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# Executive Committee Primer – 2016

An introduction to the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol

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## INTRODUCTION

This primer is intended to provide new members of the Executive Committee with a guide to the workings of the Multilateral Fund and its Executive Committee. It will be updated after the last meeting of each calendar year in preparation for new members who will join the following year.

**The Primer** guides the new Executive Committee member through the meeting process, from pre-session preparations, to an agenda item by agenda item explanation of in-session activities, to post-meeting follow-up. A brief background on each agenda item is provided and the issues and type of actions that the Executive Committee may wish to take are discussed. The titles of documents related to agenda items are highlighted in **bold** text. *Italic* text directs the reader to the appropriate appendix for an additional explanation.

**Appendix 1** provides basic background information on the Multilateral Fund, its aims, and key concepts that underpin the Multilateral Fund's activities. It outlines the key structures of the Multilateral Fund with brief descriptions of their different roles, and includes an organigramme showing the linkages between the different structures.

**Appendix 2** provides information on how the Multilateral Fund operates from financial planning, project review and approval, and project monitoring to evaluation of completed projects.

**Appendix 3** explains the lines of communication between the key players in the Multilateral Fund and their role in terms of the provision of advice to the Executive Committee.

**Appendix 4** provides detailed information on the implementing agencies' project cycle and their interactions with the Secretariat, other implementing agencies and Article 5 countries.

**Appendix 5** provides the Terms of reference of the Executive Committee, the Rules of procedure for meetings of the Executive Committee and a table summarizing the standard agenda items for the first and last meetings of the year.

**Appendix 6** provides details of the logistics and practical arrangements for Executive Committee meeting participants.

**Appendix 7** provides details of key information resources.

A **Directory of the Multilateral Fund**, which includes contact details of Committee members, the Secretariat, bilateral agencies, implementing agencies, and the Treasurer, is also available from the Secretariat. Comprehensive information on the policy and procedures of the Executive Committee is found in **Policies, Procedure, Criteria and Guidelines of the Multilateral Fund (PPCG)**, which is updated after each Executive Committee meeting. Two supplements containing relevant decisions and agreements on multiyear phase-out plans and projects are also available: **HCFC phase-out management plans (HPMPs)** contains relevant decisions and agreements on HCFC phase-out multi-year projects and **Phase-out plans and projects** contains relevant decisions and agreements on multi-year projects for the phase-out of other ODS.

Information tailored to the needs of national ozone officers can be found in the **Guide to National Ozone Officers**<sup>1</sup>, prepared by the Compliance Assistance Programme (CAP) of UNEP DTIE

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<sup>1</sup> Available at [http://www.unep.fr/ozonaction/information/mmcfiles/7659-e-Guide\\_NOU.pdf](http://www.unep.fr/ozonaction/information/mmcfiles/7659-e-Guide_NOU.pdf)

OzonAction Branch.

Note on the 2016 edition of the Primer

The 2016 Primer reflects the two meetings per year regime pursuant to decision 73/70. The Executive Committee decided to continue to convene two meetings per year from 2015 and organize an additional brief meeting if required between those meetings to consider project proposals and would review the two meeting per year regime at the first meeting of 2016. With regard to annual cycle and the arrangement of the agendas, decision 73/70 states:

- The three year business plan of the Multilateral Fund would be submitted to the last meeting of the year;
- The evaluation of the previous year's business plans would be submitted to the last meeting of the year;
- Status reports emanating from progress reporting and projects with specific reporting requirements are presented in a separate document at the first meeting of the year, and together with progress reports at the last meeting of the year;
- A document entitled "Country programme data and prospects for compliance" would be submitted to the first and last meetings of the year;
- The documents on the business plan and tranche submission delays would be submitted to both the first and last meetings of the year; and
- The consolidated progress report and the relevant progress reports of the bilateral and implementing agencies would be considered at the last meeting of the year.

## EXECUTIVE COMMITTEE MEETINGS

### 1. Functions of the Executive Committee

The functions of the Executive Committee include approving the Multilateral Fund's policies and guidelines<sup>2</sup> such as criteria for project eligibility and monitoring implementation; drawing up the three-year plan and annual budget for the Multilateral Fund; approving specific projects and activities; reporting on the Multilateral Fund's performance to the Meeting of the Parties each year; and overseeing the Multilateral Fund's administration. These functions are discharged primarily through meetings of the Executive Committee.

*For further information on the functions of the Executive Committee, see Appendix 1.3.1. The Parties to the Montreal Protocol and the Executive Committee and Appendix 3. Terms of reference of the Executive Committee.*

The Executive Committee's programme of work is indicated by the meeting agenda. A number of standard agenda items are addressed at each of the two meetings per year. In addition the agendas of both five-day meetings include a number of other items which concern the different actions that have to take place at different points in the annual cycle.

*For tables presenting a complete list of agenda items for the two meetings in 2015 see Appendix 3. Executive Committee Meetings.*

### 2. Activities leading up to an Executive Committee Meeting

The Secretariat coordinates pre-session preparations for meetings of the Executive Committee and ensures that members are fully informed and thus able to prepare themselves accordingly:

- The provisional agenda is prepared by the Secretariat in agreement with the Chair and the Vice-Chair;
- Invitations, the agenda and logistics information are conveyed to Executive Committee members and observers well in advance of the meeting;
- Pre-session documents classified in the "GENERAL" category are posted on the Multilateral Fund public website four weeks before the meeting and are translated into the relevant United Nations official languages according to the membership of Executive Committee.
- "LIMITED" category documents are available from a password protected site (user names and passwords are provided by the Secretariat<sup>3</sup>) while any documents classified as "RESTRICTED" are distributed directly to the heads of Executive Committee delegations.

*For more information on pre-session arrangements see Appendix 4.1. Logistics and arrangements. Before the meeting.*

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<sup>2</sup> Policies, procedures, guidelines and criteria of the Multilateral Fund at <http://www.multilateralfund.org/Our%20Work/Policy-search/index.html>

<sup>3</sup> Members can request user names and/or passwords by sending an email to [secretariat@unmfs.org](mailto:secretariat@unmfs.org)

### 3. Activities during an Executive Committee meeting: in-session

The Chair is responsible for guiding the meeting and is assisted by the Chief Officer of the Secretariat, who acts as Secretary to the meeting (Rule 16)<sup>4</sup>.

Members have equal voting rights but so far decisions taken at meetings have always been based on consensus. In the case that consensus cannot be reached, decisions would have to be taken by a two-thirds majority of the Parties present and voting, representing a majority of the Parties operating under paragraph 1 of Article 5 and a majority of the Parties not so operating present and voting (Rule 17).

*For further information on the Rules of procedure for meetings of the Executive Committee, see Appendix 3.*

Information, presentations, and documents pertaining to the in-session are posted on a password protected in-session website. These include conference room papers (CRPs), non-papers and the draft report of the meeting (L.1).

#### *Opening of the meeting*

The meeting is opened by the Chair who places the meeting in context of the Multilateral Fund's overall work plan and draws members' attention to important issues to be covered.

#### *Organizational matters*

##### **(a) Adoption of the agenda**

The **Provisional agenda** sets out the plan of work for the meeting. The accompanying **Provisional annotated agenda**, which serves as a guide to the meeting, contains a brief background to the issues under each item and the action expected from the Executive Committee. The Executive Committee reviews the agenda and raises any issues that ought to be included in it.

##### Action expected from the Executive Committee:

The Executive Committee reviews the draft agenda and may request any clarifications or make suggestions for additional items to be added, before adopting the agenda.

##### **(b) Organization of work**

The Chair proposes the order in which the plenary will take each item, proposes working hours for the meeting sessions, and makes arrangement for any contact groups that the Executive Committee may need to set up during the week to address any specific issues. Since the Executive Committee adopts the report of the meeting before adjourning the meeting, the Chair usually requests members to complete the agenda by the end of Thursday<sup>5</sup>. This allows the Secretariat to prepare the draft report (L.1) on Friday morning and issue it in advance of the final session of the meeting in relevant

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<sup>4</sup> See "Rules of procedure for meetings of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol" in Appendix 3.

<sup>5</sup> Executive Committee meetings usually run from Monday to Friday.

United Nations languages on Friday afternoon.

### *Secretariat activities*

At each meeting, the Chief Officer reports on activities that the Secretariat has carried out since the preceding meeting. The report usually covers follow-up actions to Executive Committee decisions; the review of submissions to the current meeting; details of meetings attended and missions undertaken by Secretariat staff; forthcoming interactions with Multilateral Environmental Agreements (MEAs); a summary of the advice given by the Secretariat to other bodies and organizations; staffing issues; and an update on information activities.

#### Action expected from the Executive Committee:

The Executive Committee reviews the report on Secretariat activities and requests any additional information or clarifications as necessary before taking note of the report.

### *Status of contributions and disbursements*

At every meeting the Treasurer provides a document on the **Status of contributions and disbursements** of the Multilateral Fund containing information on the Multilateral Fund's balance; income, including contributions, bilateral cooperation<sup>6</sup>, and interest earned; and aggregate information on the status for the triennium, including data on gains and losses of the fixed-exchange rate mechanism (FERM). At the time of presentation of the document at the meeting, the Treasurer provides a verbal update on the latest information on the status of contributions.

*The explanation of the methodology and assumptions being used by the Treasurer can be found in document UNEP/OzL.Pro/ExCom/39/3/Rev.1 (available on the Multilateral Fund website).*

#### Action expected from the Executive Committee:

The Executive Committee reviews the report from the Treasurer and addresses issues relating to the timely payment of contributions by contributing Parties. The Executive Committee usually takes note of the report and decides on any actions as necessary.

### *Status of resources and planning*

#### **(a) Report on balances and availability of resources**

Each Executive Committee meeting starts with an organizational agenda item named "Status of resources and planning" which examines, *inter alia*, the availability of resources for the meeting (decision 41/92). The **Report on balances and availability of resources**, presented under this agenda item, provides a review of the total balances from completed projects held by agencies, any agency support costs associated with the funds remaining from those completed projects, and a

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<sup>6</sup> Contributing Parties can use up to 20 per cent of their contribution during the replenishment triennium to carry out activities with Article 5 countries on a bilateral basis. The Executive Committee allows bilateral agencies flexibility in the year for which bilateral projects are credited, provided that bilateral agencies submit their work plans at the beginning of the year in time for the Secretariat to transmit them to the Executive Committee for consideration during discussions of the business plans at the Executive Committee's first meeting of the year.

calculation of the total amount of resources available to the Executive Committee for new approvals during the meeting. The total committable balance is the sum of the returned balances from completed projects and the balance of the Multilateral Fund from the Treasurer's report on the status of contributions and disbursements.

Action expected from the Executive Committee:

The Executive Committee reviews the total financial resources available for approvals at the meeting in progress and any issues relating to returning project balances and the solutions proposed.

**(b) Update on the status of implementation of the three year business plans (and financial planning)**

The **Update on the status of implementation of the three year business plan** is presented at both the first and last meetings of the year. (Please refer to the section on business planning for more details on business planning). At the first meeting of the year following the Parties decision on the replenishment of the Multilateral Fund, the document includes a section on financial planning for the triennium and provides the Executive Committee with suggested annual budgets and resource availability in light of the budget adopted by the Parties. In the final year of a triennium the document may also include an assessment of cash flow availability including the extent to which funds have been allocated for the triennium.

Action expected from the Executive Committee:

The Executive Committee notes the update on the status of implementation of the business plan and takes any appropriate actions as required. At the last meeting of the year the Executive Committee examines any remaining projects and activities in the business plans that have not been submitted together with the resulting impact on compliance. The Executive Committee may request bilateral and implementing agencies to include these activities in their business plans for the following year.

With regard to the financial planning exercise at the first meeting of a triennium, the Executive Committee considers the commitments that have already been made for items such as multi-year agreements (MYAs) or earmarked for standard costs incurred by the Multilateral Fund including institutional strengthening (IS), the budget of the Secretariat and Executive Committee meetings, implementing agencies' core unit administrative costs, and UNEP's compliance assistance programme (CAP). The financial plan adopted has to match these expenditures with the Multilateral Fund's income which includes the pledged contributions for the triennium to be paid annually, interest and balances returned from completed projects as well as contributions and other elements carried over from prior triennia. On the basis on this analysis, the Executive Committee adopts a resource allocation for each year of the triennium.

At the last meeting of a triennium the Executive Committee will consider the cumulative amount of funding (US \$) approved during the triennium, the amount of funding for submissions (US \$) recommended to the last meeting of that triennium, projects remaining in the business plans of the last year of the triennium, and the possible remaining funds from the current triennium/possible carryover to the next triennium.

*For further information on replenishments, see Appendix 2.1.1. Replenishment of the Multilateral Fund.*

### (c) Tranche submission delays

The information on delays in the submission of tranches of MYAs is presented at each meeting to assist the Executive Committee to monitor the submission delays in order to take timely action to ensure that there are no impediments to completing the activities of the previous tranche and submitting the next tranche. The document presents the follow-up on decisions on tranche submission delays addressed at the previous meeting; an analysis of the tranches that were not submitted to the current meeting; and reasons for the withdrawal of tranches that were submitted to the current meeting but were subsequently withdrawn during the review process.

#### Action expected from the Executive Committee:

The Executive Committee notes those tranches with delays, makes adjustments to submission dates, and takes appropriate actions as required including that the Secretariat send letters on the decisions on tranche submission delays to the Governments of the countries concerned.

### *Programme implementation*

This agenda item concerns the monitoring and evaluation of projects and activities being implemented by bilateral and implementing agencies and the evaluation of on-going and completed projects. The Executive Committee ensures that the funds disbursed by the Multilateral Fund are actually being used to meet the project objectives.

*For more information on monitoring and evaluation activities, see Appendix 2.4. Monitoring and Appendix 2.5. Evaluation.*

### (a) Consolidated project completion report

The **Consolidated project completion report** provides an analysis of project completion reports (PCRs) for stand-alone and multi-year projects received by the Secretariat. Project completion reports are prepared using formats<sup>7</sup> approved by the Executive Committee.

The consolidation assesses the quality and timely submission of the completion reports by the bilateral and implementing agencies, and provides a summary of lessons learned that can be used during implementation of similar projects or activities.

#### Action expected from the Executive Committee:

The Executive Committee will note the **Consolidated project completion report** and may make decisions relating to issues addressed in the document.

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<sup>7</sup> The MYA PCR format was developed pursuant to decision 62/6(c), and noted by the Executive Committee in decision 65/6. The PCR format for HPMPs was approved by decision 75/5(e).

**(b) Multi-year agreement database report**

The **Multi-year agreement database report**<sup>8</sup> provides information to the Executive Committee on the use of the database for the annual reporting on multi-year agreements (MYAs).

Action expected from the Executive Committee:

The Executive Committee will note the **Multi-year agreement database report** and may request specific actions from the bilateral and implementing agencies relating to issues addressed in the document.

**(c) Evaluation studies**

Evaluations, normally based on a specific sector, evaluate the project cycle from project preparation through implementation to completion and assess whether the objectives of projects, in terms of phase-out and funding approved, were achieved. Evaluations reports are prepared by independent consultants, under the coordination of the Senior Monitoring and Evaluation Officer (SMEO), according to the monitoring and evaluation work programme approved by the Executive Committee at the last meeting of a calendar year. Desk studies are based on reports and documents available to the Secretariat, while final evaluation reports are based on field visits and consultations with the national ozone units, bilateral and implementing agencies and other stakeholders.

Action expected from the Executive Committee:

The Executive Committee reviews the evaluation reports and may make recommendations based on them to improve the performance of the Multilateral Fund.

**(d) Draft monitoring and evaluation work programme**

The document describes the status of implementation of evaluation activities in progress and evaluation studies foreseen in the year ahead together with a budget.

Action expected from the Executive Committee:

The Executive Committee may review the appropriateness of the work programme and approve the plan with the associated budget.

**(e) Country programme data and prospects for compliance**

The Executive Committee reviews country programme data and the prospects of compliance of Article 5 countries at each meeting set out in the Country programme data and prospects for compliance document<sup>9</sup>. Part 1 of the document includes an analysis of the status of compliance of

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<sup>8</sup> The Executive Committee had requested through decision 49/6 that the Secretariat develop an appropriate reporting format for the tracking of accumulative progress achieved in the annual work programmes of phase-out plans.

<sup>9</sup>Country programme data and information on prospects for compliance were included in the "Status reports and compliance" document (from the 67<sup>th</sup> to the 73<sup>rd</sup> meetings), the "Status of implementation of delayed projects and prospects of Article 5 countries in achieving compliance with the next control measures of the Montreal Protocol (from the 54<sup>th</sup> to the 66<sup>th</sup> meetings), or the "Status/prospects of Article 5 countries in achieving compliance with the control measures of the Montreal Protocol" document (from

Article 5 countries is based on the Article 7 data reported to the Ozone Secretariat and on country programme (CP) data reported to the Fund Secretariat including information on licensing and quota systems, the production and consumption sectors, and the remaining HCFC consumption in Article 5 countries eligible for funding.

Part 2 includes provides an analysis of the situation of any Article 5 countries subject to a decision of the Parties to the Montreal Protocol on compliance.

Part 3 contains an analysis of the HCFC data contained in country programme data reports including the annual amounts of HCFC production versus consumption; the sector distribution of HCFCs; and information on the number of customs officers and refrigeration service technicians that are trained, the amounts of HCFC refrigerants that are recovered and reused, and the prices of HCFCs and alternative substances.

Action expected from the Executive Committee:

The Executive Committee reviews the status of compliance of Article 5 countries, and data on the implementation of country programmes, and may request bilateral and implementing agencies to assist those countries identified in the report as having eligible consumption that are not already included in business plans. It may propose specific actions regarding countries that appear to be in non-compliance or which have been found to be in non-compliance by the Parties to the Montreal Protocol. The Committee may also address issues related to the reporting of country programme data.

*For an explanation of the compliance concept, see Appendix 1.2. Key concepts of the Multilateral Fund.*

**(f) Progress reports**

Bilateral and implementing agencies are required to provide the Executive Committee with an annual **Progress report** on the implementation of projects and activities approved by the Executive Committee. These progress reports are a primary source of information since they include information on: project approvals, disbursements and ODS phase-out achieved; updates on project completions; global and regional project highlights; and administrative issues.

On the basis of the agencies' progress reports, the Secretariat prepares the **Consolidated progress report** which summarizes the progress and financial information provided both in narrative and database formats.

Action expected from the Executive Committee:

The Executive Committee reviews the progress reports to ensure that the bilateral and implementing agencies' projects will be completed successfully and improve the delivery of service to Article 5 countries. Based on the **Progress reports** the Executive Committee may request bilateral and implementing agencies to provide further status reports on the projects to a future meeting in the context of the agenda item on Status reports and reports on projects with specific reporting

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the 43<sup>rd</sup> to the 65<sup>th</sup> meetings). Since the 73<sup>rd</sup> meeting, the projects with implementation delays and for which special status reports were requested are addressed in the agenda item on status reports and reports on projects with specific reporting requirements (first meeting of the year) or the consolidated progress report (last meeting of the year).

requirements. The Executive Committee may also take decisions with respect to the completion and/or cancellation of projects, the return of balances, the due date for project completion reports, projects with implementation delays, and other issues arising from the review of the reports.

**(g) Status reports and reports on projects with specific reporting requirements**

At the first meeting of the year status reports on the progress of projects is provided in the document **Status reports and reports on projects with specific reporting requirements** since the progress reports of agencies is only submitted to the last meeting of the year. The information presented to the Executive Committee enables the examination of projects with implementation delays, projects for which additional status reports had been requested, and projects proposed for possible cancellation or completion at the meeting. The document includes reports received by the Secretariat for projects with specific reporting requirements which provides summaries of progress achieved so far, issues encountered during implementation, and comments and recommendations of the Secretariat.

Action expected from the Executive Committee:

The Executive Committee considers the status reports on projects and the related issues, and makes any decisions as appropriate.

*For specific information on project monitoring and cancellation procedures, see Appendix 2.4.2. Monitoring projects - implementation delays and cancellation.*

**(h) Evaluation of the implementation of the previous year's business plans**

The document on the evaluation of the previous year's business plan presents a quantitative evaluations of the performance of the implementing agencies with respect to the performance targets set in their previous year's business plans, a trend analysis for each of agency performance indicators, and a qualitative assessment of the performance of implementing agencies based on input received from national ozone officers.

*Please refer to the section on business planning for more details on business planning.*

Action expected from the Executive Committee:

The Executive Committee considers the result of the analysis of the quantitative performance indicators of the implementing agencies and the results of any agency dialogues with countries that provided less than satisfactory ratings on qualitative performance indicators. The Executive Committee notes the evaluation of the implementing agencies' performance against their previous year's business plans and takes any other action as necessary.

***Business planning***

Business planning is the tool that the Executive Committee uses for allocating resources to assist Article 5 countries to comply with the control targets of the Montreal Protocol. A three-year plan is designed to provide a long term perspective on the compliance requirements of Article 5 country in terms of reductions in ODS to be achieved and the proposed strategies and allocation of resources needed to meet those compliance requirements. The assessment of the ODS

compliance requirements for all Article 5 countries in the document **Country programme data and prospects for compliance** serves as a guide for preparation of the Multilateral Fund's business plan for the following year.

Since the contributions to the Multilateral Fund are paid annually by contributing Parties, the activities of the Multilateral Fund are organized mainly on the basis of an annual cycle. At the end of each year the cycle starts with the preparation of **Business plans** for the following year by bilateral and implementing agencies. These plans propose target levels of ODS to be phased-out, the level of funds to be disbursed together with other performance indicators which provide the basis for the evaluation of the agencies' performance. The **Business plans** of the agencies reflect the activities that need to be financed and implemented during the year.

The Secretariat consolidates the business plans of the individual agencies into the **consolidated business plan of the Multilateral Fund** in light of recent decisions regarding business planning and guidelines for ODS phase-out, and the need to provide immediate assistance to those countries that might be at risk of non-compliance with their Montreal Protocol obligations.

The three-year **Consolidated business plan of the Multilateral Fund** together with the **Business plans of the agencies** are presented to the Executive Committee's last meeting of the year for review. The issues that the Executive Committee considers in reviewing these business plans include: the extent to which the needs of countries at risk of non-compliance are being addressed; the adequacy of the number of countries being covered; and the clarity and appropriateness of the targets proposed.

The Secretariat monitors the implementation of business plans at the first and last meetings of the year, by means of a document **Update on the status of implementation of the [years] consolidated business plan of the Multilateral Fund** under the agenda item *Status of resources and planning* to inform the Executive Committee of the extent to which the planned activities were achieved.

#### Action expected from the Executive Committee:

At the last meeting of the year, the Executive Committee endorses the consolidated business plan. By endorsing the consolidated business plan, the Executive Committee does not approve the projects, or the associated funding levels contained in them. These projects and activities have to be submitted to and approved by the Executive Committee during the year. The Executive Committee notes the business plans of the agencies and approves performance indicators for each agency.

*For more information on financial planning, see Appendix 2.1. Financial planning.*

#### ***Project review***

The project review workload of the Executive Committee since 2009 has involved complex and lengthy discussions concerning the policy and cost issues surrounding projects and activities to address the phase-out of the consumption and production of HCFCs. Since 2014 project review work is mainly related to the consideration of HPMP tranches, requests for the preparation of stage II of HPMPs, policy and cost issues related to stage II of HPMPs, HCFC demonstration projects, institutional strengthening project renewals, the core unit costs of UNDP, UNIDO and the World Bank, and UNEP's Compliance Assistance Programme (CAP).

Proposals for investment projects and activities are submitted to the Executive Committee with a recommendation based on a review of the project by the Secretariat. During the process of project review, adjustments can be made to project proposals, particularly in terms of their costs and sometimes technology choices, to ensure their consistency with the policy decisions previously taken by the Executive Committee. Projects which meet all the eligibility requirements, and for which there are no policy or other issues outstanding, may be approved on the basis of the Secretariat's recommendation for blanket approval. If cost-related issues associated with projects are not resolved one week before a meeting of the Executive Committee, the projects concerned will not be considered by the Executive Committee at that meeting. The Executive Committee discusses and makes decisions on any projects which raise policy issues. The Secretariat does not include in meeting documentation, proposals for projects and activities that, by the submission deadline for each meeting, do not contain the information or components necessary for the submission to be considered as potentially approvable.

