 2022 [UNEP/OzL.Pro/ExCom/91/58]
- UNEP (2022) CAP Budget for 2022 [UNEP/OzL.Pro/ExCom/91/58] Annex: OzonAction CAP 2023 Work Plan, Activities, Budget Proposal and Progress Report for 2022
- UNEP (2022) Desk Study for the Evaluation of Demonstration Projects for Low-GWP Alternatives to HCFCs [UNEP/OzL.Pro/ExCom/90/6]
- UNEP (2022) Law Division, OzonAction, Reporting Systems
- UNEP (2022) Law Division, OzonAction, Standard Operating Procedures
- UNEP (2022) Law Division, OzonAction, Accountability Framework
- UNEP (2022) Law Division OzonAction, CAP and Business Plan Formulation
- UNEP (2022) OzoneAction, Standard Operation Procedures, 16 February, version 2.
- UNEP (2021) CAP Budget for 2022 [UNEP/OzL.Pro/ExCom/88/34]
- UNEP (2021) CAP Budget for 2022 [UNEP/OzL.Pro/ExCom/88/34] Annex: OzonAction CAP 2022 Work Plan, Activities, Budget Proposal and Progress Report for 2021
- UNEP (2020) *CAP Budget for 2021* [UNEP/OzL.Pro/ExCom/86/36] Annex: UNEP CAP 2021-2023 Strategy & 2021 Work Plan, Activities, Budget Proposal and Progress Report for 2020
- UNEP (2019) CAP Budget for 2020 [UNEP/OzL.Pro/ExCom/84/37]
- UNEP (2019) CAP Budget for 2020 [UNEP/OzL.Pro/ExCom/84/37] Annex: UNEP CAP 2020 Work Plan, Activities, Budget Proposal and Progress Report for 2019
- UNEP (2018) CAP Budget for 2019 [UNEP/OzL.Pro/ExCom/82/37]
- UNEP (2018) CAP Budget for 2019 [UNEP/OzL.Pro/ExCom/82/37] Annex: UNEP CAP 2019 Work Plan, Activities, Budget Proposal and Progress Report for 2018
- UNEP (2017) Review of the Overall Structure of the CAP (Decision 80/28) and Budget for 2018 [UNEP/OzL.Pro/ExCom/80/28]
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- UNEP (2009) CAP Budget for 2010 [UNEP/OzL.Pro/ExCom/59/17] Annex 2: Highlights of CAP's achievements for the period of 1 January to 14 September 2009
- UNEP (2009) CAP Budget for 2010 [UNEP/OzL.Pro/ExCom/59/17] Annex 3: Challenges ahead
- UNEP (2009) CAP Budget for 2010 [UNEP/OzL.Pro/ExCom/59/17] Annex 4: Global and regional awareness related activities in 2009 (9 months)
- UNEP (2009) CAP Budget for 2010 [UNEP/OzL.Pro/ExCom/59/17] Annex 5: Use of programmatic funds in 2009
- UNEP (2009) CAP Budget for 2010 [UNEP/OzL.Pro/ExCom/59/17] Annex 6: Network of ODS Officers for South-East Asia (SEA) Proposal for integration into the 2010 CAP Budget
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- UNEP (2008) CAP Budget for 2009 [UNEP/OzL.Pro/ExCom/56/21] Annex 2: Highlights of CAP's achievements for the period of 1 January to 12 September 2008
- UNEP (2008) CAP Budget for 2009 [UNEP/OzL.Pro/ExCom/56/21] Annex 3: CAP's Global Awareness activities for the period 1 January – 12 September 2008, as per decision 50/6 and 53/21
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- UNEP (2006) CAP Budget and Work Programme for 2007 [UNEP/OzL.Pro/ExCom/50/20] Annex 3: Challenges ahead
- UNEP (2006) CAP Budget and Work Programme for 2007 [UNEP/OzL.Pro/ExCom/50/20] Annex 4: Global and regional awareness related activities
- UNEP (2006) CAP Budget and Work Programme for 2007 [UNEP/OzL.Pro/ExCom/50/20] Annex 5: Use of Programmatic Funds in 2006
- UNEP (2006) CAP Budget and Work Programme for 2007 [UNEP/OzL.Pro/ExCom/50/20] Annex 6: Details regarding the use of funds that support global awareness activities.