During discussions of projects at Executive Committee meetings, members, or co-opted members, should refrain from speaking on projects in which they have a direct interest.

The Executive Committee may request clarifications and/or further information on a project from the Secretariat and in some cases from the implementing agency. A contact group may be formed or a small group of interested members may meet in the margins of the meeting to resolve a particular issue. Occasionally the relevant implementing agency may have to consult with the government concerned regarding a request for further information or a proposed change to a project and revert to the Executive Committee on the outcome.

Once the project proposal is approved, the necessary funding is released by the Fund Treasurer to the relevant implementing agency. In the case of projects being implemented by bilateral agencies, the Treasurer credits the amount of the approved funds as bilateral contributions of the relevant non-Article 5 Parties. Together with the recipient Article 5 country, each agency is responsible for the implementation and supervision of its own projects. Bilateral and implementing agencies are required to report to the Executive Committee annually on the progress of their work (see agenda item "Programme implementation").

*For further information on project review, see Appendix 2.3. Project review and approval.*

#### **(a) Overview of issues identified during project review**

The Executive Committee commences its project review deliberations by looking at any policy issues that the Secretariat may have highlighted from submissions to the meeting that are presented in the **Overview of issues identified during project review** document. The overview document also includes the list of projects, comprising tranches of HPMPs or HPPMPs with a funding level up to US \$5 million (including agency support costs), for which there are no issues and which the Secretariat recommends for blanket approval, as well as the list of investment projects and activities which have been submitted for individual consideration.

#### Action expected from the Executive Committee:

The Executive Committee discusses each of the policy issues raised in the document and takes appropriate decisions as required. The Executive Committee may decide to approve all or some of the projects submitted for blanket approval together with any conditions or provisos recommended

by the Secretariat, and subject to consideration of any additional issues that Executive Committee may wish to raise about one or more of the projects and activities.

**(b) Bilateral cooperation**

Bilateral cooperation encompasses the full range of projects and activities funded under the Multilateral Fund. Project proposals from bilateral agencies are submitted by the donor country and are usually presented in a single **bilateral cooperation** document together with the Secretariat's reviews of and recommendations on these project proposals. Multi-year projects submitted by bilateral agencies are presented in the country-based project proposal documents referred in section (f) below.

Action expected from the Executive Committee:

The Executive Committee will consider individually any bilateral projects or activities that were not recommended for blanket approval, and make recommendations on their approval as appropriate. After review of the bilateral activities the Executive Committee may decide to request the Treasurer to offset the costs of the bilateral projects approved at the meeting against the annual balance of funds of the contributing Parties.

**(c) Annual work programmes**

**Work programmes** (first meeting of the year) and **Amendments to work programmes** (last meeting) contain all the requests for activities other than investment projects submitted by each agency during the year. These may include renewal of IS projects, project preparation, technical assistance, training, and demonstration projects. Proposals that were not contained in the list of projects and activities for blanket approval will be considered individually and approved or deferred as appropriate.

Action expected from the Executive Committee:

The Executive Committee will consider individually any projects or activities that were not recommended for blanket approval, and make recommendations as appropriate.

**(d) UNEP Compliance Assistance Programme (CAP)**

The UNEP CAP covers primarily the cost of implementing the programme including project staff (UNEP staff) located in UNEP Paris and the regional offices as well as UNEP's work on information, awareness-raising and networking. The Executive Committee approves the annual CAP budget at the last meeting of the year to enable the financing of staff posts in the following year<sup>10</sup>. Requests for increases in the CAP budget are limited to 3 per cent, unless the Executive Committee is given evidence that inflationary pressures justified otherwise. The entire work programme for UNEP is covered by the CAP budget plus agency support costs of 8 per cent.

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<sup>10</sup> The budget for UNEP's Compliance Assistance Programme (CAP) activities for 2016 was approved in the amount of US \$9,540,000, plus agency support costs of 8 per cent, amounting to US \$763,200 (decision 75/38).

Action expected from the Executive Committee:

The Executive Committee approves annually the CAP budget for the following year.

**(e) Administrative costs for implementing agencies**

The administrative cost regime has largely three aspects: agency fees and core unit costs for UNDP, UNIDO and the World Bank; different rates for UNEP and the bilateral agencies; and the compliance assistance programme (CAP) budget.

Core unit costs and agency fees constitute administrative costs that are intended to provide UNDP, UNIDO and the World Bank with funds for administrative tasks, personnel, and other general administrative services associated with projects implementation. An increase rate of 0.7 per cent per year is allowed for core unit costs per decision 67/15. Agency fees for UNDP, UNIDO and the World Bank are calculated on the basis of project cost as follows: 7 per cent for projects with a project cost above US \$250,000, as well as IS projects and project preparation; 9 per cent for projects with a project cost at or below US \$250,000; agency fee no greater than 6.5 per cent, to be determined on a case-by-case basis for projects in the production sector.

For UNEP and bilateral agencies, agency fees are 13 per cent on projects up to a value of \$500,000. For projects with a value exceeding \$500,000 but up to and including \$5,000,000, an agency fee of 13 per cent is applied on the first \$500,000 and 11 per cent on the balance. Fees for projects with a value exceeding US \$5 million are assessed on a case-by-case basis.

The Executive Committee reviews the administrative cost regime each year at the last meeting of the year and up-to-date information on core unit budget and other administrative cost information can be found in the relevant Executive Committee document<sup>11</sup>.

Action expected from the Executive Committee:

The Executive Committee approves annually the requests from relevant agencies for core unit costs.

**(f) Investment projects**

Project proposal documents are prepared by the Secretariat for each country that is submitting an investment project, or any multi-year project such as a HPMP to the meeting. The document consists of a project evaluation sheet with succinct project data, a brief project description, and the comments and recommendations of the Secretariat. Each multi-year plan is governed by an agreement between the Executive Committee and the Government concerned. Under these agreements, the responsible bilateral or implementing agencies are required to submit a verification report on the achievement of the ODS reduction targets specified in the agreements

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<sup>11</sup> The Executive Committee decided to apply the existing administrative cost regime for the bilateral and implementing agencies during the 2015–2017 triennium, requested a review of the administrative cost regime and its core unit funding budget at the first meeting of 2017 (decision 73/62). The Executive Committee approved core unit funding for 2015 for UNDP of US \$2,040,715, UNIDO of US \$2,040,715, and the World Bank of US \$1,725,000 (decision 75/39).

as a prerequisite for the release of the next tranche of funds<sup>12</sup>. Pertinent project documentation may be annexed, posted on the website or made available on request from the Secretariat.

Action expected from the Executive Committee:

The Executive Committee considers each project and activity listed for individual consideration, and make recommendations as appropriate, including adding any specific conditions to the approval of projects.

### *Accounts of the Multilateral Fund*

#### **(a) Final accounts**

The **Final accounts** are prepared annually based on financial information provided to the Treasurer from the Secretariat and the implementing agencies. They include financial data on the income and expenditure of the Multilateral Fund for the current and previous year, as well as for the cumulative period 1991 through to the current year. These data are typically consistent with audited or certified accounts, including details of the current year expenditure of the Secretariat recorded in the accounts of the United Nations Office in Nairobi compared to the approved budget, and certified or provisional accounts of the implementing agencies for the current and previous year and for the cumulative period 1991 through to the current year.

Action expected from the Executive Committee:

The Executive Committee reviews the final accounts to ensure the accounts are in order.

#### **(b) Reconciliation of accounts**

Differences between the funds approved and the income reported by the implementing agencies can occur in the accounts of the Multilateral Fund. In order to address these differences, the Executive Committee requested the Treasurer, the Secretariat, and the implementing agencies to provide a full reconciliation of the accounts of the Fund, together with the data in the implementing agencies' progress reports to be presented to the last meeting of the Executive Committee each year.

Action expected from the Executive Committee:

The Executive Committee notes the reconciliation report and requests any actions to be taken as

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<sup>12</sup> Since 2012, the Secretariat provides the Committee, at the first meeting of each year, a list of all countries with a HCFC consumption baseline of 360 metric tonnes and below that had an approved HPMP and indicate a sample of 20 per cent of countries from the list to enable the approval of such a sample for the purposes of verification of that country's compliance with the HPMP agreement for that year. HPMPs for low-volume-consuming (LVC) countries other than those in the sample would not require verification. The costs of verification would be included in the work programme amendments of the agencies in the same year and submitted in conjunction with a tranche request in the following year. (decision 61/46(c)). Non-LVC countries must provide a verification report of national consumption targets for the year immediately preceding the year in which a tranche is submitted. If the verification reports were not ready in time for the first meeting of the year, the transfer of any approved funds for tranches to the bilateral and implementing agencies would occur only after receipt by the Secretariat of the verification report confirming that, in the year immediately preceding the tranche request, the country had been in compliance with the Montreal Protocol and the Agreement between its Government and the Executive Committee (decision 72/19).

necessary.

### ***Three-year budget of the Secretariat***

The **three-year budget of the Secretariat** is presented to the last meeting of each year. It includes budget lines for the staff positions in the Secretariat costs and operational costs for over three years.

#### Action expected from the Executive Committee:

The Executive Committee reviews the three-year budget of the Secretariat and approves it based on its discussions.

### ***The Executive Committee's Sub-group on the production sector***

The Sub-group on the Production Sector, a subsidiary body of the Executive Committee, was set up in 1996 to assist the Executive Committee in developing guidelines for funding projects targeted at the phase-out of ODS production. It was subsequently mandated in 1998 to review and recommend the approval of projects in the production sector. Since the 57<sup>th</sup> meeting the Sub-group on the Production Sector has worked on issues with respect to the HCFC production sector. The Sub-group is re-constituted at the first meeting of each year and is composed of eight members (four Article 5 country members and four non-Article five country members).

#### Action expected from the Executive Committee:

The Executive Committee considers any report and draft decisions from the Sub-group on the Production Sector and takes action as appropriate.

### ***Report of the Executive Committee to the Meeting of the Parties***

The Executive Committee is required to report to the Meeting of the Parties (MOP) each year through the Chair of the Executive Committee. The report, prepared by the Secretariat, sums up the activities of the Executive Committee during the period of reporting, normally one year, highlighting the important policies and guidelines that have been adopted, the funding that has been disbursed, and the amount of ODS phase-out that has been achieved.

Before the report is presented by the Chair to the MOP, it is reviewed and cleared by the Executive Committee usually at the meeting prior to the MOP. Following the meeting, it is updated to incorporate any points raised by the Executive Committee and the outcome of the meeting.

#### Action expected from the Executive Committee:

The Executive Committee may decide to authorize the Secretariat to compile or update the report in the light of the discussions held and following clearance by the Chair submit it to the Ozone Secretariat for distribution to the Parties.

In the case where it is not possible for the Executive Committee to review the draft report at an Executive Committee meeting, the Executive Committee may decide on the process to clear the report.

### *Adoption of the Report of the meeting of the Executive Committee*

A draft report of the meeting of the Executive Committee is prepared by the Secretariat and reviewed by the Chair. This is known as the L.1 report and it contains a draft of the proceedings of the meeting and all the decisions made by the Executive Committee during that meeting. At the time of adoption of the report, comments on and amendments to the text of the L.1 report can be proposed. However, Committee members cannot open substantive discussions on any agenda item.

#### Action expected from the Executive Committee:

The Executive Committee adopts the report of the meeting on the basis of the draft report contained in the L.1 document and comments made by any members of the Executive Committee or clarifications by the Secretariat or implementing agencies during its adoption.

## **4. Activities following an Executive Committee meeting**

Following the meeting, the Secretariat finalizes the **Report of the meeting of the Executive Committee** in English and, based on the composition of the Executive Committee, prepares translations into the relevant United Nations official languages. The report is conveyed to all Executive Committee members, all other participants and to the Parties to the Montreal Protocol and posted on the Multilateral Fund website. In addition relevant Article 5 countries and agencies are informed about decisions related to project approvals, cancellations, implementation delays and tranche submission delays through a letter from the Chief Officer. A document summarizing decisions made at the meeting is sent by email to all meeting participants, Parties to the Montreal Protocol, and by UNEP DTIE OzonAction Branch<sup>13</sup>. The summary of decisions and news item are placed on the Multilateral Fund public website in addition to the report.

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<sup>13</sup> The OzonAction Branch of the UNEP Division of Technology, Industry and Economics assists developing countries and countries with economies in transition (CEITs) to enable them to achieve and sustain compliance with the Montreal Protocol. OzonAction has three areas of work: assisting developing countries in UNEP's capacity as an implementing agency of the Multilateral Fund, through a Compliance Assistance Programme (CAP); assisting CEITs in UNEP's capacity as an Implementing Agency of the Global Environment Facility; specific partnerships with bilateral agencies and Governments.

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## APPENDIX 1. THE MULTILATERAL FUND

### 1.1. The aim of the Multilateral Fund

The Multilateral Fund was set up by the Parties to the Montreal Protocol to assist developing countries to comply with the terms of the Montreal Protocol, an international agreement that sets out a timetable for the phase-out of ozone depleting substances (ODS) in both developed and developing countries. The Multilateral Fund provides assistance to countries who are Parties to the Montreal Protocol and whose annual *per capita* consumption and production of CFCs and halons is less than 0.3 kg *per capita* on the date of entry into force of the Montreal Protocol or any time thereafter until 1 January 1999. The developing countries that meet these criteria are referred to as Article 5 countries. Contributions to the Multilateral Fund are provided by the non-Article 5 country parties.

### 1.2. Terms of reference of the Multilateral Fund

The terms of reference of the Multilateral Fund can be found in Annex IX of the “Report of the Fourth Meeting of the Parties to the Montreal Protocol on substances that deplete the ozone layer” (UNEP/OzL.Pro.4/15)<sup>1</sup>. These cover the roles of implementing agencies, budget of and contributions to the Fund, administration of the Multilateral Fund’s functions and financing of activities.

### 1.3. Key concepts of the Multilateral Fund

#### 1.3.1. Incremental costs

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

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

The total costs of conversion to ozone- friendly technologies are not covered. For example the installation of new equipment can produce savings or benefits by itself irrespective of its impact on ozone depletion. Projected savings are deducted from costs to reach the figure for incremental costs, and where this is negative the project is not eligible for Fund assistance.

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<sup>1</sup> The terms of reference of the Multilateral Fund can also be found in the “Handbook for the International Treaties for the Protection of the Ozone Layer” published by the Ozone Secretariat.

### 1.3.2. *Compliance period*

Article 2 of the Montreal Protocol establishes the phase-out schedule of the controlled substances under the Montreal Protocol on the basis of assessment of control measures made pursuant to Article 6 of the Montreal Protocol. It was decided to limit a country's ODS consumption and production (where applicable) levels through a formula that took account of existing levels of consumption and production in an agreed "baseline" year. The period for compliance with the control schedules of the Montreal Protocol for Article 5 countries began following a ten-year grace period. The first control measure was the freeze in CFC (Appendix A group I substances) production and consumption at the baseline level from 1 July 1999 onwards. The first HCFC control measure for Article 5 countries, as adjusted at the Nineteenth Meeting of the Parties in 2007, is the freeze in HCFC consumption and production (where applicable) by 2013. Note that for the purposes of the Montreal Protocol, consumption is defined as the quantities of ODS manufactured and/or imported, less those quantities exported in any given year. The table below summarizes of the Montreal Protocol's control measures for both Article 5 and non-Article 5 parties.

Montreal Protocol Control Schedule for main substances  
(freezes and reductions refer to baseline levels<sup>2</sup>)

Ozone Depleting Substance	Control Schedules	
	Non-Article 5 Countries	Article 5 Countries
<b>Annex A - Group I:</b> Chlorofluorocarbons (CFCs)	Total phase-out by 1/1/1996	Freeze at average 1995-1997 level on 1/7/1999 50% reduction by 1/1/2005 85% reduction by 1/1/2007 Total phase-out by 1/1/2010
<b>Annex A - Group II:</b> Halons	Total phase-out by 1/1/1994	Freeze at average 1995-1997 level on 1/1/2002 50% reduction by 1/1/2005 Total phase-out by 1/1/2010
<b>Annex B - Group II:</b> Carbon tetrachloride	Total phase-out by 1/1/1996	85% reduction at average 1998-2000 on 1/1/2005 Total phase-out by 2010
<b>Annex B - Group III:</b> Methyl chloroform (TCA)	Total phase-out by 1/1/1996	Freeze at average 1998-2000 level on 1/1/2003 30% reduction by 1/1/2005 70% reduction by 1/1/2010 Total phase-out by 1/1/2015
<b>Annex C - Group I:</b> Hydrochlorofluorocarbons (HCFCs)	Freeze from beginning of 1996 35% reduction by 1/1/2004 75% reduction by 1/1/2010 90% reduction by 1/1/2015 99.5% reduction by 1/1/2020* Total phase-out by 1/1/2030  *0.5% is restricted to the servicing of refrigeration and air-conditioning equipment existing during the period 2020-2030 and subject to review in 2015	The HCFC baseline for compliance is the average of 2009 and 2010 production and consumption Freeze at average 2009-2010 level on 1/1/2013 10% reduction by 1/1/2015 35% reduction by 1/1/2020 67.5% reduction by 1/1/2025 97.5% reduction by 1/1/2030** Total phase-out by 1/1/2040  **The annual average of 2.5% is restricted to the servicing of refrigeration and air-conditioning equipment existing during the period 2030-2040 and subject to review in 2025.
<b>Annex C - Group II:</b> HBFC	Total phase-out by 1/1/1996	Total phase-out by 1/1/1996
<b>Annex C - Group III:</b> Bromochloromethane (BCM)	Total phase-out by 1/1/2002	Total phase-out by 1/1/2002
<b>Annex E:</b> Methyl bromide (horticultural uses)	Freeze in 1995 at 1991 baseline level 25% reduction by 1/1/1999 50% reduction by 1/1/2001 70% reduction by 1/1/2003 Total phase-out by 1/1/2005 (with possible critical use exemptions)	Freeze at average 1995-1998 level on 1/1/2002 20% reduction by 1/1/2005 Total phase-out by 1/1/2015

<sup>2</sup> Full details of control measures are published on the Ozone Secretariat's web site at <http://ozone.unep.org> and also on decision XXVII/1 regarding the Dubai pathway on hydrofluorocarbons (HFCs) by which the Parties to the Montreal Protocol agreed to work within the Montreal Protocol to an HFC amendment in 2016.

### 1.3.3. *Country compliance driven approach*

A country is in compliance when it meets the provisions set out in the Montreal Protocol. The Multilateral Fund's strategy is based on a compliance-driven business planning approach in which the level of ODS phase-out needed for each country has been calculated so that resources can be targeted to countries appropriately. This calculation has been made on the basis of an agreed starting point for aggregate reduction in ODS consumption. Multi-year performance-based agreements are established with countries to assist them to meet the phase-out targets as set out in the Montreal Protocol.

### 1.3.4. *Equal partnership*

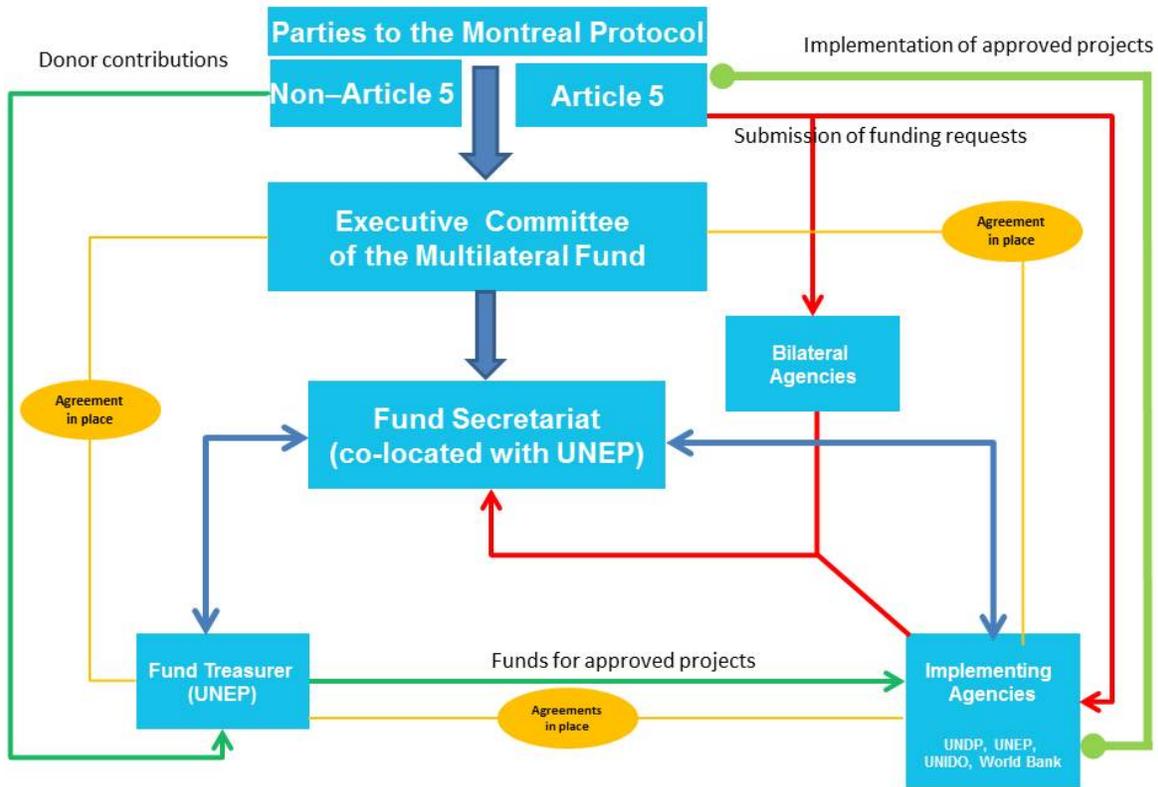
The Multilateral Fund is governed by an Executive Committee, which has equal representation from among non-Article 5 countries (donor) and Article 5 countries (recipient). During the Meeting of the Parties (MOP) to the Montreal Protocol, that takes place towards the end of the year, Parties select Executive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

## 1.4. **Key structures of the of the Multilateral Fund**

The key elements of the Multilateral Fund are:

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

The organizational chart below illustrates: the hierarchical relationship between the Parties to the Montreal Protocol, including non-Article 5 and Article 5 countries, and the Executive Committee; the relationship between the Executive Committee and the entities that it interacts with to fulfil its function indicating where formal agreements exist between those entities; the flow of contributions from non-Article 5 countries to the Treasurer and to the bilateral and implementing agencies (following project approval); and the submission of funding requests from Article 5 countries through bilateral and implementing agencies to the Executive Committee through the Secretariat.



1.4.1. *The Parties to the Montreal Protocol and the Executive Committee*

The Multilateral Fund operates under the authority of the Parties to the Montreal Protocol, who decide both on its overall policies, composition and, every three years, on the level of replenishment of the Fund.

The Multilateral Fund provides assistance to Parties to the Montreal Protocol whose annual level of consumption of the ozone depleting substances (ODS) chlorofluorocarbons (CFCs) and halons is less than 0.3 kilograms per capital. They are referred to Parties operating under paragraph 1 of Article 5 of the Montreal Protocol, or simply Article 5 countries.

The Multilateral Fund is financed by contributions from Parties not operating under paragraph 1 of Article and are known as non-Article 5 countries.

1.4.2. *Executive Committee*

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

A representative constituency system introduced by the Executive Committee allows each of the 14 members to co-opt additional countries from the same region. This has significantly broadened the participation of stakeholders in the decision-making process, and enhanced their sense of ownership of the process. All

comments from a delegation, both oral and written, should be covered by unified submissions delivered directly and solely in the name of the Executive Committee member (decision 35/62).

To facilitate the exchange of information on compliance issues between the Executive and Implementation Committees, the Chair and Vice-Chair of the Executive Committee are invited to attend the Implementation Committee's meetings<sup>3</sup>. On a reciprocal basis, the President and Vice-President of the Implementation Committee are invited to attend the Executive Committee's meeting (decision XIV/37).

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

The Executive Committee has discussed the organization of its work on a number of occasions since 2002, and in 2013 decided to convene two meetings of the Executive Committee in 2014 on a trial basis with the option of an inter-sessional meeting for any urgent issues (decision 70/23)<sup>4</sup>. The two meetings per year scenario was reviewed at the last meeting of 2014 and the Executive Committee decided to continue to convene two meetings per year from 2015 with the possibility of an additional brief meeting if required between those meetings to consider project proposals (decision 73/70)<sup>5</sup>.

### 1.4.3. *Fund Secretariat*

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

The terms of reference of the Fund Secretariat<sup>6</sup>, as approved by the Executive Committee at its Third Meeting, include 23 specific responsibilities, which essentially cover: development of the three-year plan and budget and a system of funds disbursement; management of the business planning cycle of the Fund; monitoring the expenditures and activities of the implementing agencies; preparation of policy papers and

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<sup>3</sup> The Implementation Committee examines cases of possible non-compliance by Parties, and makes recommendations to the MOP aimed at securing full compliance.

<sup>4</sup> The two meeting scenario was approved on the understanding that the submission of agenda items would need to be adjusted, tranche requests for stage I of HPMPs would be submitted to either the first or the last meeting of the year as per a revised submission schedule, and requests for the renewal of IS projects could be submitted to the meeting immediately preceding the set date, namely, six months before the end of the previously approved period.

<sup>5</sup> Decision 73/70 stipulates the two meetings per year scenario would be reviewed at the first meeting of 2016.

<sup>6</sup> See Annex III.1 of the Policies, Procedures, Guidelines and Criteria.

other documents; review and assessment of project-related submissions of the implementing agencies; liaison between the Executive Committee, governments and the implementing agencies; and servicing the meetings of the Executive Committee. Since 1997, the Fund Secretariat has also included a monitoring and evaluation function, established expressly by the Executive Committee.

#### 1.4.4. *Bilateral and implementing agencies*

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

The four implementing agencies work under the overall guidance and supervision of the Executive Committee. The roles of the implementing agencies for projects approved under the Multilateral Fund were outlined broadly in decision II/8 of the Second MOP. More detailed arrangements are set out in the individual agreements concluded between the Executive Committee and UNDP, UNEP, UNIDO and the World Bank in 1991 and 1992, which cover financial arrangements and reporting requirements<sup>7</sup>. Broadly speaking, UNDP, UNIDO and the World Bank are responsible for the preparations and implementation of investment projects. The main thrust of UNEP's activities is on information dissemination, capacity-building, institutional strengthening (IS), networking, and assistance to low-volume-consuming<sup>8</sup> (LVC) Article 5 countries. However, since 2011, UNEP is also actively involved in the implementation non-investment HPMP activities for a number of countries.

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

*Detailed information on the Implementing agencies' project cycle and their interactions with Secretariat, other Implementing Agencies and Article 5 countries is provided in Appendix 4.*

#### 1.4.5. *Treasurer*

The Fund Treasurer is responsible for receiving and administering pledged contributions (cash, promissory notes or bilateral assistance) from non-Article 5 countries, and disbursing funds to the Fund Secretariat and the implementing agencies based on the directive of the Executive Committee. At the fifth meeting of the Executive Committee an agreement between UNEP and the Executive Committee on the service of the Treasurer was approved. The agreement was revised at the 42<sup>nd</sup> meeting in 2004 and level of fees was agreed (US\$ 500,000 per year) for the five year period 2004 to 2009 (decision 42/42)<sup>9</sup>. At its 62<sup>nd</sup> meeting, the Executive Committee decided to maintain the fee level at US \$500,000 per annum until UNEP reverted to the Executive Committee and requested the Treasurer to include in the accounts of the Fund Secretariat an indicative breakdown of the US \$500,000 annual fees for the provision of treasury services (decision 62/66).

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

<sup>8</sup> Low-volume HCFC consuming countries are those whose calculated level of HCFC consumption is less than 360 metric tonnes annually (decision 60/44(f)).

<sup>9</sup> For further information see the Policies, Procedures, Guidelines and Criteria (Treasurer of the Fund).

Agreements between the Treasurer and the four implementing agencies on the financial procedures were also made in 2006<sup>10</sup>.

In practice, the responsibilities of the Treasurer are carried out by staff based in UNEP-Nairobi and by the Senior Administrative and Fund Management Officer based in the Fund Secretariat.

The Treasurer attends each meeting of the Executive Committee and is responsible for preparing: a status of contributions and disbursements for each meeting; the accounts of the Multilateral Fund as well as the reconciliation of the accounts on an annual basis; and any study requested by the Executive Committee and/or by Meetings of the Parties to the Montreal Protocol, as relevant.

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

## APPENDIX 2. HOW THE MULTILATERAL FUND OPERATES

### 2.1. Financial planning

#### 2.1.1. *Replenishment of the Multilateral Fund*

The Multilateral Fund has been replenished every three years since 1994 by the Parties to the Montreal Protocol. As mandated by the Parties and to facilitate discussions on the replenishment, the Technology & Economic Assessment Panel (TEAP) prepares a study analyzing relevant issues and calculates an appropriate replenishment level to finance the Fund's work over the next triennium to assist the Parties. After reviewing the TEAP calculated funding needs, the Open-ended Working Group Meeting (OEWG) normally asks for additional information and forwards a recommendation on the replenishment to the Parties. A final decision on the replenishment budget is taken at the MOP in the final year of the preceding triennium. For the 2015-2017 triennium, the Parties established a replenishment budget of US \$507,500,000 “on the understanding that \$64,000,000 of that budget will be provided from anticipated contributions due to the Multilateral Fund and other sources for the 2012-2014 triennium, and that \$6,000,000 will be provided from interest accruing to the Fund during the 2015–2017 triennium”(decision XXVI/10”).

For the last six replenishments (2000-2002, 2003-2005, 2006-2008, 2009-2011, 2012-2014 and 2015-2017), a fixed-exchange-rate mechanism (FERM) was agreed upon at the same MOP that considered the replenishment budget. The FERM for the 2015-2017 period is based on the average United Nations exchange rate for the six-month period commencing 1 January 2014 (decision XXVI/11). The impact of the FERM on the value of resources available to the Fund is monitored by the Treasurer as part of the report on the Status of contributions and disbursements to each meeting of the Executive Committee.

As stated in the terms of reference of the Multilateral Fund<sup>11</sup>, and in accordance with paragraph 6 of Article 10 of the Montreal Protocol, contributions to the Multilateral Fund are made by non-Article 5 Parties based on a scale of contributions decided by the Parties at their annual meeting. For convenience the annual amount of contributions for each Party is based on the United Nations scale of assessment adjusted to provide that no one contribution shall exceed 22 per cent of the total. These contributions may be made either in cash, through the use of promissory notes, or in-kind and bilateral contributions according to an annual scale of contributions agreed by the Parties. The Executive Committee has requested Parties using promissory notes to do their utmost to meet the Treasurer's request for their accelerated encashment in order to mitigate cash flow problems.

#### 2.1.2. *Resource allocation*

##### *Financial planning for the triennium*

The Executive Committee carries out a financial planning exercise each time the Parties adopt a triennial budget<sup>12</sup>. The result of this is an annual allocation for each year of the triennium based on the total budget available, the annual scale of contributions based on business planning and the status of compliance.

Some of the total budget will have already been committed by the Executive Committee. Committed items will include: funds for multi-year agreements (MYAs) or those earmarked for standard costs

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<sup>11</sup> Annex IX of the report of the Fourth Meeting of the Parties

<sup>12</sup> Financial planning for the triennium is presented in the document on the update on the implementation of the business plans

incurred by the Fund (institutional strengthening, the budget of the Fund Secretariat and Executive Committee meetings, the Treasurer fees, implementing agencies' core unit administrative costs, and UNEP's Compliance Assistance Programme (CAP)).

### 2.1.3. *Business planning*

In 2002, the Executive Committee adopted the three-year rolling phase-out plan (decision 38/66) as the basis of business planning in the Multilateral Fund. This approach is based on the approval of certain amounts of ODS for specific countries during the triennium to enable them to comply with the Montreal Protocol control measures. HCFC compliance requirements for all Article 5 countries are presented in the document **Country Programme data and prospects for compliance**<sup>13</sup> to serve as a guide for preparation of the Multilateral Fund's business plan (decision 67/6(c)).

Each year, the bilateral and implementing agencies meet with the Fund Secretariat to coordinate the annual business plans in light of the Fund Secretariat's assessment of compliance of Article 5 countries. Following this meeting, agencies submit their business plans to the Fund Secretariat, which compiles the information provided by the agencies into the **Consolidated business plan of the Multilateral Fund**. This document also addresses any policy issues raised in the business plans.

The implementing agencies' business plans are submitted to the Executive Committee along with the comments and recommendations of the Fund Secretariat. They contain all the projected activities for a given year together with performance indicators, which provide the basis for the evaluation of the agencies' performance. The annual business plans are presented to the Executive Committee as multi-year business plans since three years of activities are included. However there is less certainty with regard to projects and activities for the second and third years that are not part of ongoing multi-year agreements.

The Fund Secretariat monitors the implementation of business plans at each subsequent meeting of the year to inform the Executive Committee of the extent to which the planned activities were achieved.

## 2.2. **Country programme implementation data reporting**

An Article 5 country must submit its annual country programme data to the Secretariat in order to receive assistance from the Multilateral Fund.

The Fund Secretariat uses these data when analysing the status of compliance of Article 5 countries. Price data on ODS and their alternatives, is included in the country programme data reports (decision 54/4). Pursuant to decision 63/4(b)(ii), data reporting for the year 2012 and beyond does not include data regarding CFC, CTC and halon.

An online web-based data entry system prepared on the basis of the revised country programme format for use by national ozone units was made available in 2007 through the Multilateral Fund's website (decision 50/4) allowing countries to submit their country programme data online. A manual on how to complete the country programme form is also available: A Practical Manual for Reporting. Project proposals for Article 5 countries that are not up-to-date with country programme data reporting cannot be considered for approval by the Executive Committee.

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<sup>13</sup> Prior to the 74<sup>th</sup> meeting the document was entitled Status reports and compliance

*Other data being collected by Article 5 countries*

At the 74<sup>th</sup> and 75<sup>th</sup> meetings the Executive Committee approved funding for Article 5 countries to conduct inventories or surveys of alternatives to ODS as part of follow-up to decision XXVI/9 (paragraph 4) of the Twenty-sixth Meeting of the Parties. The scope of the surveys would be to obtain information on ODS alternatives in Article 5 countries including data (where available) and estimates of ODS alternatives currently in use by sector and subsector, and forecasts of ODS alternatives most commonly used. An overall analysis of the results of the surveys would be considered by the Executive Committee by its first meeting in 2017. (decision 74/53). The results of the surveys must be presented as per an approved format (decision 75/67).

## **2.3. Project review and approval**

### **2.3.1. *Projects and activities financed by the Multilateral Fund***

The Multilateral Fund provides financial assistance for projects in countries classified under Article 5 of the Montreal Protocol in order to assist them to meet the control measures of the Protocol. All projects submitted to the Fund must receive the requesting Party's approval before consideration by the Executive Committee<sup>14</sup>. Financial assistance covers the incremental costs of investment projects and also covers the costs of other activities such as country programme preparation, demonstration projects, IS projects, project preparation, technical assistance or training, as well as the activities carried out under UNEP's Compliance assistance programme. Countries that are not in compliance with the Montreal Protocol cannot receive funding from the Multilateral Fund until the underlying issues of non-compliance have been dealt with by the Implementation Committee.

The Fund Secretariat ensures that projects submitted to the Multilateral Fund follow guidelines elaborated in the decisions made by the Executive Committee at its meetings. Project proposals, along with other pre-session documents, are available to the Executive Committee four weeks before a meeting. Any further information on these project proposals must be provided to the Executive Committee members at least two weeks in advance of the meeting. According to decision 41/80(a) cost-related issues associated with projects have to be resolved one week before a meeting of the Executive Committee, otherwise the projects concerned should not be considered at that meeting. As far as possible new policy issues regarding projects should be resolved or alternative solutions identified prior to the submission of a project. In the event that an Executive Committee Meeting would be scheduled immediately following a session of the OEWG or the MOP, the Fund Secretariat would make all new documents available to members 15 days before the start of that meeting (decision 59/35).

*Information on the policies and procedures affecting the project cycle is available in Section IX. Project proposals of the Policies, Procedures, Guidelines and Criteria.*

### **2.3.2. *Strategic planning of projects and activities***

In the 1990's the Executive Committee divided projects into investment and non-investment projects. Non-investment activities included IS projects, project preparation, technical assistance or training. From 2000, the Multilateral Fund put less emphasis on the funding of stand-alone projects and moved towards

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<sup>14</sup> For a review of the procedures currently in force for the submission of project proposals from bilateral and implementing agencies on behalf of governments of Article 5 countries, see document UNEP/OzL.Pro/ExCom/68/47: Procedures currently in force for the submission of project proposals from bilateral and implementing agencies on behalf of governments of Article 5 countries.

national ODS phase-out plans targeting the total remaining consumption of a specific controlled substance(s) in a country. The strategic planning framework adopted in 2001 has the goal of providing support to enable each Article 5 country to comply with the Montreal Protocol control measures whilst fostering a “country driven” approach towards compliance. Funding is based on a commitment by the country to achieve sustainable, permanent reductions in consumption and production of ODS. Governments have greater responsibility for managing national phase-out programmes and there must be a demonstrated relevance between the funded activities and compliance with the specific Montreal Protocol control measures (decision 35/56)<sup>15</sup>. This demonstrated relevance to compliance is defined as a direct and, if applicable, quantifiable linkage between the funded activities and the specific Montreal Protocol compliance target to be achieved.

One important element of the strategic planning process introduced in 2001 was a definition of a starting point for determining the sustained reduction of each Article 5 country namely, the remaining CFC consumption eligible for funding (decision 35/57). An Article 5 country could choose to base its remaining eligible CFC consumption for funding on the Montreal Protocol baseline data (option 1) or the latest reported CFC consumption data (option 2). The Executive Committee also adopted provisions for increased funding for IS, provisions for country programme updates and provision for attributing phase-out to non-investment activities (decision 35/57). Non-investment activities were given a cost-effectiveness value of US \$12.10/kg. This value does not apply to LVC countries (decision 36/7).

National ODS phase-out plans mapped out a detailed plan of action to eliminate the entire remaining consumption of the most common ODS in a country (excluding HCFCs). Each plan was governed by a multi-year agreement between the Executive Committee and the Government concerned which specified *inter alia*: the annual reduction target to be achieved; the total funding level from the Multilateral Fund agreed in principle; and a schedule for the disbursement of funds.

***National phase-out plans, CFC phase-out plans and terminal phase-out management plans (multi-year phase-out plans)***

These plans, often called national phase-out plans (NPPs), national CFC phase-out plans (NCP) were a combination of investment and non-investment projects. Under these agreements, the responsible implementing agencies are required to submit a verification report on the achievement of the ODS reduction targets specified in the agreements as a prerequisite for the release of the next tranche of funds. The first guidelines for the multi-year agreements (MYAs) were adopted at the 38<sup>th</sup> meeting of the Executive Committee (decision 38/65). The concept of TPMPs was introduced through decision 45/54 of the Executive Committee to enable the total phase-out of CFCs or other ODS as applicable in LVC<sup>16</sup> countries where the consumption was almost entirely in the refrigeration servicing sector.

If the country did not comply with the Agreement or with the Montreal Protocol ODS reduction compliance targets, the country was not entitled to receive funding in accordance with the schedule contained in the agreement. In the case of an LVC country that, due to a delay in the introduction of its ODS licensing system, had levels of CFC consumption above the allowable levels under the Agreement the Executive Committee applied the penalty in the Agreement calculated as 10 per cent of the amount of

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<sup>15</sup> For more information on the adjusted funding policies of the Multilateral Fund see UNEP/OzL.Pro/ExCom/34/53 - Strategic planning: proposals on implementing the framework on the objective, priorities, problems, and modalities for strategic planning of the Multilateral Fund in the compliance period.

<sup>16</sup> The Executive Committee decided, at its 17<sup>th</sup> meeting, to take an annual consumption level of 360 tonnes as the cut-off point below which a country would be considered to be a low-ODS-consuming country for the purposes of determining the eligibility of projects for funding from the allocation reserved for such countries in accordance with the decision adopted by the Executive Committee at its Sixteenth Meeting (UNEP/OzL.Pro/ExCom/16/20 para. 32 (g) (iii)).

the tranche being submitted for approval, on the basis of the following three criteria: the country concerned was a LVC country; it was the first time that the country had been in non-compliance; and, the country had returned to compliance without additional assistance from the Multilateral Fund (decision 54/34). In the case of a non-LVC country that was not in compliance with the CFC consumption targets indicated in its Agreement, the Executive Committee calculated a penalty on an individual basis and set out a number of conditions in respect of the CFC consumption sector agreement (decision 54/35).

Almost all the remaining funding tranches of NPPs or TPMPs in Article 5 countries were submitted to the 61<sup>st</sup> meeting on the understanding that the governments concerned would consider implementing activities to sustain zero consumption of CFCs and other activities to facilitate the phase-out of HCFCs. Outstanding funding tranches not submitted to the 61<sup>st</sup> meeting were integrated into the relevant HPMPs of the countries concerned.

*Information on multi-year phase-out plans and projects, including relevant decisions and the text of agreements is available in the “Phase-out plans and projects” document available from the Multilateral Fund website.*

### **HCFC phase-out management plans**

Within seven months of the decision XIX/6 of the Parties to accelerate the phase-out of HCFCs (September 2007), the Executive Committee approved guidelines for the preparation of HPMPs (decision 54/39). The HPMP guidelines set out a staged approach for the phase-out of a country’s HCFCs with the framework of an overarching strategy. The first stage, stage I, of a country’s HPMP addresses meeting the baseline freeze on HCFCs in 2013 and the 10 per cent reduction in 2015. Projects, which accelerate the phase-out of HCFC consumption, were considered on a case-by-case basis for LVC countries that had a strong national level of commitment in place to support accelerated phase-out (decision 60/15). A structure for determining funding levels for preparation of HCFC investment and associated activities was agreed at the 56<sup>th</sup> meeting (decision 56/16), and detailed guidelines setting out the criteria for funding available for Article 5 countries to phase out HCFC consumption were approved in 2010 (decision 60/44). Guidelines for funding the preparation of stage II of HPMPs were agreed at the 71<sup>st</sup> meeting (decision 71/42) and subsequently criteria for funding HCFC phase-out in the consumption sector for stage II of HPMPs was agreed in 2015 (decision 74/50). The stage II criteria for funding are structured in line with the guidelines for stage I of HPMPs, and take into account the cut-off date for eligibility and second stage conversions, transitioning to low-GWP alternatives to achieve climate benefits, the needs of small and medium sized enterprises, and the concerns of LVC and very LVC countries.

During stage I HPMP preparation, it was critical for countries to modify their ODS legislation, regulations and licensing systems to include HCFCs and thus the cost-structure for funding stage I HPMP preparation took into account assistance for policy and legislation. No funding was approved for stage I of HPMP implementation in those Article 5 countries that had not included HCFC control measures in legislation, regulations and licensing systems. The submission requirements for HPMPs are similar to those that applied to RMPs, TPMPs, and NPPs with respect to agreements and review periods. HPMPs should be submitted 14 weeks in advance of Executive Committee meetings for review by the Fund Secretariat.

Like NPPs and TPMPs, each HPMP or HPMP stage is governed by a multi-year agreement. The agreement for stage I scheduled the submission of final tranches so that HCFC consumption would be reported under Article 7 of the Montreal Protocol for 2013 before approval of the last tranche of the HPMP agreement.

Starting in 2013, the Fund Secretariat provides the Executive Committee, at the first meeting of each year, a list of all countries with a HCFC consumption baseline of 360 metric tonnes and below that had an approved HPMP and indicates a sample of 20 per cent of countries from the list to enable the approval of

such a sample for the purposes of verification of that country's compliance with the HPMP agreement for that year. HPMPs for LVC countries other than those in the sample would not require verification. The costs of verification would be included in the work programme amendments of the agencies in the same year and the verification report would be submitted in conjunction with a tranche request in the following year.

At the 63<sup>rd</sup> meeting, an additional paragraph was added to the template for draft agreements to address concerns that some countries, in their submissions, appeared to be indicating that efforts to achieve compliance with the 2013 HCFC consumption freeze would be limited to selected sectors (decision 63/17):

"That, for all submissions from the 68<sup>th</sup> meeting onwards, confirmation has been received from the Government that an enforceable national system of licensing and quotas for HCFC imports and, where applicable, production and exports is in place and that the system is capable of ensuring the country's compliance with the Montreal Protocol HCFC phase-out schedule for the duration of this agreement."

A revised template to be used as a reference for the drafting of an agreement between a country and the Executive Committee regarding HPMPs/stage I of HPMPs was approved at the 61<sup>st</sup> meeting (decision 61/46). A template for stage II is under consideration. However, the agreement for stage II of the HPMP for Mexico (approved in decision 73/58) can be used as a template for draft agreements for stage II of HPMPs<sup>17</sup>.

### *HCFC demonstration projects*

In the framework of the cost considerations surrounding the financing of HCFC phase-out, the Executive Committee decided at its 55<sup>th</sup> meeting consider project proposals for HCFC uses in the foam sector including systems houses and/or chemical suppliers for the development, optimization and validation of chemical systems for use with non-HCFC blowing agents, and in the refrigeration and air-conditioning sub-sectors, so that the Executive Committee could choose those projects that best demonstrated alternative technologies and facilitated the collection of accurate data on incremental capital cost and operating costs or savings, as well as other data relevant to the application of the technologies (decision 55/43). Pursuant to decision 55/43, the Executive Committee approved 14 demonstrations for the aforementioned sectors.<sup>18</sup> Subsequently, at the 72<sup>nd</sup> meeting pursuant to decision XXV/5 of the Twenty-Fifth Meeting of the Parties, the Executive Committee agreed to consider proposals for additional demonstration projects for low-global-warming potential (GWP) alternatives to HCFCs at the 75<sup>th</sup> and 76<sup>th</sup> meetings according to criteria set out in decision 72/40.<sup>19</sup>

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<sup>17</sup> At the 73<sup>rd</sup> meeting the Executive Committee decided that the Agreement for stage II of the HPMP for Mexico (approved in decision 73/58) could be used as a template for draft agreements for stage II of HPMPs and requested the Secretariat to review the template Agreement for stage I of HPMPs, once discussions on criteria for funding HCFC phase-out in the consumption sector for stage II of HPMPs and the 20 per cent disbursement threshold had been completed (decision 73/33). The template for draft agreements for stage II of HPMPs.

<sup>18</sup> The reports of approved HCFC demonstration projects can be found on the Secretariat's website <http://www.multilateralfund.org/Our%20Work/DemonProject/default.aspx>

<sup>19</sup> Decision 72/40 also invited proposals for feasibility studies, including business cases for district cooling, no later than the 75th meeting. The resulting studies would assess possible projects, their climate impact, economic feasibility and options for financing such undertakings.

Significant decisions concerning HCFC phase-out

Decision	Subject
Decision 53/37	Prerequisite for HPMP funding: status of ratification to amendments to the Montreal Protocol (Copenhagen and Beijing amendment)
Decision 54/39	Guidelines for HCFC phase-out management plans (HPMPs)
Decision 55/13	Funding for the preparation of HCFC phase-out management plans
Decision 55/43	Cost considerations of financing HCFC phase-out costs including the preparation and submission of initial projects to address HCFC uses in aerosol applications, foam and refrigeration manufacturing sub-sectors, fire extinguishers and solvents
Decision 56/16	Cost structure for determining funding levels for preparation of HCFC investment and associated activities
Decision 57/6(b)	HCFC investment activities in advance of HPMPs – their consistency with the guidelines for HPMPs (decision 54/39) and relationship to the country's HPMP
Decision 57/6(c) and (e)	Cost of HCFC activities and equitable allocation of funds for all eligible Article 5 countries
Decision 59/9	Inclusion of additional HCFC demonstration projects that demonstrate alternative or new technology in 2010 business plans
Decision 59/11	Prioritization of HCFC phase-out projects
Decision 59/16	Preliminary template for draft agreements for HPMPs
Decision 59/17	Funding of institutional strengthening projects as part of an HPMP
Decision 59/44	Submission of draft HCFC production sector phase-out strategy
Decision 60/15	Accelerated phase-out of HCFCs (greater than the 10 per cent required to meet the 2015 HCFC control measure)
Decision 60/44	Detailed guidelines for phase-out in the HCFC consumption sector setting out the criteria for funding available for Article 5 countries
Decision 61/46	Revised template for draft agreements for HCFC phase-out management plans
Decision 61/47	Consumption arising from HCFC-141b contained in pre-blended foam chemicals (polios)
Decision 62/9	Incremental operating costs for the aerosol sector
Decision 62/10	Accelerated phase-out of HCFCs beyond 2020 for LVC countries and increase in HPMP funding
Decision 62/11	Submission of stage I of HPMPs to assist former LVC countries
Decision 62/12	Prioritization of HCFCs
Decision 62/13	Cost-effectiveness threshold for the rigid insulation refrigeration foam sub-sector
Decision 62/14	Sub-sector on the assembly of refrigeration equipment in addition to refrigeration manufacturing and service sectors
Decision 62/17	Last funding tranche of multiyear HCFC phase-out plans
Decision 63/14	Discrepancies between data reported under Article 7 and in HPMPs
Decision 63/15	Additional funding requests for HCFC phase-out outside approved HPMPs
Decision 63/17	Amendment to HPMP agreements requesting confirmation that an enforceable national system of licensing and quotas for HCFC imports (and where applicable, production and exports) is in place
Decision 64/14	Countries with total HCFC consumption above 360 metric tonnes and should address consumption in the manufacturing sector first to meet the 2013 and 2015 control measures

Decision	Subject
Decision 65/11	Flexibility provision under HCFC phase-out management plans
Decision 66/50	Funding for conversion of new HCFC foam production lines in secondstage conversion enterprises established after the enterprises had been converted to a non-CFC alternative)
Decision 66/52	Incremental costs related to retooling for manufacturing heat exchangers
Decision 70/21	Submission of stage II of HPMPs in the absence of an agreement on guidelines and provisions on funding for preparation of stage II, and prior to a decision by the Executive Committee on criteria for funding HCFC phase-out in the consumption sector for stage II.
Decision 71/42	Guidelines for funding the preparation of stage II of HCFC phase-out management plans
Decision 72/17 & 73/34	Retrofit of existing HCFC-based refrigeration and air-conditioning equipment to flammable or toxic refrigerants
Decision 72/18	Priorities regarding the preparation of stage II of HPMPs
Decision 72/19	Submission of verification reports of national consumption targets together with tranches of HPMPs submitted to the first meeting of the year (decision 72/19)
Decision 72/40	Criteria to be applied when selecting projects to demonstrate climate-friendly and energy efficient alternative technologies to HCFCs
Decision 73/33	Template Agreement for stage II of HPMPs
Decision 74/18	Fund disbursement threshold for HPMPs before submission of the subsequent tranche request
Decision 74/19	Progress and verification reports of a country's compliance with the HPMP agreement after the approval of the last tranche of HPMPs
Decision 74/20	Temporary use of a high-GWP technology by enterprises that had been converted to a low-GWP technology (decision 74/20)
Decision 74/21	Rationalization of the costs of the demonstration projects to demonstrate climate-friendly and energy efficient alternative technologies to HCFCs
Decision 74/50	Draft criteria for funding HCFC phase-out in the consumption sector for stage II of HPMPs
Decision 75/56	Template for draft agreements for stage II of HPMPs

*See Hydrochlorofluorocarbons in Section IX (Project proposals) of Policies, Procedures, Guidelines and Criteria*

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

*For further information regarding policy issues related to the HCFC production sector see "Further elaboration and analysis of issues pertaining to the phase-out of the HCFC production sector (decision 56/64(a) and (b))". Document UNEP/OzL.Pro/ExCom/57/61*

*See also: Updated guide for the preparation of HCFC phase-out management plans; Updated guide for the preparation of tranches of HCFC phase-out management plans; and, Guide for funding the preparation of stage II of HCFC phase-out management plans. Available on request from the Fund Secretariat. February 2014*

### ***Institutional strengthening***

Institutional strengthening (IS) is an important part of the Fund's activities since it is necessary to ensure that the institutional and human infrastructure is in place to facilitate implementation of projects and activities. IS is an example of an addition to the indicative list of incremental costs. The Executive Committee considers it important to have sufficient funding in all Article 5 countries for a full time national ozone officer, who is a key player in helping countries meet their Montreal Protocol deadlines. Thus a threshold level of annual

funding is made available to countries, provided that they assign a full-time ozone officer to manage the ozone unit and that a national licensing system to control ODS imports is in place. Article 5 countries have the flexibility to submit requests for IS funding either as part of their HPMPs or separately, as they so choose (decision 59/17)). At the 74<sup>th</sup> meeting the Executive Committee decided that approvals of IS projects and renewals would be at a level that is 28 per cent higher than the historically agreed level with a minimum level of IS funding of US \$42,500 per year (decision 74/51).

*See Institutional Strengthening, Section X of Policies, Procedures, Guidelines and Criteria.*

*A summary of the development of rules and policies for the funding of institutional strengthening projects as at November 2014 can be found in Annex I of document UNEP/OzL.Pro/ExCom/74/51 (Review of funding of institutional strengthening projects (decision 61/43(b))).*

### 2.3.3. Project review process

Implementing agencies submit funding proposals for projects and activities to the Secretariat according to a strict timetable. All stage I and II HPMPs and sector plans must be submitted at least 14 weeks before an Executive Committee meeting. Other submissions must be submitted by an 8 week deadline. The Fund Secretariat will check that submissions from the agencies have all the relevant documentation. In addition, a country's data reporting obligations must be up-to-date.

Web-based overview tables of MYAs were developed by the Fund Secretariat to facilitate the review of requests for tranches of multi-year projects (CFC phase-out plans). Each overview includes the latest Article 7 and country programme ODS consumption and production data (in ODP values), the amounts phased-out by the project, project costs, the tranche submission schedule, information on national policies and on the results of completed activities as well as the annual implementation plan. The overview tables are available through the intranet and the system is also used to generate the project cover sheet in project proposal documents. The original system has been adapted to monitor and track HPMPs (decisions 59/7). Decision 63/61 requires agencies to update the HPMP MYA database shortly after the approval of an HPMP to reflect the approved and planned activities for the whole HPMP and the relevant annual implementation plans up to and including the year of the next tranche submission.

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

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

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

the Fund Secretariat's recommendation for blanket approval. The Executive Committee discusses and takes decisions on any projects which raise policy or other issues.

#### 2.3.4. *Discussion of project proposals by the Executive Committee*

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

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

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

##### *Route 2 – Projects for individual consideration*

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

##### *After approval*

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

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

## 2.4. **Monitoring**

The Executive Committee has considered monitoring matters since its 5<sup>th</sup> meeting in 1991. The Fund Secretariat monitors activities at the project level and the agency level. By 1995, the Fund Secretariat had developed a standard format for progress reporting which simplified oversight by the Executive Committee. Standard progress reports are submitted by implementing agencies to the Fund Secretariat by

1 May each year<sup>20</sup>. Bilateral and implementing agencies also submit data on projects with implementation delays to each meeting.

#### 2.4.1. *Performance of implementing agencies*

At the last meeting of the year, the agencies provide an annual progress report on both the implementation of approved activities and projects. The information in these reports is used to assess the performance of implementing agency against approved performance indicators.

#### 2.4.2. *Monitoring projects*

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

A project is classified as having a delay if it is to be completed over 12 months late or where disbursement occurred 18 months or more after project approval. Such projects are monitored at each meeting for progress and are subject to the Executive Committee's procedure for project cancellations. Note that the procedure only applies to stand-alone investment projects and is not used for IS projects or multi-year agreements. The Executive Committee considers a consolidated report on project implementation delays prepared by the Fund Secretariat based on reports from bilateral and implementing agencies. Since the 73<sup>rd</sup> meeting, this information is included in the document **Status reports and reports on projects with specific reporting**<sup>21</sup>.

Projects with implementation delays are subject to the Executive Committee's procedures for project cancellation. Multi-year projects, for which the cancellation process does not apply either, have set completion date after which remaining project balances have to be returned and a project completion report submitted to the Secretariat (HPMPs<sup>22</sup>), or are covered by specific decisions which require completion of the MYA, the return of any balances and the submission of the completion report<sup>23</sup>.

The **Status reports and reports on projects with specific reporting** document also addressed projects for which status reports were requested including issues emanating from the annual progress and financial

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<sup>20</sup> In the two meeting per year scenario from 2015, with regard to progress and financial reports: bilateral and implementing agencies would be requested to submit their annual progress and financial reports to the Secretariat 12 weeks in advance of the last meeting of the year and, the consolidated progress report and the relevant progress reports of the bilateral and implementing agencies would be considered at the last meeting of the year (decision 73/70(c)(iii)).

<sup>21</sup> Prior to the 73<sup>rd</sup> meeting information on project implementation delays was contained in the Status of implementation of delayed projects and prospects of Article 5 countries achieving compliance with the next control measures of the Montreal Protocol (up to the 66<sup>th</sup> meeting) or the document Status reports and compliance (from the 67<sup>th</sup> to the 72<sup>nd</sup> meeting).

<sup>22</sup> HPMP agreements include an completion date: for HPMPs the completion the MYA and the associated Agreement will take place at the end of the year following the last year for which a maximum allowable total consumption level has been specified in Appendix 2-A of the same Agreement

<sup>23</sup> Decision 70/7(ii) asked agencies not to incur any new commitments and to return, by the end of 2013, any fund balances for projects approved before 2009, for substances with 1 January 2010 phase-out targets, plus any project preparation fund balances for some approved HPMPs; decision 71/11(b) states that relevant bilateral and implementing agencies should not incur any new commitments for a list of projects after the final date of completion, return any unused balances, and submit project completion reports by the end of 2014.

report. Status reports are requested on the basis of some project implementation issue having been identified in the annual review of progress reports of the bilateral and implementing agencies.

Pursuant to decision 53/3(c), tranche submission delays of multi-year agreements are monitored at each Executive Committee. The **Tranche submissions delay** document presents a review of the tranches not submitted to the meeting, an analysis of the reasons for non-submission and the actions taken by the Fund Secretariat on decisions on tranche submission delays taken by the Executive Committee at the preceding meeting.

## 2.5. Evaluation

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

The Executive Committee started to address evaluation in 1995 at which time it approved the preparation of evaluation guidelines. Henceforth, all project proposals included milestones for the completion of the various stages of the project. Completion reports are collected from bilateral and multilateral implementing agencies by the Fund Secretariat using standardized formats for different types of projects. The Secretariat consolidates the information from the agencies' project completion reports including lessons learned reported in tranche implementation reports (decision 48/12) into the **Consolidated project completion report**<sup>24</sup>, for the Executive Committee's consideration at each meeting. Given the wealth of information in the lessons learned section of the project completion report, the Executive Committee asked all those involved in the preparation and implementation of projects to take them into consideration, and to facilitate discussion on lessons learned during regional network meetings (decision 50/8). An online search engine to access the lessons learnt from individual and MYA PCRs is available on the Secretariat's website.<sup>25</sup>

Evaluation activities are approved on an annual basis by the Executive Committee in the form of the Monitoring and Evaluation Work Programme. Evaluations are prepared by independent consultants under the coordination of the Senior Monitoring and Evaluation Officer (SMEO). The lessons and recommendations from evaluation studies are aimed at improving the focus and mode of implementation of projects by providing information on the strengths and limitations of various types of projects and phase-out plans, the major causes of delays and action taken to overcome difficulties (for example lessons from the evaluation of TPMPs are being taken into account in the preparation of HPMPs).

*For further information see Evaluation Guide. Appendix XI.2. of Policies, Procedures, Guidelines and Criteria*

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<sup>24</sup> The completion report format for multi-year agreement projects was noted at the 65<sup>th</sup> meeting (decision 65/6). See document UNEP/OzL.Pro/ExCom/65/8. The PCR format for HCFC phase-out management plan approved by decision 75/5(e) is available in Annex III of document UNEP/OzL.Pro/ExCom/75/85.

<sup>25</sup> Available at: <http://www.multilateralfund.org/pcrindividual/search.aspx> and <http://www.multilateralfund.org/myapcr/search.aspx>

## **APPENDIX 3. MAIN PROCEDURES OF THE OPERATION OF THE EXECUTIVE COMMITTEE**

The information<sup>26</sup> below provides information on the established lines of communication between the key players in the Multilateral Fund and their role in terms of the provision of advice to the Executive Committee.

### **Communication of the outcome of Executive Committee meetings to Parties to the Montreal Protocol and beneficiary countries**

The Executive Committee is mandated by the Parties to the Montreal Protocol to oversee the operation of the Multilateral Fund; in this regard it reports annually to the Meeting of the Parties (MOP) on the activities exercised under its mandate by means of a written report presented to the high segment of the meeting by the Chair of the Executive Committee<sup>27</sup>. Executive Committee decisions regarding the approval or non-approval of projects, tranche submission delays, and project cancellations, or other matters, are communicated to relevant beneficiary countries by means of an official letter from the Chief Officer of the Secretariat following each Executive Committee meeting.

### **Overview of the interactions of the Secretariat with implementing agencies and beneficiary countries in terms of its role and responsibilities**

The Secretariat provides assistance to the Executive Committee in the framework of its specific responsibilities, which is principally in the form of the information, analysis and recommendations in pre-session documents, and clarifications and further information provided on request during the in-session of meetings. It also responds to direct queries from Executive Committee members on Multilateral Fund matters, briefs the Chair and Vice Chair on agenda items for forthcoming meetings, and provides information related to meeting logistics.

The Secretariat's responsibilities do not extend to the implementation of the Montreal Protocol, which is contracted out through specific agreements between the Executive Committee and implementing agencies. However, on some occasions the Secretariat corresponds and/or interacts directly with beneficiary countries, including for example: letters regarding Executive Committee decisions; the annual letter requesting submission of country programme implementation data; and, the annual letter on the assessment of the performance of implementing agencies. The Secretariat also has the opportunity to interact with national ozone officers at regional network meetings in order to explain decisions of the Executive Committee. Network meetings also provide an occasion for the Secretariat to hold discussions with implementing agencies, and in some cases with agencies and individual countries on specific issues.

### Specific interactions between the Secretariat and implementing agencies in advance of Executive Committee meetings

#### *Inter-agency coordination meeting*

Communications between the Secretariat and bilateral and implementing agencies are at their most intense during the preparatory phase for an Executive Committee meeting. An Inter-agency coordination meeting is scheduled between 10 and 14 weeks before each Executive Committee meeting, primarily to address the Secretariat's initial analysis of business plans, matters related to project proposals including

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<sup>26</sup> The information in Appendix 2 is based on document UNEP/OzL.Pro/ExCom/75/83

<sup>27</sup> The report of the Executive Committee to the Meeting of the Parties is prepared by the Secretariat and submitted to the Ozone Secretariat following clearance by the Executive Committee.

issues identified from projects already submitted, progress reports and other matters. Reports of inter-agency coordination meetings are available to Executive Committee members on the in-session Executive Committee meeting websites.

*Review of submissions by implementing agencies*

Submissions received by the Secretariat include project proposals, agency work programmes, specific reports on projects, verification reports, financial reports, agencies’ business plans, and agency progress reports.

An overview of the project review process is set out in Table 1 below. The interactions at each step of the process take place mainly via exchanges of correspondence (email). Discussions through telephone are also likely, the outcome of which are subsequently confirmed through correspondence. The final outcome of interactions between the Secretariat and the bilateral and implementing agencies is reflected in the relevant pre-session documents for each meeting.

**Table 1: Project review process**

<b>Process step</b>	<b>Note</b>
1. Submission of project proposal to the Secretariat by the appropriate deadline.	Project proposals should be submitted eight, 12, or 14 weeks prior to Executive Committee meetings. Multi-year agreements including first tranches such as stage I and II of HPMPs should be submitted 14 weeks in advance. Projects or tranches valued at over US \$5 million should be submitted 12 weeks in advance. All other projects or tranches should be submitted eight weeks in advance.
2. Review by Secretariat	The Secretariat checks that submissions from the agencies have all the relevant documentation as required by the Executive Committee, including the Government endorsement letter. Proposals are reviewed based on the rules and policies governing the determination of incremental costs and other relevant decisions.
3. Secretariat’s comments sent to bilateral and implementing agency /Follow-up questions	The Secretariat provides its initial comments and requests a response within five working days. Responses to any follow-up questions are expected in a shorter time-frame which usually depends on the extent of follow-up questions required.
4. Agency consideration of comments, appropriate consultation with beneficiary country and dispatch of response to the Secretariat	Agencies must obtain the endorsement of countries before providing a response to the Secretariat on matters that involve change to projects.
5. Review of agency’s response to the Secretariat	The Secretariat reviews the responses to ascertain if they fully address the comments or raise additional issues. If all issues are addressed and no further policy issues are raised, no further comments are provided.
6. Conclusion of negotiations	Steps 3, 4 and 5 may be an iterative process that must be completed in the limited timeframe for project review. No project proposals are submitted to the Executive Committee until agreement is reached between the implementing agency and the Secretariat on the cost of items of capital equipment and the operating costs required to implement the project. Where no agreement is achieved, the underlying basis of the disagreement is presented to the Executive Committee for consideration prior to consideration of the project (decision 20/15). Projects for which agreement cannot be reached on major technical eligibility issues 10 days (two calendar weeks) prior to the meeting are deferred (decision 25/15).

Process step	Note
7. Pre-session documentation drafted taking into account the agency's comments.	The Secretariat does not include in meeting documentation, proposals for projects and activities that, by the submission deadline for each meeting, did not contain the information or components necessary for the submission to be considered as potentially approvable. A list of such proposals received but not included in meeting documentation, together with the reasons for non-inclusion, is provided to the Executive Committee (decision 50/14 (a) and (b)) in the document "Overview of issues identified during project review".

The Secretariat receives endorsement letters for each project proposal submitted or, in the case of institutional strengthening (IS) projects, a signed IS renewal form. For business plans, agencies are expected to have letters for all entries and are requested to provide such letters upon request by the Secretariat.

### **Interactions of implementing agencies with beneficiary countries**

The bilateral and implementing agencies work directly with beneficiary countries under the overall guidance and review of the Executive Committee. Detailed information on agencies' procedures in the context of the operation of the Executive Committee, their interactions with beneficiary countries during the project cycle, and coordination with other implementing agencies as contained in Annex I of the present document.

Agencies confirmed that all information submitted to the Secretariat on behalf of beneficiary countries has been endorsed by the governments concerned in line with procedures currently in force<sup>28</sup>. All agencies stated that, in terms of the project cycle, consultations with beneficiary countries take place from the time of business planning, through the project preparation phase, during the review of submissions by the Secretariat, and when necessary at the time of consideration of the project proposal during the Executive Committee meeting. They also indicated that the Secretariat's comments on specific project proposals are considered in consultations with the national ozone officer concerned and the response to any changes to the project proposed by the Secretariat would depend on the decision of the beneficiary country concerned. Once a project is approved agencies have ongoing interactions with the beneficiary country, including in-country implementation support missions.

#### Coordination between the lead and cooperating implementing agencies

Multi-year agreements such as HPMPs are being implemented by two or more implementing agency in 93 of the 140 beneficiary countries with an approved HPMP. In accordance with decision 38/65<sup>29</sup>, paragraph 10 of the standard HPMP agreement includes a statement that the lead agency is responsible for ensuring co-ordinated planning, implementation and reporting of all activities including the coordination with cooperating agencies to ensure appropriate timing and sequence of activities throughout HPMP implementation. The lead implementing and the cooperating agency(ies) are required to have reached consensus on the arrangements regarding inter-agency planning, reporting and responsibilities under the HPMP agreement to facilitate a co-ordinated implementation of the plan, including regular co-ordination meetings. However, each agency must report separately on its components of all projects/tranches approved for that agency in its annual progress and financial reports, i.e., a cooperating agency's financial data and specific responsibilities for its components cannot be reported by the lead agency.

<sup>28</sup> Document UNEP/OzL.Pro/ExCom/68/47 outlined the procedures currently in force for the proposal of activities in the bilateral and implementing agencies' business plans and the submission of project proposals on behalf of governments of Article 5 countries indicating all relevant decisions.

<sup>29</sup> Guidelines for the preparation, implementation and management of performance-based sector and national ODS phase-out plans.

Bilateral and implementing agencies routinely correspond and cooperate to coordinate HPMP activities as per the established procedures. In addition lead and cooperating implementing agencies may undertake joint missions to beneficiary countries, and participate in national HPMP coordination meetings or national stakeholder's consultation organized by specific countries. All implementing agencies indicated the importance of regional networks meetings as a platform to coordinate their Multilateral Fund activities. Other meetings that are attended by all agencies such as the Open-ended Working Group (OEWG), Meetings of the Parties, and inter-agency coordination meetings are also opportunities for agencies to coordinate and resolve possible overlaps in activities, for example.

### Assessment of implementing agencies

Article 5 countries have a formal opportunity each year to raise any concerns with the Executive Committee regarding the organization and cooperation aspects of their interactions with implementing agencies through the qualitative assessment of the performance of implementing agencies carried out as part of the evaluation of the previous year's business plan. NOOs are requested to provide a confidential assessment report for each implementing agency working in their country, specifying a rating for three main qualitative performance indicators: organization and cooperation; technical assistance/training; and impact<sup>30</sup>. The Fund Secretariat compiles the results of the individual reports and presents anecdotal information to the Executive Committee while maintaining the confidentiality of the country that provided the information. In cases where an NOU gives an agency a less than satisfactory or unsatisfactory rating against one of the performance indicators, the Executive Committee would request the agency(ies) concerned to undertake open and constructive discussions with the NOU to resolve any problems and to report back to the Executive Committee on the outcome.

### **Monitoring and evaluation**

Since 1997, the Fund Secretariat has included a monitoring and evaluation function, established expressly by the Executive Committee. The Senior Monitoring and Evaluation Officer interacts directly with beneficiary countries during evaluation missions. Bilateral and implementing agencies provide support by informing governments/national ozone officers of the planned evaluation, assisting to develop the programme for field missions, and providing comments on draft desk studies and evaluations. On some occasions staff of implementing agencies may take part in evaluation missions.

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<sup>30</sup> The assessment includes several questions pertaining to each of the three indicators in order to enable the determination an overall assessment for each main indicator. NOUs have to specify a rating of 1 to 4 for the indicators with the best being 4 (highly satisfactory), 3 (satisfactory), 2 (less satisfactory), and 1 (unsatisfactory) and/or provide a narrative response to the question a place to put that optional information.

## **APPENDIX 4. INFORMATION PROVIDED BY IMPLEMENTING AGENCIES ON THEIR PROJECT CYCLE AND INTERACTIONS WITH SECRETARIAT, OTHER IMPLEMENTING AGENCIES AND ARTICLE 5 COUNTRIES**

### **4.1. UNDP**

UNDP provides support to developing countries to implement the Montreal Protocol through a dedicated Montreal Protocol Unit (MPU) which is located within its Sustainable Development Cluster, Bureau for Policy and Programme Support. MPU is the focal point for UNDP's Montreal Protocol worldwide programme, and responsible for programme and financial oversight and reporting to the Executive Committee (ExCom) of the Multilateral Fund for the Implementation of the Montreal Protocol (MLF). The Unit is headed by the Director at D-1 level. Technical backstopping for projects is provided by its staff based in three regional centres (3 staff members in Bangkok, 2 in Istanbul and 4 in Panama) as well as 6 staff in headquarters in New York.

MPU recruits experts on 'as needed' basis to meet the needs of programmes and projects for a specialized experience. The recruitment of experts follows UNDP's elaborate rules and procedures. Simple scheme of the procurement process is explained below. MPU staff develops detailed Terms of Reference. Available consultancies are announced using UNDP jobs and procurement sites as a minimum (UNDP also tries to reach qualified experts using other channels). Then a panel established to review the information submitted by applicants, following which the recommendation is made for the selection. Depending on the size of contracts it may go through UNDP's Contracts, Asset and Procurement Committee's review before being finally approved.

The Unit is responsible for programme development and technical project monitoring and reporting to ExCom. Most of UNDP projects funded by MLF are implemented utilizing the National Implementation Modality (NIM). The rationale for NIM stems from the fact that UNDP provides support through programmes and projects that are intended to strengthen national capacities and expand the options and opportunities available to partners and beneficiaries in programme countries.

As implementing partners, government institutions are responsible for the implementation of a development cooperation project pursuant to UNDP Regulations and Rules. The implementing partner is accountable to UNDP for the resources entrusted to it, just as UNDP is accountable to the Government to ensure that its support is in line with national priorities.

Under some specific circumstances, UNDP can utilize other implementation modalities such as UN Agency implementation, NGO implementation, and direct implementation by UNDP. UNDP Country Offices are vehicles to ensure the projects are implemented using NIM since they have functioning processes adapted to circumstances of the country.

#### ***Interactions with Governments of Article 5 countries***

Relevant MPU staff in regional centres (Bangkok, Istanbul, Panama) is in continuous contact with national ozone officers or units (NOO or NOU) of countries where MPU has ongoing programmes and projects. These interactions are done by email and phone. Face-to-face meetings are organized when necessary and at UNEP's regional network, OEWG and MOP meetings. Interactions are also supported by UNDP country offices when required especially if they are related to administrative and logistical aspects of projects implementation.

Official government letters can be sent by respective governments and received by UNDP whenever there is an issue Government wants to raise using official communication channels. Having said so, most issues are typically resolved informally via email or phone.

With regards to business planning, based on priorities identified in Country Programme, the National Ozone Focal Points in Governments send a letter of interest to MPU to work with the UNDP team. The UNDP Country Office is involved in this process at times. Once the MPU unit receives this endorsement from the government, the Headquarters team develops the Business Plan based on a compliance model.

Official government letters endorsing project proposals to be submitted to MLF are usually received after the proposal is developed (in most cases with participation of Government representatives) satisfactorily addressing all comments/concerns of Governments and prior to the submission of the proposal to MLF.

Operating philosophy: MPU assists countries only on their specific request and focuses on developing local human resources and institutional capacities and uses local talent wherever possible. This is why NIM modality is used almost everywhere.

### ***Project development and implementation***

The description of minimum requirements for project development and cycle of UNDP projects follows. Please note that depending on the context of the project or a country there could be modifications added.

Requests for assistance for project development and implementation can come from an Article 5 country to UNDP (either to a Country Office, Regional Centre, or to Headquarters).

Then the assigned staff member of MPU at one of regional centres (Bangkok, Istanbul, or Panama) holds consultations, engages required experts/consultants, and assists the Government to develop a proposal which meets MLF requirements and national needs. MPU staff member oversees the process ensuring that the National Ozone Unit is kept fully abreast of the development of the proposal.

Once consultations ascertain that the proposal meets all requirements (both of the Montreal Protocol and country), the proposal is forwarded to the relevant Ministry (usually the Ministry of Environment) for formal review and endorsement for submission to MLF. Once the endorsement is received, the proposal is submitted to the MLF Secretariat for review, feedback, and dispatch to the Executive Committee.

With regard to implementation modalities, as already mentioned, the NIM modality is used almost everywhere. In some cases, Governments implement themselves, following their own rules and regulations, but complying with UNDP rules as well. In other cases, Governments can request UNDP country offices to play a bigger role in procurement, recruitment, contracting, etc. Finally, especially in larger countries, implementation takes place with a more significant role of either the Government or the recipient enterprises through, respectively, letters of agreements (LOA) or memoranda of agreement (MOA).

### ***Specific interactions with Governments***

#### **Comments on project proposals from the Secretariat**

Once comments [on a project proposal] from the MLF Secretariat are received, an MPU staff member ensures that they are considered in consultations with experts and the national ozone unit. In case of substantial changes to the agreement proposed by the MLF Secretariat, then the government's position is specifically sought and the further action depends on NOUs decision.

### Issues raised on project proposals during Executive Committee

In cases when additional substantial issues are raised during the ExCom meeting which may lead to significant alteration of the proposal, UNDP endeavours to contact relevant NOO, explain the issues, provide background, outline potential solutions, and seeks the decision. However, these can be quite challenging due to the time difference between the ExCom meeting place and a country, availability of reliable communication channels, etc.

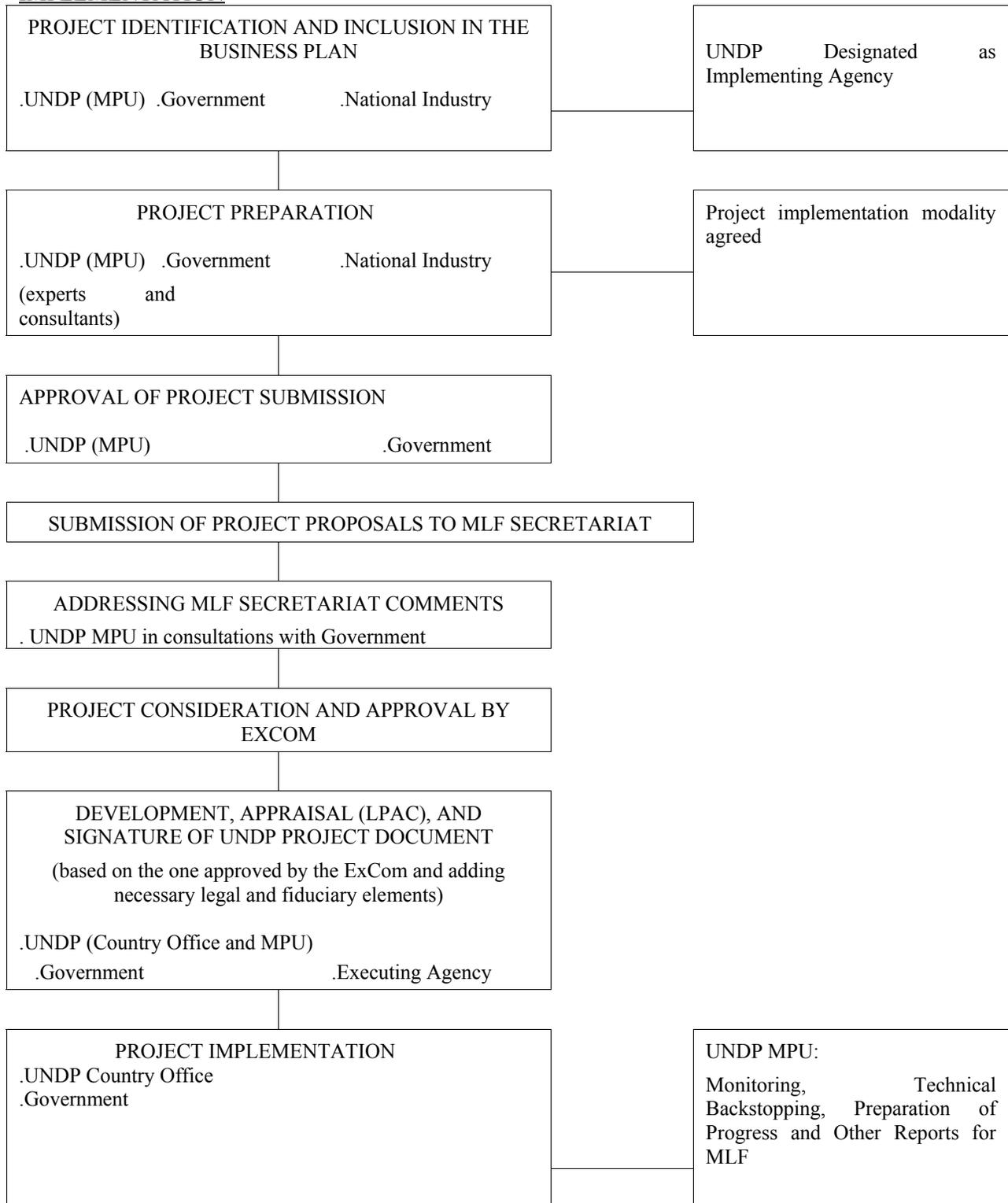
### Interactions with Governments following the approval of a project

After the approval of the funding by the ExCom, MPU informs relevant governments and UNDP country offices. The country office develops a project document in UNDP format which, in addition to the proposal approved by ExCom, includes items like management arrangements, legal context, etc. UNDP project document serves as a mechanism which assures that MPU can exercise its fiduciary role vis-à-vis MLF funding.

The draft UNDP project document undergoes special appraisal during a meeting (Local Project Appraisal Committee, LPAC) with participation of Government representatives (not limited to NOU and usually at a higher level), interested stakeholders, UNDP country office, etc. Once the members of the appraisal meeting are satisfied with the project document, Director of MPU delegates the authority to sign the project document to UNDP Resident Representative in the country. Then the project document is signed at least by UNDP Resident Representative and a responsible person at a relevant Ministry (usually Minister or Deputy Minister). In some countries, also a representative of the Cabinet of Ministers approves and signs the project document.

Figure 1: UNDP’s simplified project cycle

SUMMARY OF UNDP PROCEDURES FOR MLF-funded PROJECT DEVELOPMENT AND IMPLEMENTATION



*Coordination with other bilateral and implementing agencies*

In case when UNDP is a lead agency, it organizes the process of developing project proposals ensuring that each participating agency has opportunity to contribute. Sometimes, it takes a form of a joint meeting of Implementing Agencies and the Government to discuss and agree the planning process, drafts, etc.

In case when UNDP is a cooperating agency, it follows the process of coordination established by the Lead Agency. In case the lead agency doesn't organize formal interaction with the Government, UNDP does it for the component under its responsibility.

**Evaluation**

Based on the information and request from the Senior Monitoring and Evaluation officer (SMEO), UNDP provides necessary support to the evaluation including, but not limited, to informing government counterparts of the planned evaluation, supporting to develop an agenda of a field, visit, providing the expert information, etc.

## 4.2. UNEP PROCEDURES AND PROJECT CYCLE UNDER THE MULTILATERAL FUND (12 OCTOBER)

This paper is provided in response to the Multilateral Fund Secretariat's request following the Inter-Agency Coordination Meeting (31 August-2 September 2015), concerning UNEP's procedures in the context of the operation of the Executive Committee.

### **MONTREAL PROTOCOL UNIT'S LOCATION WITHIN AGENCY**

UNEP's role as an Implementing Agency of the Multilateral Fund for the Implementation of the Montreal Protocol is fulfilled by the OzonAction Branch, located within the Division of Technology, Industry and Economics (DTIE). The Branch is the focal point for UNEP's worldwide Montreal Protocol programme, and is responsible for programme implementation and monitoring, financial oversight, and reporting to the Fund's Executive Committee.

### **AGENCY'S MODE OF OPERATION MANAGEMENT AND STAFFING**

Since 1991, UNEP as an Implementing Agency of the Multilateral Fund has been strengthening the capacity of governments — particularly National Ozone Units (NOUs) — and industry in Article 5 countries to elaborate and enforce the policies required to implement the Protocol and make informed decisions about alternative technologies and meet and sustain compliance obligations. This is done through:

Compliance Assistance Programme (CAP) services. The CAP provides country-specific special compliance services, operates 10 Regional Networks of Ozone Officers, facilitates South-South cooperation, assists with regional awareness activities, and provides a global Information Clearinghouse<sup>31</sup> that serves NOUs through information, communication, education, electronic knowledge management and capacity building activities.

Project implementation. In addition to the above services, CAP is also responsible for developing and delivering the Multilateral Fund projects approved for UNEP as per its Business Plan. These mainly comprise Institutional Strengthening projects (105) and HCFC Phase out Management Plans (HPMPs). UNEP provides support as the Lead Agency in 71 HPMPs and as the Cooperating Agency in 30 countries, hence UNEP assists 101 Article 5 countries in total with their HPMPs. CAP also implements certain Multilateral Fund projects on behalf of bilateral partners, and performs the project development, monitoring and reporting duties required of all Implementing Agencies.

CAP provides global management services to ensure that NOUs are given adequate advisory services, capacity building and technical assistance to implement activities approved by the Executive Committee of the Multilateral Fund. Support is provided to countries in managing the HCFC phase out, developing and proposing project submissions to the Executive Committee, measuring the impact of HCFC phase out, analysing the HCFC baseline data and ODP, and specific assistance with analysing country compliance data and obligations under the Protocol. CAP also supports all countries with verification reporting and data audits. At the same time, the global management services ensure that the Executive Committee receives timely, accurate, relevant and high-quality information about the implementation of actions on the ground with reflecting changes in countries' demand and priorities.

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<sup>31</sup> Article 10, para 3(b) of the Montreal Protocol.

UNEP strategically reoriented its approaches and delivery mechanisms in 2002 by creating the CAP to help Article 5 countries better cope with demands of the Protocol's compliance period. Under the CAP, the majority of the staff are located in UNEP's Regional Offices, where they closely interact with countries on a day-to-day basis to help them achieve and sustain compliance with Montreal Protocol obligations. This regional delivery mechanism is a distinct feature of the OzonAction. The Head of Branch (D-1 level) leads OzonAction, with the support of the Network and Policy Manager, both based in Paris. CAP staff are based in 5 locations: Latin America — Panama (two networks); Africa — Nairobi (two networks); West Asia — Bahrain (one network); Asia Pacific — Bangkok (three networks) and the OzonAction Branch at DTIE — Paris (one network and Paris staff).

The regional CAP staff are in regular contact with the NOUs in their region, including those countries for which UNEP is responsible for implementing projects as well as those countries to which UNEP only provides CAP services (CAP works with all 147 Article 5 countries). These interactions are done through a combination of email, Skype, telephone, and face-to-face meetings. The latter are done during country missions related to CAP services and/or project implementation/monitoring, the meetings of UNEP's Regional Network of Ozone Officers, and international Montreal Protocol meetings such as the OEWG, MOP and Executive Committee.

### **HOW EXPERTS/CONSULTS ARE RECRUITED**

OzonAction recruits experts on an as-needed basis for projects and activities for which specialized expertise or additional support is required to supplement CAP staff. Following the development and approval of the detailed Terms of Reference, the experts are recruited according to UNEP's financial and administrative rules and procedures. For contracts with a duration of 6 months or longer, this includes global advertisement on the UN Inspira system. To apply for a consultancy position, candidates must register on the same system. Once the recruitment process is completed, the consultant is offered a contract known as a Special Service Agreement (SSA).

### **BUSINESS PLANNING**

#### *Business planning*

The focus and orientation of UNEP's business planning continues is defined by the evolving needs of Article 5 countries as they progress in their implementation of the Montreal Protocol, and as they meet and sustain compliance with specific obligations. UNEP uses the following methodology when developing its annual rolling 3-year Business Plan:

- During the first half of the year, UNEP consults with Ozone Officers in Article 5 countries on their countries' business planning needs, through dialogues during meetings of Regional Networks of Ozone Officers, as well as via direct contact with Ozone Officers.
- UNEP reviews and draws experiences gained from implementation of its previous Business Plan, taking into account new trends and emerging developments.
- UNEP considers the programmatic direction and activities included in its approved CAP Work Programme and Budget (see next section).
- UNEP used the Multilateral Fund's consolidated Business Plan endorsed by the Executive Committee as a guidance document for resource planning for the triennium and identification of countries requiring assistance.
- UNEP follows the guidance provided by the Multilateral Fund Secretariat including but not limited to that received during the year's Inter-Agency Coordination Meetings.
- UNEP consults with the other Implementing Agencies and bilateral agencies to increase collaborative and mutually-supportive initiatives and to avoid duplication of effort.

- UNEP considers various Executive Committee decisions as guidance for the Business Plan.

### *CAP planning*

The CAP established in 2002 reflected the needs of Article 5 countries at that time to support those countries during the initial compliance period of the Montreal Protocol. In 2009, the Executive Committee approved a re-alignment of CAP to respond to Article 5 country needs in the current and changing landscape of the Montreal Protocol. From that time forward, UNEP's strategy for CAP has been based around a series of overarching objectives (formerly "tracks") for its client Article 5 countries. UNEP has adjusted these objectives over time to reflect the current situation and needs of the countries.

UNEP develops its annual CAP Work Programme and Budget based on the current and anticipated needs of Article 5 countries in the context of the current and upcoming compliance commitments under the Montreal Protocol as assessed by the CAP teams, drawn from various sources including *inter alia* direct feedback collected during meetings of the Regional Networks of Ozone Officers and through consultations with NOUs, bilateral Implementing Agencies and through the Business Planning process, and the advice received during the Compliance Advisory Group meeting. It also reflects compliance-related decisions taken through the Meeting of the Parties (MOP), the Open-ended Working Group (OEWG), the Implementation Committee meeting, and the Executive Committee meetings. It also considers the Multilateral's latest Status Reports and Compliance.

### **PROJECT CYCLE**

The typical project cycle for UNEP is as follows:

- An Ozone Officer contacts one of the regional CAP staff and proposes an idea for a new project. In some cases, CAP staff may suggest a project idea based on a country's needs that it identifies, for the consideration of the Ozone Officer.
- The CAP staff advises whether or not it is an eligible project that meets Executive Committee policies and procedures.
- If so, the idea is proposed as part of the UNEP's annual Business Plan.
- After the Business Plan is endorsed by the Executive Committee, and at the appropriate time before the anticipated project submission date, the CAP staff interacts with the Ozone Officer to jointly develop a project proposal according to the standard format agreed by the Executive Committee.
- Once drafted, it is reviewed by the regional CAP team for quality, completeness and conformity to Executive Committee guidelines.
- The Ozone Officer and the regional CAP staff then revise the project proposal as required. Once it is deemed to be of sufficient quality, it is sent to CAP Paris for review.
- CAP Paris reviews the document for quality, completeness and conformity to Executive Committee guidelines, and provides the feedback to the regional CAP staff.
- The Ozone Officer and the regional CAP staff then revise the project proposal as required.
- Once it is deemed to be of sufficient quality, and the Ozone Officer provides the regional CAP staff with an official government endorsement letter, the regional CAP staff sends both documents to CAP Paris for final review.
- CAP Paris reviews the revised document and once it is considered complete, it submits the project and endorsement letter to the Multilateral Fund Secretariat for review, copying the regional CAP staff involved in the project development.
- The regional CAP staff separately informs the Ozone Officer that the project has been submitted to the Multilateral Fund Secretariat by UNEP on behalf of its Government.

## PROJECT REVIEW BY THE SECRETARIAT

The standard project review process for UNEP is as follows:

- The Multilateral Fund Secretariat sends its initial comments by email to UNEP Paris and copied to the regional CAP staff indicated on the project submission email.
- The regional CAP staff contact the Ozone Officer and together formulate the response to the comments and/or revised project proposal within the allotted 5 working days.
- Once completed, and following the Ozone Officer's agreement, the regional CAP staff sends the draft response and/or revised project proposal to UNEP Paris, which reviews it for quality, completeness and conformity to Executive Committee guidelines.<sup>32</sup>
- CAP Paris reviews the draft response and/or revised project proposal and once it is considered complete, CAP Paris submits the response to the Multilateral Fund Secretariat, copying the regional CAP staff involved in the project development.
- The regional CAP staff separately informs the Ozone Officer that the response and/or revised project proposal has been submitted to the Multilateral Fund Secretariat by UNEP on behalf of the Government.

## INTERACTIONS WITH THE GOVERNMENT

In cases in which the Executive Committee during one of its meetings has significant technical, administrative or financial question about a project proposal submitted by UNEP, UNEP's delegation contacts the relevant regional CAP staff by telephone, email or Skype. That staff in turn contacts the Ozone Officer to obtain the reply during the meeting itself, which the UNEP delegation then conveys to the Executive Committee for its consideration.

## PROCESS FOLLOWING PROJECT APPROVAL

Within two weeks after each Executive Committee meeting, UNEP sends an official letter to the respective Article 5 country, addressed to the appropriate high level official in the government and copied to the Ozone Officer, informing them that the project was approved for UNEP implementation, the amount of funding, and any condition made by the Executive Committee.

For the subsequent project implementation with Article 5 countries, UNEP principally uses three types of legal agreements:

Project Cooperation Agreement (PCA), used when UNEP assigns implementation of a set of activities to a partner within a mutually-agreed collaborative project, and transfers more than US\$ 200,000.

Small Scale Funding Agreement (SSFA), used when UNEP assigns implementation of project activities to a partner within a mutually-agreed collaborative project, and transfers over US\$ 30,000 at once or cumulatively UNEP-wide to the same partner, up to US\$ 200,000.

De Minimis Funding Agreement (DMFA), used when UNEP assigns implementation of project activities to a partner within a mutually-agreed collaborative project, and transfers up to US\$ 30,000 to the same partner.<sup>33</sup>

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<sup>32</sup> Due to time constraints, the regional CAP staff may interact directly with the Multilateral Fund Secretariat on the above matters, but always consulting and copying CAP Paris.

<sup>33</sup> According to UNEP headquarters, consolidations of these three types of legal instruments is planned in 2015.

Under some specific circumstances, UNEP can also use other implementation modalities such as UN to UN Agency Agreements, NGO implementation, purchase orders, and direct implementation by UNEP.

The process for development and agreement of legal agreements is as follows:

- The regional CAP staff drafts the legal agreement based on the project approved by the Executive Committee and proposes it to the Ozone Officer.
- The Ozone Officer and the regional CAP staff revise the legal agreement as required. Once it is deemed to be of sufficient quality, it is sent to CAP Paris for review.
- CAP Paris reviews the draft legal agreement for quality, completeness and conformity to both Executive Committee guidelines and UNEP financial rules and procedures, and provides the feedback to the regional CAP staff.
- The Ozone Officer and the regional CAP staff then revise the legal agreement as required.
- Once it is deemed to be of sufficient quality, the regional CAP staff sends the revised legal agreement to CAP Paris for final review and clearance by the Head of OzonAction.
- CAP Paris reviews the revised document and once it is considered complete, it submits the legal agreement to DTIE management for signature.
- Once it is signed, CAP Paris sends two original hardcopies to the regional CAP staff.
- The regional CAP staff then send the document to the Government for signature.
- Once an original hard copy is returned to UNEP with both signatures, the project implementation begins (usually involving a first disbursement upon signature).

Under PCAs, SSFAs and DMFAs, the implementing partners are responsible for the implementation of the project pursuant to UNEP's financial regulations and rules, and is accountable to UNEP for the resources entrusted to it. In cases where the country requests that UNEP implement a portion of an approved project (i.e. direct implementation), the amount of funds retained by UNEP and the activities to be undertaken with the approval of the Government is described in the legal agreement. In some cases where the establishment dedicated government bank accounts is impractical or inefficient for a country, UNEP may disburse funds to government partners via UNDP Country Offices as stipulated under the legal instruments signed between UNEP and the Government.

In addition to the project development and submission process, the regional CAP staff regularly interact with Ozone Officers with regard to project monitoring, financial and substantive reporting and project completion.

As of January 2014 UNEP has adopted the International Public Sector Accounting Standards (IPSAS) and from June 2015, it has implemented Umoja, the new Enterprise Resource Planning (ERP) system to manage Procurement, Finance, Supply Chain, Logistics and Human Resources.

## **COORDINATION WITH OTHER AGENCIES**

Multi-agency coordination related to HPMP implementation occurs on two levels: between the implementing agencies, and between the NOU/Government and the implementing agencies. In the first case, implementing agencies routinely work together and coordinate HPMP preparation or HPMP tranche implementation. Multi-agency coordination may also take place by bringing together implementing agencies and the NOU/Government. The requirements for this level of coordination increases due to the complexity of the HCFC phase out, and is usually organised by the concerned Government.

In projects where UNEP is the Lead Agency of the HPMP, it organizes the process of developing project proposals ensuring that each participating agency has the opportunity to contribute. Sometimes this takes the form of joint meetings of the Implementing Agencies and the Government to discuss and agree to the planning process, review drafts, etc. The national stakeholder's consultation meetings under the HPMPs are also used as a platform for interaction between the implementing agencies and the NOU/Government. In projects where UNEP is the Cooperating Agency, it follows the process of coordination established by

the Lead Agency. In case the Lead Agency doesn't organize formal interaction with the Government, UNEP does so for the component under its responsibility.

Moreover, as UNEP operates 10 Regional Networks of Ozone Officers, it should be highlighted that the networking is also used as the platform by all partner implementing agencies, bilateral partners as well as the Multilateral Fund Secretariat and Ozone Secretariat to assist Article 5 countries in implementation of the Montreal Protocol objectives, including coordination activities related to project proposals and implementation. UNEP also regularly organises training for new Ozone Officers with the main objective to strengthen the capacity of NOUs and to provide them with key information, techniques, products and tools enabling them to keep the country in compliance with its obligations under the Montreal Protocol. This activity is also usually done in cooperation with other implementing agencies.

## **EVALUATION**

Based on the information and request from the Senior Monitoring and Evaluation officer (SMEO), UNEP provides requested support before, during and after evaluations including, but not limited, to informing Ozone Officers of the planned evaluation, supporting arrangements field visits and providing inputs to drafts.

### 4.3. UNIDO

#### **IA unit's location in UNIDO**

UNIDO's Montreal Protocol team is responsible for providing assistance to developing countries and countries with economy in transition in the planning, development and implementation of national phase-out plans and sector phase-out plans, in order to ensure compliance with the Montreal Protocol, to support governments in their related functions, and to create or promote appropriate sustainable industrial technologies to be utilized within these plans. Implementation of the Programme financed by the Multilateral Fund is the responsibility of the Environment Branch at the Programme Development and Technical Cooperation Division. There are two units, Montreal Protocol Unit (MPU) and Emerging Compliance Regimes (ECR) Unit under the Environment Branch, which are dedicated to implement ODS phase-out programmes.

#### **Agency's mode of operation Management and staffing**

The Environment Branch is headed by the Director at the D1 level. Both MPU and ECR Units are headed by a Unit Chief, each at the P-5 level. Technical backstopping for projects is provided by 7 project managers from MPU and 3 project managers at ECR located at UNIDO's headquarters in Vienna. The Units are also assisted by 52 UNIDO field offices in the implementation and coordination of projects in the field.

#### **Recruitment of experts/consults**

The Environment Branch recruits experts to meet additional needs of the programme and projects. The recruitment of project personnel follows UNIDO's Framework for the Recruitment and Administration of Personnel under Individual Service Agreements. First, MPU staff develops a detailed Terms of Reference. Based on the criteria defined in the Terms of Reference, the project manager can staff a suitable candidate from UNIDO's Resource Pool. If no suitable candidate is available in the Resource Pool, the project manager can search in the Talent Pool and shortlist at least 3 suitable candidates for the assignment, for which a panel is established to review the information submitted by applicants and make a recommendation for selection. If no suitable candidates can be found in the Talent Pool, then a vacancy announcement is posted on UNIDO's website. Once the candidate is selected, Human Resources Management (HRM) recommends or reviews the level and fee for consultants being recruited.

#### **Business planning**

UNIDO MPU's Business Plan is prepared based on the previous rolling business plan, taking into consideration the approvals and experience of previous years, the requests received from Article 5 Countries, priorities established and the relevant decisions taken by the Executive Committee.

The Business Plan is:

- (a) based on the level of replenishment decided by the Parties;
- (b) based on the intersectorial priorities and strategies contained in the Country Programmes;
- (c) consistent with the agreed commitments of the Country under the Montreal Protocol;
- (d) used as a basis for projecting beyond the period of the current replenishment;
- (e) contains approved multi-year projects and all new activities.

**Project cycle, preparation of project documents, clearance by the Government, submission to the Fund Secretariat.**

UNIDO project cycle for MLF funded projects follows the below structure:

- Country request through an official letter from the Government to UNIDO for inclusion in the business plan;
- Business Plan submission, discussions; The Executive Committee notes the consolidated business plan for the Multilateral Fund;
- Draft Business Plan is presented to UNIDO's top management (Executive Board);
- Responsible staff is appointed by the Branch Director, request for funding for project preparation, discussion with the Country, discussion with MLF Secretariat (eligibility of approach, costs) and Excom approval;
- Submission of project proposals, discussion with the Country, discussion with MLF Secretariat (eligibility of approach, costs) and Excom approval;
- Project implementation takes place in close cooperation with the NOU and other national stakeholders, if any; and with the cooperating implementing agency/ies, if any. When necessary/required national/international consultant(s) involved.
- Projects are being implemented in line with UNIDO's rules and regulations. Projects are requested to be registered in UNIDO's ERP system, including the Portfolio and Project Management and the Finance modules. According to requirements, all projects are integrated in a logical framework with relevant outcomes, outputs, activities and indicators.
- Most projects are implemented directly by UNIDO without any financial intermediaries or executing agencies, including direct procurement of equipment and services.
- In certain cases, implementation takes place with a more significant role of the Government through an agreement, which also respects UNIDO's rules and regulations.

**Project review by the Secretariat: interactions with the Secretariat and Government following receipt of comments from the Secretariat**

Following the receipt of comments from the Secretariat, UNIDO sends them without delay to the country and the relevant implementing agencies' attention. UNIDO evaluates the observations and drafts the recommended responses and consolidates the inputs and gets clearance on the final response from the country in question. In case it is necessary, technical expert is contacted to finalize the submission. The modified project proposal, as agreed by the country is re-submitted to the Secretariat.

**Consideration of projects by the Executive Committee: Interactions with the government that take place the time of the Executive Committee meeting**

UNIDO participates in the Executive Committee Meetings as an observer; however, its role in providing assistance and recommendations to the countries upon request before and after the sessions is important. In the event that substantial issues are raised by the Executive Committee regarding a project proposal presented by UNIDO on behalf of a government at the Executive Committee meeting, which had not been discussed between the government concerned and UNIDO before the meeting, UNIDO tries to contact the government concerned to explain the requested/proposed changes and to seek the government's agreement to such changes.

**Process following project approval– grant agreements, financial monitoring etc.**

The first milestones after the project approval are the following:

- Project approval documents issued;
- UNIDO arranges the grants allocation in cooperation with UNIDO Finance. Grants are allocated to the projects on output level according to the logical framework structure of UNIDO ERP's Portfolio and Project Management module;
- Work Plan agreed with the NOU.

**Coordination with other agencies**

UNIDO's MP team successfully cooperates with all the Implementing Agencies of the Multilateral Fund. As a lead agency, UNIDO manages the process of project design, coordination with relevant parties, submission of proposal, implementation, monitoring and reporting. The cooperating agency/ies is/are involved and are kept informed throughout the process of project development, submission and negotiation. If required/necessary, missions to the project site are arranged with the involvement of the cooperating implementing agency/ies.

As a cooperating agency, UNIDO participates in the project design, implementation, monitoring and reporting while primarily focusing on the project components that are under her responsibility.

In both cases, UNIDO aims to keep close relationship with the Countries' National Ozone Unit: the implementation process of the relevant project components/activities is regularly followed up by UNIDO's project managers and national/international consultants. This ensures that effective actions are taken on critical issues such as resolving bottlenecks. UNIDO keeps in contact with the Countries primarily in writing via email and on the phone. On the occasion of events and missions to the Country, meetings are arranged.

UNIDO tries to attend all Regional Network Meetings and respective workshops, which are opportunities to coordinate with implementing agencies and Countries.

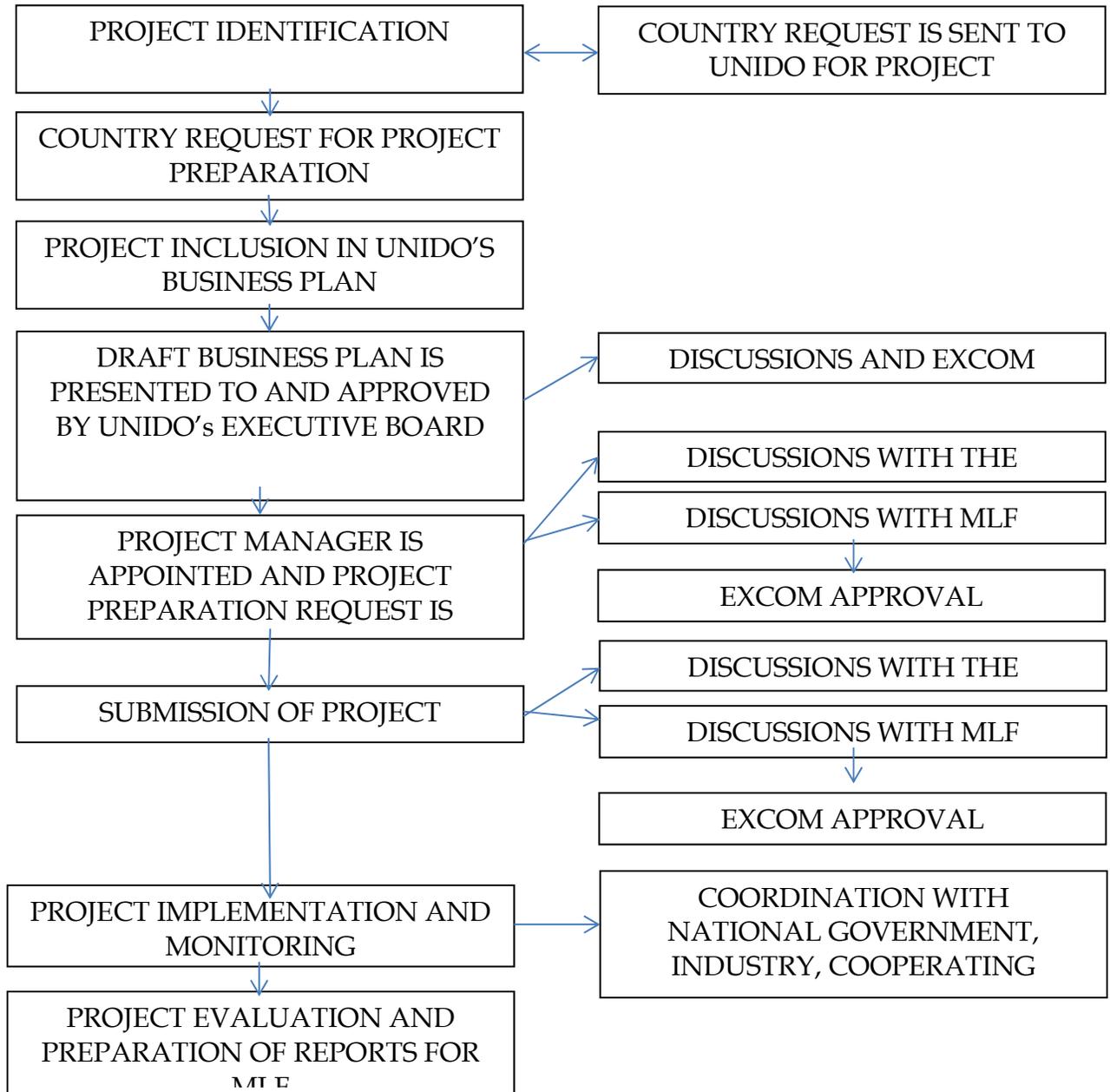
UNIDO interaction with Article 5 countries and the Secretariat during an MLF funded evaluation

Based on requests from the SMEO on upcoming MLF funded evaluations, UNIDO provides necessary support and information to the evaluation. This entails informing Article 5 government counterparts of the planned evaluation and requesting additional inputs, providing technical explanations and data, as well as reviewing and commenting on draft evaluation reports or desk studies. In addition, when possible, UNIDO sends staff or consultant to participate in evaluation field missions.

Diagram of UNIDO project cycle

**UNIDO INTERNAL PROCEDURES**

**STAKEHOLDERS' PARTICIPATION**



#### 4.4. World Bank

##### *Overview*

In its capacity as one of four Implementing Agencies of the Multilateral Fund for the Implementation of the Montreal Protocol, the World Bank Group (WBG) channels grant funding to partner countries for investment operations as well as technical assistance and institutional strengthening. It administers and manages Montreal Protocol (MP) Operations through the Ozone Trust Fund (OTF).

World Bank MP Operations comprises a central coordination unit that is responsible for business planning, program management and promotion, portfolio monitoring, and progress and financial reporting to the MLF Executive Committee, and, project teams that prepare, administer and oversee MP projects. The coordination unit also provides technical backstopping to MP project teams mapped to the Bank's Global Practices and/or the Bank country offices known as Country Management Units (CMUs). The MP coordination team is made up of 6-8 staff and is headed by the Program Manager. Project teams consist of 4 to 12 staff, depending on the size and demands of the project. All teams must have financial management and procurement specialists.

The coordination unit manages the Ozone Operations Resource Group (OORG), a group of internationally recognized experts who provide as-needed technical support to MP Operations, including project review. In addition to the OORG, project teams will often engage the assistance of local and international consultants to provide targeted support to their projects and/or retain a staff member from the coordination unit who is familiar with MLF policies and procedures. Recruitment of short-term consultants follows established Bank policy and procedures on the selection and use of consultants for operations.

In World Bank projects, the country recipient is fully responsible for project implementation in accordance with Bank policies and procedures. In some cases, a national financial intermediary satisfactory to the country and the Bank will be used. Funding is provided to the country through a designated project account to implement project components as captured in the project grant agreement (GA). In Bank project legal agreements, the country is normally represented by ministries of finance, however the entity tasked in carrying out an MP project, usually the ministry of environment is also officially designated in the GA. Detailed procedures for country subproject implementation, monitoring and reporting, financial management, procurement and environmental management are included in a project operation manual.

##### *Business Planning*

The MP coordination team initiates annual business planning with a request to project teams to list ideas for new projects and activities that have stemmed from country dialogue at the project level. If a country is interested in working with the Bank, it may also reach out to the Bank country office (CMU). In addition, through engagement in international and regional MP meetings, the MP coordination team will at times receive requests directly from countries that it in turn are vetted with project teams and the relevant CMUs. Finally, the coordination unit works with management in operations to strategically assess business opportunities in the context of the World Bank's larger development assistance program. Once countries have confirmed their interest for the proposed work in an endorsement letter to the Bank, the coordination unit assembles the business plan in accordance with MLF Executive Committee and Secretariat guidance.

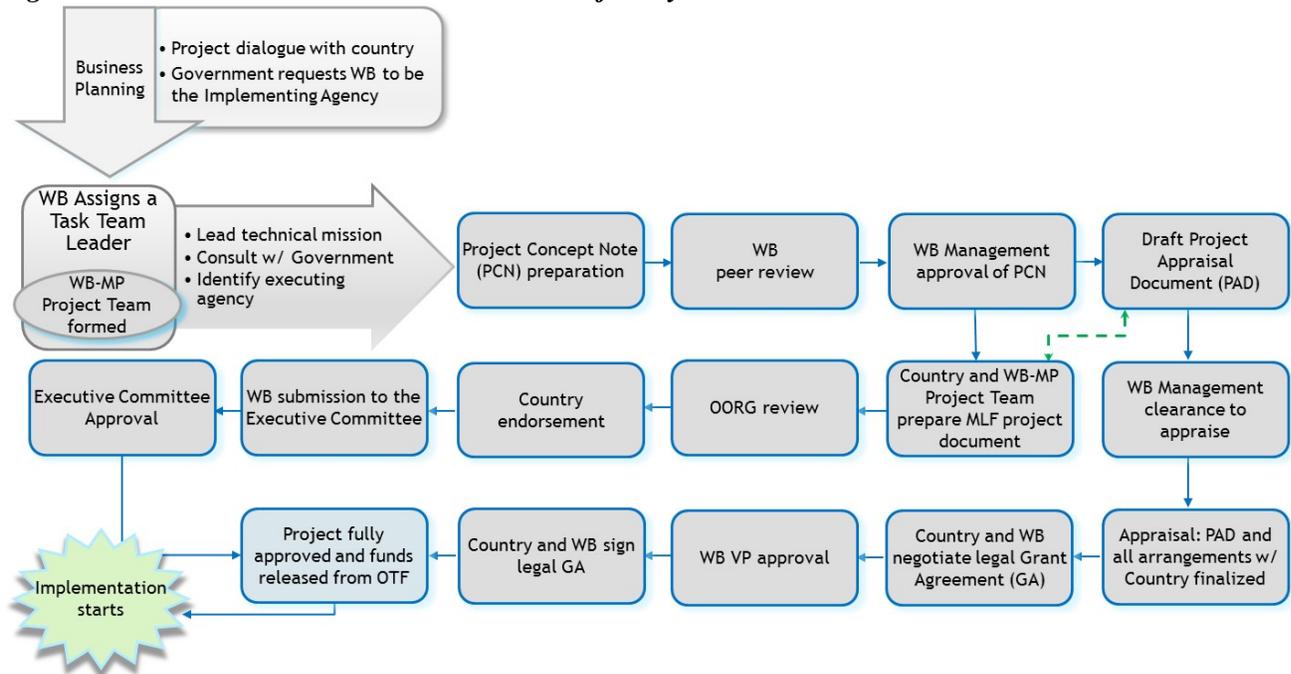
### *MP Project Cycle at the World Bank*

The project cycle for new MP engagement with a country generally follows that of World Bank Investment Project Financing. In order to operate within the Multilateral Fund's business model, special Bank operational policy and business procedures were introduced in the early 1990s for MP projects. The main feature of the policy was the umbrella project modality that allowed for more frequent MLF subproject approvals to be absorbed in an already existing Bank MP umbrella project. With the advent of HCFC Phase-out Management Plans under the MLF, Bank MP projects are usually equivalent to the terms agreed in principle in multi-year agreements (MYAs). The Bank's MP project cycle is summarized as follows:

- (a) A Task Team Leader (TTL) is assigned by management at project inception. To initiate formal project discussions, the TTL leads a technical mission to consult with the government on the project and the necessary measures which must be taken to ensure its preparation, approval and eventual implementation. In the context of most Bank projects, this includes identification of the executing agency to handle subproject appraisal and disbursement of funds for project execution. Working with the country early in the process on implementation arrangements and to determine the terms of procurement, disbursement and subproject eligibility criteria are critical to ensuring timely implementation of MP Bank projects.
- (b) Following the initial mission, a project concept note (PCN) is drafted and presented at a meeting for peer review, and to World Bank management for decision to proceed with project preparation. The PCN includes the development objective and main project components, and preliminary information on expected results, risks and environmental and social safeguard issues. The PCN will draw from any project preparation work started in the context of a new MLF project.
- (c) Once management has provided the TTL and project team the green light to proceed with preparation, a draft project appraisal document (PAD) is developed. This document is the primary vehicle that the Bank later uses to obtain internal approval of a project. It is prepared in parallel to the MLF project document done separately by the country and the Bank project team in accordance with Executive Committee decision and guidance, and the country's needs and priorities. Consequently, the PAD combines components required under the MLF in addition to components required by the Bank. Along with the PAD, other required documents are prepared by the Bank and the country (such as environment safeguard documents project operation manual, procurement plan, and consultant terms of references) for purposes of appraisal.
- (d) After the MLF project document is reviewed by relevant OORG experts and finalized, the country will obtain internal clearance to endorse project submission by the Bank to the Fund Secretariat for Executive Committee approval. The Bank can proceed with the last steps of the Bank project preparation cycle, the appraisal stage, when the Executive Committee has approved the main MLF project document, usually an MYA, upon which the PAD is largely based. The Executive Committee decision approving funding for the project might include some changes and/or one or more conditions which would then be integrated into a revised MLF project document. This entails onsite, MP project appraisal where all financial, implementation, monitoring and reporting arrangements are finalized with the country. Depending on the project design and needs, some steps for contracting work can begin as long as agreed procedures are followed. In some cases, the PAD will comprise several MLF projects that have been or will be approved by the Committee (for example an MYA and an institutional strengthening project).
- (e) Following appraisal, the PAD, the GA, and other documentation form the negotiation package and the country is invited to negotiate the legal agreement with the Bank. Once negotiation is completed, final documents are submitted to the Regional Vice President for

approval. Many governments undertake steps to confirm the legal agreement at this stage which can take several months. GA signing by the Bank and the country ensues. Funds for the Executive Committee approved project(s) can then be released from the OTF for disbursement once the signed GA is declared effective. The country implementation unit processes the necessary transactional paperwork to call for disbursement of funds.

Figure 1. The World Bank Montreal Protocol Project Cycle<sup>34</sup>



**Summary of Government Interactions during the MLF Project Cycle**

In general terms, all project related interactions with the country are handled by Bank operational teams who already have an established communication line through ongoing programs and projects and by the country office (CMU), the first line of communication on strategic Bank-country cooperation. In MP Operations, there is added interaction with the country by the MP coordination unit at MP-related meetings.

Country-Bank dialogue is done in person (MP meetings and implementation support missions), through email and phone as required. Official letters to the country are sent by the Bank Country Director, for example on mission announcement or findings, or on GA issues (closing, amendment, etc.). The Bank CMU is additionally involved with the country on logistical arrangements for missions, technical visits, workshops and video conferencing. All units of the Bank accept official government letters.

<sup>34</sup> The schematic illustrates the World Bank’s overall MP umbrella project cycle to house MLF projects; and the MLF project cycle where a project goes to ExCom for approval. A new project is required rarely since once an umbrella project/grant agreement with a country is in place, MLF grants can flow freely and only depend on the ExCom/MLF project cycle. For example, the World Bank and China only have one umbrella project/GA to cover the entire HCFC phase-out management plan and the polyurethane foam sector plan.

### MLF Project Submission

MLF projects are prepared in close collaboration with the country focal point, usually the NOU. As projects are developed and finalized, the country focal point ensures that they are vetted with relevant Government agencies, beneficiaries and other stakeholders. An official government letter of endorsement will be sent to the World Bank subsequent to acceptance of the project proposal by country proponents.

### MLF Project Review

Comments received from the MLF Secretariat are immediately sent to the responsible World Bank project team that works directly with the country for response. The MP coordination unit leads and manages the response process. In-house technical and policy experts are consulted as needed to complete the responses and support the country and Bank's positioning in relation to the Secretariat's proposed changes, if any. The final responses are shared with the country prior to submission to the Secretariat.

### Issues raised on project proposals during the Executive Committee Meeting

As the advocate for the country's project proposal, the Bank may directly address issues raised by the Executive Committee and provide clarifications. However, in cases where substantial technical, design or funding changes are proposed, or a new policy commitment is requested of the government, the Bank will consult with the country prior to any agreement. This may involve project deferral if sufficient time is not available.

### Project Implementation

The Bank duly informs the government of a new project approval, and if an MP Project agreement is already in place, the funds can be channeled to the special account, in accordance with agreed disbursement arrangements in project GAs and against withdrawal applications submitted by the country to the Bank.

The Bank project team normally conducts two in-country implementation support missions a year which includes enterprise site visits and technical progress monitoring discussions to help adapt and advance work as needed. Project monitoring is ongoing against agreed indicators and a results framework. Semi-annual status reports reflecting discussions during these meetings are provided to Bank management. The country is also responsible for semi-annual progress reports to the Bank, interim financial reports and an annual financial audit of the designated account. At the MLF project level, both the country and the Bank work together to ensure timely submission of reporting documents to the Executive Committee.

### ***Project Evaluation***

Upon request of the Senior Monitoring and Evaluation Officer of the Fund Secretariat, the Bank is prepared to serve as a conduit of information and to facilitate MLF project site visits in support to the country. The Bank coordination unit collects, compiles and provides comments on desk and site evaluations. Country beneficiaries, the country executing agency, Bank project teams and the Bank coordination unit all work together to complete project completion reports. The Bank's overall project cycle also places emphasis on implementation completion and results reporting at the level of the grant agreement with the government. The Bank takes the lead on the report which benefits from a country completion report. Independent evaluation is conducted on all Bank implementation completion reports, including those of MP projects.

*Coordination with other Bilateral and Implementing Agencies*

The Bank follows the procedures that have evolved between the Fund Secretariat and the implementing and bilateral agencies surrounding oversight and coordination of multi-year agreements whether it is a Lead or Cooperating Agency. The Bank strives in all cases to ensure that the interests of the country are fully represented and communicated to the Secretariat directly or through the Lead Agency, and that the process rests on the principles of transparency and accountability. The Bank will consult and communicate directly with the government on sectors and activities for which it is responsible.

## APPENDIX 5. EXECUTIVE COMMITTEE MEETINGS

### Terms of reference of the Executive Committee as modified by decisions IX/16, XVI/38 and XIX/11 of the Parties to the Montreal Protocol

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

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

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

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

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

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

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

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

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

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

10. The functions of the Executive Committee shall include:

- (a) To develop and monitor the implementation of specific operational policies, guidelines and administrative arrangements, including the disbursement of resources;
- (b) To develop the plan and budget for the Multilateral Fund, including allocation of Multilateral Fund resources among the agencies identified in paragraph 5 of Article 10 of the Amended Protocol;
- (c) To supervise and guide the administration of the Multilateral Fund;
- (d) To develop the criteria for project eligibility and guidelines for the implementation of activities supported by the Multilateral Fund;
- (e) To review regularly the performance reports on the implementation of activities supported by the Multilateral Fund;
- (f) To monitor and evaluate expenditure incurred under the Multilateral Fund;
- (g) To consider and, where appropriate, approve country programmes for compliance with the Protocol and, in the context of those country programmes, assess and where applicable approve all project proposals or groups of project proposals where the agreed incremental costs exceed \$500,000;
- (h) To review any disagreement by a Party operating under paragraph 1 of Article 5 with any decision taken with regard to a request for financing by that Party of a project or projects where the agreed incremental costs are less than \$500,000;
- (i) To assess annually whether the contributions through bilateral cooperation, including particular regional cases, comply with the criteria set out by the Parties for consideration as part of the contributions to the Multilateral Fund;
- (j) To report annually to the meeting of the Parties on the activities exercised under the functions outlined above, and to make recommendations as appropriate;
- (k) To nominate, for appointment by the Executive Director of UNEP, the Chief Officer of the Fund Secretariat, who shall work under the Executive Committee and report to it; and
- (l) To perform such other functions as may be assigned to it by the Meeting of the Parties.

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

### APPLICABILITY

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

#### Rule 1

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

### DEFINITIONS

#### Rule 2

For the purposes of these rules:

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

### PLACE OF MEETINGS

#### Rule 3

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

### DATES OF MEETINGS

#### Rule 4

1. Meetings of the Executive Committee shall be held at least twice every year.
2. At each meeting, the Executive Committee shall fix the opening date and duration of the next meeting.

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

#### Rule 5

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

### OBSERVERS

**Rule 6**

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

**Rule 7**

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

**AGENDA****Rule 8**

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

**Rule 9**

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

**Rule 10**

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

**REPRESENTATION AND CREDENTIALS****Rule 11**

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

**Rule 12**

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

**OFFICERS****Rule 13**

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

**Rule 14**

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

**Rule 15**

1. The Secretariat shall:

- (a) Make the necessary arrangements for the meetings of the Executive Committee, including the issue of invitations and preparation of documents and reports of the meeting;
- (b) Arrange for the custody and preservation of the documents of the meeting in the archives of the international organization designated as secretariat of the Convention; and
- (c) Generally perform all other functions that the Executive Committee may require.

**Rule 16**

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

**VOTING****Rule 17**

Decisions of the Executive Committee shall be taken by consensus whenever possible. If all efforts at consensus have been exhausted and no agreement reached, decisions shall be taken by a two thirds majority

of the Parties present and voting, representing a majority of the Parties operating under paragraph 1 of Article 5 and a majority of the Parties not so operating present and voting.

## **LANGUAGES**

### **Rule 18**

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

## **AMENDMENTS TO RULES OF PROCEDURE**

### **Rule 19**

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

## **OVERRIDING AUTHORITY OF THE PROTOCOL**

### **Rule 20**

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

## **DECISIONS PERTAINING TO MEETING COSTS**

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

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

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

**Table 1. Standard agenda items and associated documents for the first meeting of the year**

Agenda Items and sub-items	Document associated with item
Opening of the meeting	
Organizational matters	
<ul style="list-style-type: none"> <li>Adoption of the agenda</li> </ul>	Provisional agenda
<ul style="list-style-type: none"> <li>Organization of work</li> </ul>	Provisional agenda*
Secretariat activities	Secretariat activities
Status of contributions and disbursements	Status of contributions and disbursements
Status of resources and planning	
<ul style="list-style-type: none"> <li>Report on balances and availability of resources</li> </ul>	Report on balances and availability of resources
<ul style="list-style-type: none"> <li>Update on the implementation of the current year's business plan</li> </ul>	Update on the implementation of the current year's business plan [and financial planning for the triennium <sup>35</sup> ]
<ul style="list-style-type: none"> <li>Tranche submission delays</li> </ul>	Tranche submission delays
Programme implementation	
<i>Monitoring and evaluation</i>	
<ul style="list-style-type: none"> <li>Consolidated project completion report</li> </ul>	[year] Consolidated project completion report
<ul style="list-style-type: none"> <li>Multi-year agreement database report</li> </ul>	[year] Multi-year agreement database report
<ul style="list-style-type: none"> <li>Evaluation activities</li> </ul>	Specific reports on evaluation activities
<ul style="list-style-type: none"> <li>Country programme data and prospects for compliance</li> </ul>	Country programme data and prospects for compliance
<ul style="list-style-type: none"> <li>Status reports and reports on projects with specific reporting requirements</li> </ul>	Status reports and reports on projects with specific reporting requirements
Project proposals	
<ul style="list-style-type: none"> <li>Overview of issues identified during project review</li> </ul>	Overview of issues identified during project review
<ul style="list-style-type: none"> <li>Bilateral cooperation</li> </ul>	Bilateral cooperation
<ul style="list-style-type: none"> <li>Work programmes for [year]</li> </ul>	Work programme for [year] of UNDP Work programme for [year] of UNEP Work programme for [year] of UNIDO Work programme for [year] of the World Bank
<ul style="list-style-type: none"> <li>Investment projects</li> </ul>	Project proposal(s): [country]
Specific policy issues	Documents as necessary
Report of the Executive Committee to the Meeting of the Parties <sup>36</sup>	Draft Report of the Executive Committee to the Meeting of the Parties
Production Sector	Report of the Sub-group on the Production Sector
Other matters	
Adoption of the report of the meeting	L.1 - Draft report of the [number] meeting of the Executive Committee.

\*The Annotated provisional agenda is used as the main working document for the meeting.

<sup>35</sup> Financial planning for the triennium is on the agenda of the first meeting following a replenishment of the Multilateral Fund.

<sup>36</sup> This agenda item would be included if that year's Meeting of the Parties is scheduled to take place before the last Executive Committee meeting of the year.

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

Agenda Items and sub-items	Document associated with item
Opening of the meeting	
Organizational matters	
• Adoption of the agenda	Provisional agenda
• Organization of work	Provisional agenda*
Secretariat activities	Secretariat activities
Status of contributions and disbursements	Status of contributions and disbursements
Status of resources and planning	
• Report on balances and availability of resources	Report on balances and availability of resources
• Update on the implementation of the current year's business plan	Update on the implementation of the current year's business plan
• Tranche submission delays	Tranche submission delays
Programme implementation	
<i>Monitoring and evaluation</i>	
• Consolidated project completion report	[year] Consolidated project completion report
• Evaluation activities	Specific reports on evaluation activities
• Draft Monitoring and Evaluation work programme for the following year	Draft Monitoring and Evaluation work programme for the following year
• Country programme data and prospects for compliance	Country programme data and prospects for compliance
Progress report	
• Progress reports as at 31 December of [preceding year]	Consolidated progress report Progress report of bilateral cooperation as at 31 December [year] Progress report of [agency] as at 31 December [year]
• Evaluation of the [previous year] business plans	Evaluation of the [previous year] business plans
20XX to 20XX business plans	
• Consolidated business plan of the Multilateral Fund	Consolidated business plan of the Multilateral Fund for the years 20XX-20XX
• Business plans of the bilateral and implementing agencies	[Agency's] business plan for the years 20XX-20XX
Project proposals	
• Overview of issues identified during project review	Overview of issues identified during project review
• Bilateral cooperation	Bilateral cooperation
• Amendments to work programmes for [year]	Amendment to the work programme for [year] of [Agency]
• Core unit costs for UNDP, UNIDO and the World Bank for the following year	Core unit costs for UNDP, UNIDO and the World Bank for [year]
• Compliance Assistance Programme (CAP) budget	Compliance Assistance Programme (CAP) budget for the following year
• Investment projects	Project proposal(s): [country]
Specific policy issues	Documents as necessary
Accounts of the Multilateral Fund	
• Final Accounts	
• Reconciliation of the accounts	
Budget of the Fund Secretariat	Revised 20XX, 20XX and 20XX and proposed 20XX budgets of the Fund Secretariat
Report of the Executive Committee to the Meeting of the Parties <sup>37</sup>	Draft Report of the Executive Committee to the Meeting of the Parties
Production Sector	Report of the Sub-group on the Production Sector

<sup>37</sup> This agenda item would be included if that year's Meeting of the Parties is scheduled to take place after the last Executive Committee meeting of the year.

<b>Agenda Items and sub-items</b>	<b>Document associated with item</b>
Other matters	
Adoption of the report of the meeting	L.1 - Draft report of the [number] meeting of the Executive Committee

\*The Annotated provisional agenda is used as the main working document for the meeting.

## APPENDIX 6. LOGISTICS AND ARRANGEMENTS FOR MEETINGS

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

### 6.1. Pre-session: before the meeting

#### 6.1.1. *Preparation of the agenda*

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

#### 6.1.2. *Representation and attendance*

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

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

- representatives of the implementing agencies;
- representatives of the Ozone Secretariat;
- the President of the Bureau of the Meeting of the Parties; and
- the President and Vice-President of the Implementation Committee.

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

#### 6.1.3. *Letter of invitation*

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

Information on logistics is prepared as an Information Note and sent to members by email. This provides practical details on the meeting venue, local hotels rates and information on how to access meeting documents on the website. Participants make their travel and hotel arrangements except for those who receive financial support whose travel is arranged by the Secretariat.

#### 6.1.4. *Financial and other support*

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

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

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

### 6.1.5. *Time and venue of meetings*

Until 2013, meetings of the Executive Committee took place three times per year in March/April, June/July and November/December. However, the Executive Committee decided to convene two meetings of the Executive Committee in 2014 on a trial basis<sup>38</sup>, and subsequently agreed to continue convening two meetings of the Executive Committee from 2015 onwards with the possibility of holding an additional brief meeting if required between those meetings to consider project proposals<sup>39</sup>. The first meeting would be held in May and the last meeting in November. All meetings are usually held in Montreal, Canada (Rule 3) and the ICAO premises on 999 Robert Bourassa Boulevard have been the venue for several years.

The Executive Committee may decide to hold a meeting outside Montreal if, for example, the timings of the Montreal Protocol and Executive Committee meetings coincide. The Executive Committee considers meeting, when appropriate, in conjunction with other Montreal Protocol meetings (decision XIX/11) and thus the two secretariats coordinate arrangements to the greatest extent possible.

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

### 6.1.6. *Meeting documents*

Meeting documents are issued during the pre-session and the in-session of each meeting, while final report of the meeting is issued in the month following the meeting. Table 1 provides a list and definition of the standard types of documents issued.

**Table 1: List of types of Executive Committee documents**

<b>Document</b>	<b>Definition</b>
Pre-session documents	Official meeting documents prepared in advance of the meeting and made available in the language of the Executive Committee on the Multilateral Fund website.
In-session documents	
<ul style="list-style-type: none"> <li>• Conference room</li> </ul>	CRPs serve to explain in detail the position of a Member, contact group

<sup>38</sup> The Executive Committee could request the Fund Secretariat to organize an intersessional meeting to discuss any urgent policy issues or project proposals that would need to be addressed between the first and last meetings where the compliance of an Article 5 country with its obligations under the Montreal Protocol was at risk (decision 70/23).

<sup>39</sup> Decision 73/70.

paper (CRP)	or informal group, on a complex issue or to put forward a recommendation. They are officially numbered (CRP.1, CRP.2, etc.) and their origin is clearly identified (from a group of countries, from a contact group, etc.). These papers die at the end of the meeting. A Member may ask that part or all of a CRP be included in the final report of the meeting. CRP documents are issued in English only.
<ul style="list-style-type: none"> <li>• Non-paper</li> </ul>	A Member may draft what is called a non-paper for any number of reasons: for information purposes; to float possible proposals in order to elicit comments from other Members or to generate support. Contrary to CRPs, they have no official numbers.
<ul style="list-style-type: none"> <li>• L documents</li> </ul>	L documents contain the conclusions and decisions of the meeting, and are central to the process, and should be translated into all official languages required by the Executive Committee before they are adopted. The “L” stands for limited distribution as these documents are distributed only to meeting participants for the limited purpose of adopting their content.
Report of the meeting	The report of the meeting is a key document as it records all the substance of the discussions and all the decisions of the meeting. Important documents and texts resulting from the meeting are included in the annexes to the report; for example, status of contributions and disbursements, texts of multi-year agreements.

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

Since the 45<sup>th</sup> meeting, all pre-session documents have been for “GENERAL” distribution. Occasionally documents may be for “LIMITED” distribution, and are placed in a password protected area of the website (intranet). The Executive Committee decided to restrict access to any project documents that a Party requested to be classified as restricted until the Executive Committee’s consideration of the matter. At the 67<sup>th</sup> meeting the Executive Committee decided to apply, with regard to the review of confidential documents by the Executive Committee, the procedure set out in Part III of the “Guidelines for the financing of projects using technology that is not in the public domain” (Annex XIV to document UNEP/OzL.Pro/ExCom/38/70/Rev.1), as approved by the Executive Committee in decision 38/63, and other decisions taken by the Executive Committee related to the handling of confidential documents and information. The Secretariat maintains a list of confidential documents issued from the 53<sup>rd</sup> meeting onwards that is available on the Multilateral Fund intranet (decision 67/34).

Occasionally, a corrigendum or addendum to a pre-session document may be issued or a document may not be ready by the four-week deadline. Executive Committee participants are alerted to the issuance of any such documents. All documents, with the exception of those indicating corrections or revisions, must be issued at least two weeks before the meeting. In the event that an Executive Committee Meeting was scheduled immediately following a session of the OEWG or MOP, all new documents should be made available to Committee Members 15 days before the start of that Executive Committee Meeting (decision 59/35).

*For further information on in-session documents see section 5.2 of this appendix.  
For information on the final report see section 4.3 of this appendix (post session).*

## 6.2. In-session: during a meeting

### 6.2.1. Practical arrangements

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

### 6.2.2. Schedule of meetings

The Executive Committee normally meets daily as a whole in two plenary sessions:

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

Night sessions may be arranged as and when they are needed. Meetings of any contact groups (see table 2) or presentations are arranged in consultation with the Secretariat and are advised by the Chair. Such groups normally meet at times adjacent to the plenary meeting times although in some circumstances the plenary may be suspended to allow a contact group meeting to take place.

### 6.2.3. Plenary and other bodies

While the Executive Committee is the body that takes decisions on project approval and policy matters such issues can be referred to a smaller group to discuss the matter in depth. The work of such groups is often crucial to resolve issues. The groups always report to the Chair during Plenary. Groups typically employed during Executive Committee meetings are described in Table 2 below.

**Table 2: Plenary and other bodies that may meet during an Executive Committee meeting**

Type	Definition
Plenary	The whole meeting of the Executive Committee members which is able to take decisions.
Sub-group on the Production sector	A subsidiary group that is usually constituted every year to oversee phase-out activities in the ODS production sector and to ensure that the related activities complement activities in the consumption sector. The Sub-group has no formal decision-making status but submits a report of its deliberations including recommendations to the Executive Committee.
Other bodies	
<ul style="list-style-type: none"> <li>• Contact group</li> </ul>	A condensed forum for discussion and/or negotiation, with the objective of assisting the process of forging consensus. Contact groups are convened by the Chair. They count as informal consultations and have no formal, decision-making status although they report back to the plenary on outcomes and/or recommendations.

<ul style="list-style-type: none"> <li>• Informal group</li> </ul>	Established for delegates to meet privately to discuss specific agenda items or issues, and achieve consensus. Observers may be invited to attend such groups. The informal groups report back to the Plenary on outcomes and/or recommendations.
Informal consultations/Exchanges between Members	Exchanges of views among delegations which may extend to attempts at mutual persuasion or to informal negotiation and which take place outside the formal Executive Committee debate.

#### 6.2.4. *List of participants*

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

#### 6.2.5. *Meeting management*

The Chair directs the proceedings of the meeting. If the Chair is temporarily unable to fulfil the obligation of the office, the Vice-Chair shall in the interim assume all the obligations and authorities of the Chair. If the Chair or Vice-Chair is unable to complete the term of office, the Committee members representing the group which selected that officer shall select a replacement to complete the term of office.

*(UNEP/OzL.Pro/3/11 Appendix VI of Decision III/22 (Rules 13, 14))*

Items on the agenda are normally considered in the order indicated in the provisional agenda unless the meeting decides to change the order of items during the agenda item “Organization of work”.

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

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

#### 6.2.6. *Observers*

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

#### 6.2.7. *Interpretation*

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

#### 6.2.8. *Conference room papers/ Non-papers*

During the meeting session the Secretariat may issue one or more CRPs (see table 2). These papers are issued in English only and are often based on text drafted by a contact group. The convener of the contact group should provide the Secretariat with a copy of the draft text by email. CRPs are posted in a password

protected area of the website (intranet). Delegates may also approach the Secretariat to distribute non-papers following the same procedure.

### **6.2.9.            *Preparation of the L.1 draft meeting report***

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

The L.1 report is drafted in English and translated overnight in time for the start of the final meeting session of the week. Normally the L.1 report in all languages is available to Executive Committee members in a password protected area of the website (intranet) one or two hours in advance of the final session of the meeting.

## **6.3.    *Post meeting***

### **6.3.1.            *Finalization of the meeting report***

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

### **6.3.2.            *Communicating the outcome of the meeting***

The report is available to all Executive Committee members, other participants and to the Parties to the Montreal Protocol from the Multilateral Fund website. A document summarizing decisions made at the meeting is sent by e-mail to all meeting participants, Parties to the Montreal Protocol and by UNEP DTIE to the Regional Network Officers of UNEP's CAP. The summary of decisions and news item are also placed on the Multilateral Fund website.

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

### **6.3.3.            *Funds for approved projects and activities***

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

## APPENDIX 7. REFERENCE INFORMATION

### 7.1. Organizations and people

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

### 7.2. Publications, information resources and databases

#### 7.2.1. *Fund Secretariat – Publications*

##### **Creating a real change. June 2006.**

The Secretariat prepared a leaflet about the Multilateral Fund for distribution at the 25<sup>th</sup> OEWS. The leaflet is targeted at government policy-makers and focuses on the characteristics of the Fund and its achievements. Printed leaflet. PDF is available at [www.multilateralfund.org](http://www.multilateralfund.org)

##### **Creating a real change for the environment. September 2007.**

This booklet was originally prepared on the occasion of the 20<sup>th</sup> Anniversary of the Vienna Convention for the Protection of the Ozone Layer and was updated for the 20<sup>th</sup> Anniversary of the Montreal Protocol with the assistance of the Government of Canada. It provides an overview of the lessons learned by the Multilateral Fund since 1991, and also presents some of the challenges and opportunities that lie ahead. Printed booklet. PDF is available at [www.multilateralfund.org](http://www.multilateralfund.org).

##### **A Culture of Success. September 2007.**

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

##### **Monitoring, evaluation and institutional learning. September 2007.**

A fact sheet on monitoring, evaluation and institutional learning was published on 16 September 2007. An extended version of the brief fact sheet is also available on the Multilateral Fund website in the Evaluation Library section. Printed booklet. PDF available at [www.multilateralfund.org](http://www.multilateralfund.org).

#### 7.2.2. *Fund Secretariat – Information resources and databases*

##### **Multilateral Fund website**

The site provides general information on the Multilateral Fund, its history, institutional arrangements, and achievements. It includes a meetings archive area with separate sub-sites for each meeting of the Executive

Committee from the 27<sup>th</sup> meeting onwards<sup>40</sup>. A summary of decisions made at the meeting is also included for the 39<sup>th</sup> meeting onwards.

Online resource. <http://www.multilateralfund.org>

### **Multilateral Fund intranet**

The intranet is a secure password protected area of the Multilateral Fund website for members of the Executive Committee and staff of the Secretariat and implementing agencies. It can be accessed from the public area by signing in with a user name and password. The secure areas in the website provide access to documents and materials that are limited to Executive Committee members and implementing agencies: for example documents for meetings of the sub-group on the production sector, an area for implementing agencies, and a number of inter-sessional discussion forums. The intranet also provides a gateway to other information resources such as the MYA database.

Online resource. <http://www.multilateralfund.org>

### **Balances summary database**

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

Available on request. Format: Excel.

### **Business plans database**

A summary of the three-year business planning of the Multilateral Fund to address certain amounts of ODSs for specific countries during the triennium to enable compliance with the Protocol control measure. The Fund Secretariat started maintaining these data in 1996 and the database is updated every year. Data include three-year planning values and levels of ODS phase-out.

Available on request. Format: Excel.

### **Consolidated progress report database**

The database summarises progress and financial information on projects provided by implementing and bilateral agencies. The Fund Secretariat started maintaining these data in 1991 and the database is updated every year. Data include the percentage of projects completed, ODP phased- out, and per cent of funds disbursed.

Available from [www.multilateralfund.org](http://www.multilateralfund.org) as an annex to the document **Consolidated progress report**.  
Format: Excel.

### **Implementation delay summary database**

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

Available on request. Format: Excel.

### **Inventory of approved projects**

Provides general information about projects approved by the Executive Committee, including the country or region, the sector, the Executive Committee meeting at which it was approved and the type of project, implementing agency, ODS phase-out and funds approved and disbursed. It is updated following each meeting and distributed to bilateral and implementing agencies.

Available on request. Access

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<sup>40</sup> Any documents not available on the website are available on request from the Fund Secretariat.

**Lessons learned from project completion reports (PCRs)**

An online search engine to access the lessons learnt from individual and MYA PCRs was developed so that stakeholders could easily access it when, for example they were developing or implementing similar projects. Queries can be structured by categories, namely: country, agencies, sector, and type and by keywords, to facilitate the search. Search engines for individual PCRs and MYA PCRs are respectively accessible at: <http://www.multilateralfund.org/pcrindividual/search.aspx> and <http://www.multilateralfund.org/myapcr/search.aspx>

**Multi-year agreements database**

The online system provides a mechanism for tracking the accumulative progress achieved in the annual work programmes of HPMPs, summarizing and standardizing an overview table covering certain information requested in decisions 50/9, 51/13 and 53/8. In accordance with decision 74/6(b) and 75/6(b) the database is being revised in order to reduce the burden on bilateral and implementing agencies when submitting information for the MYA database and to enable the countries concerned to confirm the data being entered in the MYA database by the bilateral and implementing agencies.

Online resource: [www.multilateralfund.org/hpmp](http://www.multilateralfund.org/hpmp).

**Phase-out plans and projects**

This document contains the texts of all agreements and associated Executive Committee decisions pertaining a country's phase-out plans and multi-year projects except HPMPs. Information is arranged by alphabetical order of country name.

PDF available from <http://www.multilateralfund.org>.

**HCFC Phase-out management plans**

This document contains the texts of all agreements and associated Executive Committee decisions pertaining to a country's HPMP. Information is arranged by alphabetical order of country name.

PDF available from <http://www.multilateralfund.org>.

**Policies, procedures, guidelines and criteria of the Multilateral Fund**

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

PDF and searchable online database available at <http://www.multilateralfund.org/Our%20Work/Policy-search/index.html>.

**7.2.3. Guides produced by the Fund Secretariat**

The Secretariat has produced a number of guides to provide implementing agencies and Article 5 with clear advice on the preparation and submission of projects proposals.

Available from <http://www.multilateralfund.org/Our%20Work/countries/default.aspx>

- Updated guide for the preparation of stage I of HCFC phase-out management plans
- Updated guide for the presentation of tranches of HPMPs
- Guide for project preparation of stage II of HPMP
- Guide for presentation of stage II of HCFC phase-out management plans (HPMPs)
- Revised guide and format for the presentation of tranches of HCFC production phase-out management plans (HPPMPs)
- Guide for the preparation and submission of additional projects to demonstrate climate-friendly and energy-efficient alternative technologies to HCFCs, and feasibility studies
- Guide for the preparation of national surveys of ODS alternative including a data sheets for ODS alternative surveys
- Guide for the submission of institutional strengthening (IS) projects

See also Section 5.4. *Index of Final Reports of the Executive Committee*

#### 7.2.4. *Executive Committee documents on HCFC phase-out policy issues*

Document number	Title
UNEP/OzL.Pro/ExCom/53/60	Options for assessing and defining eligible incremental costs for HCFC consumption and production phase-out activities
UNEP/OzL.Pro/ExCom/54/53	Draft guidelines for the preparation and implementation of HCFC phase-out management plans
UNEP/OzL.Pro/ExCom/54/54, Corr.1 & Add.1	Preliminary discussion paper providing analysis on all relevant cost considerations surrounding the financing of HCFC phase-out (decision 53/37(i))
UNEP/OzL.Pro/ExCom/55/47	Revised analysis of relevant cost considerations surrounding the financing of HCFC phase-out (decisions 53/37(i) and 54/40)
UNEP/OzL.Pro/ExCom/56/13	Cost structure for determining funding levels for preparation of HCFC investment and associated activities (decision 55/13(d))
UNEP/OzL.Pro/ExCom/56/58 & Add.1	Issues related to relevant cost considerations surrounding the financing of HCFC phase-out (decision 55/43(g))
UNEP/OzL.Pro/ExCom/57/59	Prioritization of HCFC phase-out technologies to minimize other impacts on the environment
UNEP/OzL.Pro/ExCom/57/60	Second-stage conversions and determination of cut-off date for installation of HCFC-based manufacturing equipment
UNEP/OzL.Pro/ExCom/57/61	Further elaboration and analysis of issues pertaining to the phase-out of HCFC production sector (decision 56/64(a) and (b))
UNEP/OzL.Pro/ExCom/58/47	Analysis of new approaches on second-stage conversions, determination of cut-off date and other outstanding HCFC policy issues (decision 57/34)
UNEP/OzL.Pro/ExCom/59/51 & Add.1	Prioritization of HCFC phase-out technologies to minimize other impacts on the environment (decision 57/33 and paragraph 147 of the Report of the 58 <sup>th</sup> meeting of the Executive Committee)
UNEP/OzL.Pro/ExCom/59/52	Analysis of new approaches on second-stage conversions, determination of cut-off date and other outstanding HCFC policy issues
UNEP/OzL.Pro/ExCom/60/45	Relevant aspects of component upgrade in HCFC in conversion projects (decision 59/13(b))
UNEP/OzL.Pro/ExCom/60/46	Outstanding HCFC issues: cut-off date, level of incremental operating costs, funding provided to the servicing sector, and incremental capital costs (decision 59/46)
UNEP/OzL.Pro/ExCom/60/47	Cost for conversion of component manufacturing vs. incremental operating cost (decision 59/14)
UNEP/OzL.Pro/ExCom/61/50	Relevant aspects of component upgrade in HCFC conversion projects (decisions 59/13(b) and 60/43)

Document number	Title
UNEP/OzL.Pro/ExCom/61/51	Cost for conversion of component manufacturing vs. incremental operating cost (decisions 59/14 and 60/45)
UNEP/OzL.Pro/ExCom/61/52	Revised template for draft agreements for HCFC phase-out management plans (decisions 59/16(b) and 60/46)
UNEP/OzL.Pro/ExCom/61/53	Consumption arising from HCFC-141b contained in pre-blended foam chemicals (polyols) (decision 59/12 and 60/50)
UNEP/OzL.Pro/ExCom/62/55	Incremental costs related to retooling for manufacturing heat exchangers (decision 61/45)
UNEP/OzL.Pro/ExCom/65/53	Incremental costs related to retooling for manufacturing heat exchangers (decisions 61/45 and 62/61)
UNEP/OzL.Pro/ExCom/68/46 & Corr.1	Options for a tracking system for HCFC-141b-based pre-blended polyols exported by systems houses and used by foam enterprises in importing Article 5 countries (decision 66/51(d) and (e))
UNEP/OzL.Pro/ExCom/69/33	Draft guidelines for funding the preparation of stage II of HCFC phase-out management plans (decision 66/5(c))
UNEP/OzL.Pro/ExCom/70/51	Draft guidelines for funding the preparation of stage II of HCFC phase-out management plans (decisions 66/5 and 69/22)
UNEP/OzL.Pro/ExCom/70/52	Criteria for funding HCFC phase-out in the consumption sector adopted by decision 60/44 (decisions 69/22(b) and 69/24(d)) (re-issued)
UNEP/OzL.Pro/ExCom/70/53/Rev.1	Discussion paper on minimizing adverse climate impact of HCFC phase-out in the refrigeration servicing sector (decision 68/11)
UNEP/OzL.Pro/ExCom/71/55	Draft guidelines for funding the preparation of stage II of HCFC phase out management plans (decisions 66/5 and 69/22 and paragraph 105 of UNEP/OzL.Pro/Excom/70/59)
UNEP/OzL.Pro/ExCom/71/56	Discussion paper on minimizing adverse climate impact of HCFC phase-out in the refrigeration servicing sector (decision 68/11)
UNEP/OzL.Pro/ExCom/71/57	Criteria for funding HCFC phase-out in the consumption sector adopted by decision 60/44 (decisions 69/22(b), 69/24(d) and 70/21(c))
UNEP/OzL.Pro/ExCom/72/39	Criteria for funding HCFC phase-out in the consumption sector for stage II of HCFC phase-out management plans (decision 70/21(d))
UNEP/OzL.Pro/ExCom/72/40	Overview of approved HCFC demonstration projects and options for additional projects to demonstrate climate-friendly and energy efficient alternative technologies to HCFCs (decision 71/51(a))
UNEP/OzL.Pro/ExCom/72/41	Additional activities to maximize climate benefits in the HCFC production sector (decision 71/51(b))
UNEP/OzL.Pro/ExCom/72/42	Minimizing adverse climate impact of HCFC phase-out in the refrigeration servicing sector (decision 71/43)
UNEP/OzL.Pro/ExCom/73/53	Draft criteria for funding HCFC phase-out in the consumption sector for stage II of HCFC phase-out management plans (decision 72/39)
UNEP/OzL.Pro/ExCom/74/49	Analysis of the remaining eligible HCFC consumption in various sectors and subsectors of potential demonstration relevance (decision 72/40(d))
UNEP/OzL.Pro/ExCom/74/50	Draft criteria for funding HCFC phase-out in the consumption sector for stage II of HCFC phase out management plans (decision 73/64)
UNEP/OzL.Pro/ExCom/75/76	Template for draft agreements for stage II of the HPMP (decision 73/33(c))
UNEP/OzL.Pro/ExCom/76/58	Calculation of the incremental capital costs and incremental operating costs for foam sector alternatives (decision 75/28)
UNEP/OzL.Pro/ExCom/76/59	Calculation of the level of incremental costs for the conversion of heat exchangers manufacturing lines in enterprises converting to HC 290 technology (decision 75/43(f))
UNEP/OzL.Pro/ExCom/76/60	Template for draft agreements for stage II of HCFC phase-out management plans (decision 75/66)

### 7.2.5. *Information resources from the Ozone Secretariat*

**Web site: <http://ozone.unep.org>**

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

**Handbook for the Montreal Protocol on Substances that Deplete the Ozone Layer**  
Ozone Secretariat.

The Handbook is intended to provide the reader with all details of the legal and policy actions taken by the world community to protect the ozone layer. It is divided into five sections. Section 1 provides the text of the Montreal Protocol. Section 2 provides all the decisions of the annual Meetings of the Parties arranged by Article of the Protocol including the decisions adopted at the 21<sup>st</sup>, 22<sup>nd</sup> and 23<sup>rd</sup> meetings of the Parties, plus an index to the decisions. Section 3 contains the relevant annexes to the decision of the Parties including those on destruction procedures, essential use exemptions, and critical use exemptions for methyl bromide, the Assessment Panels, the non-compliance procedure, the Multilateral Fund, financial matters and declarations by the Parties. Section 4 deals with the Rules of Procedure for the meetings of the Parties to both the Vienna Convention and the Montreal Protocol. Section 5 contains historical information on the original 1987 Montreal Protocol and the separate adjustments and amendments to the Protocol that were adopted by the Meetings of the Parties in 1990, 1992, 1995, 1997, 1999 and 2007 and demonstrates how the ozone regime has evolved over time in line with developing scientific knowledge and technological developments. Section 6 provides a guide to sources of further information relevant to ozone protection.

A PDF of the 10<sup>th</sup> edition (2016) is available to download at <http://ozone.unep.org/sites/ozone/files/Publications/Handbooks/MP-Handbook-2016-English.pdf>

The online edition is updated as of the 25<sup>th</sup> Meeting of the Parties. – at <http://ozone.unep.org/en/treaties-and-decisions/montreal-protocol-substances-deplete-ozone-layer>.

**Handbook for the Vienna Convention for the Protection of the Ozone Layer**  
Ozone Secretariat.

The Handbook, which incorporates an updated list of all decisions adopted by the Conference of the Parties to the Vienna Convention up to 2011, is divided into four main sections. Section 1 provides the full text of the Vienna Convention for the Protection of the Ozone Layer, and also includes the decisions of the Conferences of the Parties to the Convention, arranged under appropriate Articles. Section 2 provides all the decisions of the Conference of the Parties in sub-sections relating to each article of the Convention. Section 3 deals with the Rules of Procedure for the meetings of the Parties to the Vienna Convention and the Meetings of the Parties to the Montreal Protocol. Section 4 is a general index by keyword. A PDF of the 10<sup>th</sup> edition (2016) is available to download at <http://ozone.unep.org/Publications/Handbooks/VC-Handbook-2016-English.pdf>.

The online edition is updated as of the Tenth Conference of the Parties and is available at <http://ozone.unep.org/en/treaties-and-decisions/vienna-convention-protection-ozone-layer>

**HFC management documents (from 2014 onwards)**

A dedicated web page on the management of hydrofluorocarbons (HFCs) contains key documents and information resources on HFC management produced since 2014.

<http://ozone.unep.org/en/hfc-management-documents-2014-onwards>

### *7.2.6. Websites of the implementing agencies*

#### **UNDP**

Website:

[http://www.undp.org/content/undp/en/home/ourwork/environmentandenergy/focus\\_areas/ozone\\_and\\_climate/](http://www.undp.org/content/undp/en/home/ourwork/environmentandenergy/focus_areas/ozone_and_climate/)

#### **UNEP OzonAction**

Website: <http://www.unep.org/ozonaction/>

#### **UNIDO**

Website: <http://www.unido.org/>

#### **WORLD BANK**

Website: <http://www.worldbank.org/en/topic/climatechange/brief/montreal-protocol>

### *7.2.7. Websites of other conventions and related organizations*

#### **Clean Air Coalition to Reduce Short-Lived Climate Pollutants (CCAC)**

Website: <http://www.ccacoalition.org/>

The CCAC was launched by the United Nations Environment Programme (UNEP) and six countries—Bangladesh, Canada, Ghana, Mexico, Sweden and the United States—on February 16, 2012. The CCAC aims to catalyze rapid reductions in short-lived climate pollutants to protect human health, agriculture and the environment. To date more than \$47 million has been pledged to the Climate and Clean Air Coalition from Canada, Denmark, the European Commission, Germany, Japan, the Netherlands, Norway, Sweden, and the United States. The program is managed out of the United Nations Environmental Programme through a Secretariat in Paris, France.

#### **Climate Technology Centre and Network (CTCN)**

Website: <http://www.unep.org/climatechange/ctcn/>

The Climate Technology Centre and Network (CTCN) is the operational arm of the UNFCCC Technology Mechanism and it is hosted and managed by UNEP in collaboration with UNIDO and with the support of 11 Centres of Excellence located in developing and developed countries. The Climate Technology Centre (CTC) is responsible for overall coordination, development of the Climate Technology Network (CTN), and liaison with National Designated Entities (NDEs) and is backed by the Consortium Partner. The website includes information about CTCN, its services and advisory board.

#### **Global Environment Facility**

Website: <http://www.thegef.org>

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

**Green Climate Fund**

Website: <http://gcfund.org>

The purpose of the Green Climate Fund is to make a significant and ambitious contribution to the global efforts towards attaining the goals set by the international community to combat climate change. The Fund will contribute to the achievement of the ultimate objective of the United Nations Framework Convention on Climate Change (UNFCCC). The website contains information on the Fund's Board and Secretariat, and includes documents for Board meetings.

**Joint Secretariat of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposals, the Rotterdam Convention on Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Stockholm Convention on Persistent Organic Pollutants**

Website: [synergies.pops.int](http://synergies.pops.int)

The websites of the three conventions share the same platform. The section of the website on synergies includes background on the synergies process, the Secretariats' joint management, joint services and joint activities.

**The Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal**

Website: <http://www.basel.int>

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

**Rotterdam Convention on Prior Informed Consent**

Website: <http://www.pic.int>

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

**The Stockholm Convention on Persistent Organic Pollutants (POPs)**

Website: <http://chm.pops.int>

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

**Strategic Approach to International Chemicals Management (SAICM)**

Website: <http://www.saicm.org>

UNEP Governing Council, at its seventh Special Session in February 2002, adopted a decision on a "Strategic Approach to International Chemicals Management" (SAICM). The Strategic Approach to International Chemicals Management (SAICM) initiative aims to create a global standard for the safe use of

chemicals, especially as much of their production has shifted to developing countries. This web site contains information on SAICM implementation, and meetings and documents pertaining to the SAICM process.

#### **UNEP Chemicals and Waste subprogramme**

Website: <http://unep.org/chemicalsandwaste/>

The website of UNEP's Subprogramme on Chemicals and Waste includes sections on UNEP's implementation of the Strategic Approach to International Chemicals Management (SAICM), the Mercury Programme, lead and cadmium programme, Persistent Organic Pollutants, mainstreaming of chemicals, pesticide activities, the chemical information network and links to chemicals related UNEP documents and publications.

#### **United Nations Framework Convention on Climate Change**

Website: <http://www.unfccc.int>

The Convention on Climate Change sets an overall framework for intergovernmental efforts to tackle the challenge posed by climate change. It recognizes that the climate system is a shared resource whose stability can be affected by industrial and other emissions of carbon dioxide and other greenhouse gases. This site provides information on the Framework Convention, its Secretariat and associated meetings. It includes meeting documents, reports, publications and provides access to the websites of the Clean Development Mechanism (CDM), the Greenhouse Gas Inventory Data and the Technology Information Clearing House. This CDM section of the UNFCCC website includes background information and details on the CDM institutions, a description of project activity cycle in CDM, CDM statistics and documentation.

#### **7.2.8. Other websites**

##### **Montreal Protocol Who's Who**

Website: <http://www.unep.fr/ozonaction/montrealprotocolwhoswho/PageFlip.asp>

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

### 7.3. Useful acronyms

CAP	Compliance Assistance Programme
CCAC	Clean Air Coalition to Reduce Short-Lived Climate Pollutants
CDM	Clean Development Mechanism
CEIT	Country with economies in transition
CFCs	Chlorofluorocarbons
COP	Conference of the Parties
CRP	Conference room paper
CTC	Carbon tetrachloride
CTCN	Climate Technology Centre and Network
FERM	Fixed-exchange-rate mechanism
GCF	Green Climate Fund
GEF	Global Environment Facility
GWP	Global-warming potential
HAP	Hydrocarbon aerosol propellant
HCFC	Hydrochlorofluorocarbons
HFC	Hydrofluorocarbons
HPMP	HCFC phase-out management plan
HPPMP	HCFC production phase-out management plan
IBRD	International Bank for Reconstruction and Development (World Bank)
ICAO	International Civil Aviation Organization
IS	Institutional strengthening
LVC	Low-volume-consuming (countries)
MAC	Mobile air-conditioning
MB	Methyl bromide
MCII	Multilateral Fund climate impact indicator
MDI	Metered-dose inhaler
MOP	Meeting of the Parties to the Montreal Protocol
MYA	Multi-year agreement
NCPP	National CFC phase-out plans (NCPP)
NGO	Non-governmental organization
NOU	National ozone unit
NPP	National phase-out plan
ODP	Ozone depleting potential
ODS	Ozone-depleting substance
OEWG	Open-Ended Working Group Meeting
RMP	Refrigerant management plan
TCA	Trichloroethane
TEAP	Technology & Economic Assessment Panel
TOC	Technical Options Committees (of the TEAP)
TPMP	Terminal phase-out management plan
UNON	United Nations Office at Nairobi
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNEP DTIE	United Nations Environment Programme Division of Technology, Industry and Economics
UNIDO	United Nations Industrial Development Organization

#### 7.4. Index of Final Reports of the Executive Committee

Final reports of the Executive Committee include the full text of all decisions taken at that particular meeting. Since the 17<sup>th</sup> Executive Committee Meeting, each decision has been assigned a “decision number” consisting of the number of the meeting followed by forward slash (/) and a running number assigned to each decision of that meeting. For example “decision 49/6” is the sixth decision that was taken at the 49<sup>th</sup> meeting. Since the 39<sup>th</sup> meeting the most significant decisions and discussions of each meeting are summarized in a post-meeting summary available from the Multilateral Fund website.

Meeting	Document number of final report
1 <sup>st</sup>	OzL.Pro/ExCom/1/2
2 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/2/5/Rev.1
3 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/3/18/Rev.1
4 <sup>th</sup>	UNEP/OzL.Pro/ExCom/4/13/Rev.2
5 <sup>th</sup>	UNEP/OzL.Pro/ExCom/5/16
6 <sup>th</sup>	UNEP/OzL.Pro/ExCom/6/12
7 <sup>th</sup>	UNEP/OzL.Pro/ExCom/7/30
8 <sup>th</sup>	UNEP/OzL.Pro/ExCom/8/29
9 <sup>th</sup>	UNEP/OzL.Pro/ExCom/9/20
10 <sup>th</sup>	UNEP/OzL.Pro/ExCom/10/40
11 <sup>th</sup>	UNEP/OzL.Pro/ExCom/11/36
12 <sup>th</sup>	UNEP/OzL.Pro/ExCom/12/37
13 <sup>th</sup>	UNEP/OzL.Pro/ExCom/13/47
14 <sup>th</sup>	UNEP/OzL.Pro/ExCom/14/15
15 <sup>th</sup>	UNEP/OzL.Pro/ExCom/15/45
16 <sup>th</sup>	UNEP/OzL.Pro/ExCom/16/20
17 <sup>th</sup>	UNEP/OzL.Pro/ExCom/17/60
18 <sup>th</sup>	UNEP/OzL.Pro/ExCom/18/75
19 <sup>th</sup>	UNEP/OzL.Pro/ExCom/19/64
20 <sup>th</sup>	UNEP/OzL.Pro/ExCom/20/72
21 <sup>st</sup>	UNEP/OzL.Pro/ExCom/21/36
22 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/22/79/Rev.1
23 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/23/68
24 <sup>th</sup>	UNEP/OzL.Pro/ExCom/24/47
25 <sup>th</sup>	UNEP/OzL.Pro/ExCom/25/68
26 <sup>th</sup>	UNEP/OzL.Pro/ExCom/26/70
27 <sup>th</sup>	UNEP/OzL.Pro/ExCom/27/48
28 <sup>th</sup>	UNEP/OzL.Pro/ExCom/28/57
29 <sup>th</sup>	UNEP/OzL.Pro/ExCom/29/65
30 <sup>th</sup>	UNEP/OzL.Pro/ExCom/30/41
31 <sup>st</sup>	UNEP/OzL.Pro/ExCom/31/61
32 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/32/44
33 <sup>th</sup>	UNEP/OzL.Pro/ExCom/33/32
34 <sup>th</sup>	UNEP/OzL.Pro/ExCom/34/58 & Corr.1
35 <sup>th</sup>	UNEP/OzL.Pro/ExCom/35/67
36 <sup>th</sup>	UNEP/OzL.Pro/ExCom/36/36
37 <sup>th</sup>	UNEP/OzL.Pro/ExCom/37/71
38 <sup>th</sup>	UNEP/OzL.Pro/ExCom/38/70/Rev.1
39 <sup>th</sup>	UNEP/OzL.Pro/ExCom/39/43
40 <sup>th</sup>	UNEP/OzL.Pro/ExCom/40/50
41 <sup>st</sup>	UNEP/OzL.Pro/ExCom/41/87 & Corr.1, 2 & 3
42 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/42/54 & Corr.1
43 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/43/61
43 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/43/61/Corr.1

<b>Meeting</b>	<b>Document number of final report</b>
44 <sup>th</sup>	UNEP/OzL.Pro/ExCom/44/73 & Corr.1
45 <sup>th</sup>	UNEP/OzL.Pro/ExCom/45/55
46 <sup>th</sup>	UNEP/OzL.Pro/ExCom/46/47
47 <sup>th</sup>	UNEP/OzL.Pro/ExCom/47/61
48 <sup>th</sup>	UNEP/OzL.Pro/ExCom/48/45 & Corr.1
49 <sup>th</sup>	UNEP/OzL.Pro/ExCom/49/43
50 <sup>th</sup>	UNEP/OzL.Pro/ExCom/50/62
51 <sup>st</sup>	UNEP/OzL.Pro/ExCom/51/46
52 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/52/55
53 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/53/67
54 <sup>th</sup>	UNEP/OzL.Pro/ExCom/54/59
55 <sup>th</sup>	UNEP/OzL.Pro/ExCom/55/53 & Corr.1 & 2
56 <sup>th</sup>	UNEP/OzL.Pro/ExCom/56/64 & Corr.1
57 <sup>th</sup>	UNEP/OzL.Pro/ExCom/57/69
58 <sup>th</sup>	UNEP/OzL.Pro/ExCom/58/53 & Corr.1
59 <sup>th</sup>	UNEP/OzL.Pro/ExCom/59/59
60 <sup>th</sup>	UNEP/OzL.Pro/ExCom/60/54
61 <sup>st</sup>	UNEP/OzL.Pro/ExCom/61/58
62 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/62/62
63 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/63/60 & Corr.1
64 <sup>th</sup>	UNEP/OzL.Pro/ExCom/64/53
65 <sup>th</sup>	UNEP/OzL.Pro/ExCom/65/60 & Corr.1
66 <sup>th</sup>	UNEP/OzL.Pro/ExCom/66/54
67 <sup>th</sup>	UNEP/OzL.Pro/ExCom/67/39
68 <sup>th</sup>	UNEP/OzL.Pro/ExCom/68/53 & Corr.1
69 <sup>th</sup>	UNEP/OzL.Pro/ExCom/69/40
70 <sup>th</sup>	UNEP/OzL.Pro/ExCom/70/59
71 <sup>st</sup>	UNEP/OzL.Pro/ExCom/71/64
72 <sup>nd</sup>	UNEP/OzL.Pro/ExCom/72/47 & Corr.1
73 <sup>rd</sup>	UNEP/OzL.Pro/ExCom/73/62
74 <sup>th</sup>	UNEP/OzL.Pro/ExCom/74/56 (re-issued)
75 <sup>th</sup>	UNEP/OzL.Pro/ExCom/75/85