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| **MULTILATERAL FUND FOR THE****IMPLEMENTATION OF THE MONTREAL PROTOCOL** |
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# **GUIDE FOR THE SUBMISSION OF INSTITUTIONAL STRENGTHENING PROJECTS**

**(UPDATED, JANUARY 2023)**

Introduction

# At its 91st meeting, the Executive Committee approved a new format for the terminal report and request for extension of institutional strengthening (IS) projects, presented in Annex I of this document.[[1]](#footnote-2)

# This guide was updated in order to provide Article 5 countries and implementing agencies (IA) with clear advice on how to submit new requests for the renewal of IS projects using the revised terminal report format. The guide applies to the submission of stand‑alone IS projects only and not to IS projects which have been integrated into HCFC phase-out management plans (HPMPs)[[2]](#footnote-3). The guide also gives advice on preparing submissions for countries which had previously integrated IS into their HPMPs and who would now wish to submit a stand-alone IS project.

# The present document consists of the following sections:

Section I: contains a checklist for the submission of an IS project renewal request;

Section II: provides specific instructions for filling out the new IS reporting format;

Section III: highlights the actions to be completed by the IAs and transmission of the report and renewal request to the Secretariat.

Annex I: contains the revised terminal report and request for extension of IS funding (according to the format approved by decision 91/63);

Annex II: contains the gender mainstreaming checklist for projects; and

Annex III: lists relevant sources of information relating to IS projects.

**I: Checklist for IS submission**

# Prior to the submission of the IS renewal request, Article 5 countries and implementing agencies are invited to:

## Check whether the country has more than one IS phase with an ongoing status (ONG). Note that no more than two IS projects should be ongoing at the same time (decision 77/8(i));

## Review the level of disbursements of the previously approved IS phase against the data recorded in the agency’s progress report for any discrepancies;

## Ensure that the country has submitted country programme (CP) data for the current year. Note that while the submission of CP data is not mandatory for requests submitted to the first meeting of the year, the IS report should include an explanation if CP data is being submitted after the 1 May deadline[[3]](#footnote-4);

## Ensure that the Article 5 country has used the updated IS terminal report and renewal request, modified as per decision 91/63 (Annex I). These formats are also available in French and Spanish (Annex XXX of document UNEP/OzL.Pro/ExCom/91/72);

## Ensure that the Article 5 country has completed sections 1 to 14 and 16 prior to transmission to the implementing agency for comments in section 15;

## Check that all sections contain concise and accurate information;

## Check that parts II and III of the revised format and the terminal report summary describe how the IS project has performed against the specific performance indicators stated in the planned activities for that phase;

## Consider the Multilateral Fund gender policy pursuant to decisions 84/92 and 90/48[[4]](#footnote-5) and ensure that relevant activities and objectives are included in the appropriate sections of the document;

## Ensure the IS renewal format has been signed by a government official;

## Ensure that IA has completed the comments in section 15 with a signature from the relevant project officer;

## Consider the information in the IS report when preparing the “draft views of the Executive Committee” for submission to the secretariat; and

## Submit the IS renewal request as part of the implementing agency’s work programme/work programme amendments by the deadline for submission.

**II: Instructions for completing the IS terminal report and request for extension of IS funding**

# The requesting country should complete sections 1 to 14 and 16 of the revised reporting format according to the guidance provided below. Clarifications and advice are to be provided by the implementing agency. The Secretariat encourages the submission of the “IS project terminal report and renewal request” in English as this is the working language of the Secretariat.

**Title:** Update the highlighted sections in the title below to clearly identify the period for the IS report (e.g. phase XX, 20XX to 20XX).

**TERMINAL REPORT AND REQUEST FOR EXTENSION OF INSTITUTIONAL STRENGTHENING FUNDING FOR [COUNTRY] FOR [REPORTING PERIOD] (PHASE XX, 20XX to 20XX)**

**PART I: Overview of IS project and National Ozone Unit (NOU)**

1. **Country:** Use the official name of the country (short form).
2. **Name of the ministry/institution where the ozone / Montreal Protocol unit is attached:** Specify the name of the ministry and department (or institution) where the unit is attached.
3. **Implementing agency:** Choose the implementing agency responsible for the IS using the drop-down menu.
4. **Institutional strengthening (IS) project phases (approved)** **(list only the last two approvals[[5]](#footnote-6)):** Complete the table for each IS phase using the instructions provided below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Phase \*** | **Approved period****(mm/yy)** | **Actual implementation period****(dd/mm/yy)** | **Multilateral Fund funding****(approved)** | **Multilateral Fund funding****(disbursed)** |
| Enter the phase number. If the IS project was renewed for only one year of the regular two-year phase, indicate, “year 1” or “year 2”. For example: Phase III (year 1) in row one | Indicate the date of approval of the specific phase and the date of completion using the “MM/YY to MM/YY” format as per the Secretariat’s Inventory of Approved Projects | Indicate the actual period of implementation of the phase, using the “DD/MM/YY to DD/MM/YY” format | Indicate the amount of funding (US$) approved by the Executive Committee excluding any agency support costs. Use a footnote to the table to indicate any adjustments during the phase | Indicate the total amount of funds US$ disbursed to the country |
| Phase III (year 2) in the following row |  |  |  |  |

\* Note that if a country is submitting a request for a stand-alone IS project after previously including an IS project within the HPMP, the columns should be completed as follows: Use the “Phase” column to indicate the stage of the HPMP, the “Approved period” column to indicate the time period funded under the HPMP, and the “Multilateral Fund funding (approved)” column to indicate the amount of IS funding approved. If one of the two IS phases to be listed was approved prior to the approval of the HPMP indicate it in a separate row as described in the bullets above.

## **IS reporting period and requested phase:**

## Reporting period: Indicate the actual implementation period being reported (MM/YY to MM/YY) noting that this period may not coincide exactly with the duration approved. In order to avoid any gaps, the reporting period should include the period covering any activities implemented under a previous phase of the IS which were not completed/reflected in the previous terminal report.

## Requested phase: Provide the corresponding number of the phase being requested.

# Funding amount: Provide the amount of funding being requested for the next phase in US$ (excluding agency support costs).

# Period of implementation for requested phase mm/yy to mm/yy: Provide the duration of the next phase as (MM/YY to MM/YY).

## **Data reporting:** Fill in the table by indicating the date of submission and the most recent year reported for CP data to the Multilateral Fund Secretariat and Article 7 data to the Ozone Secretariat, using the DD/MM/YY format. If applicable, please indicate the reason for the late submission of the CP data.

1. **Institutional arrangements:**

## In the box provided briefly describe (in 2-3 sentences) the role and position of the NOU within the national government, and the integration of the Montreal Protocol implementation into government plans[[6]](#footnote-7).

## Please select the modality of implementation of the IS project as agreed with the implementing agency in your country using the drop-down menu. If “other” is selected, please briefly describe the modality in the box provided.

## Indicate the designated authority responsible for approving the annual implementation plan of the IS project and supervising the activities of the NOU. Please select as appropriate from the drop-down menu. If “other” is selected, please briefly describe the modality in the box provided[[7]](#footnote-8).

1. Please indicate whether there is a national steering committee[[8]](#footnote-9) or an advisory committee providing guidance to the overall implementation of the IS by ticking the box. If yes is selected, please describe the role and members of the National Ozone Steering Committee in the space provided. Details on the frequency of stakeholders’ consultation for time-bound actions or regulations should be reported exclusively in section 10.

# **Indicate the total number of staff in the NOU:** Pleaseindicate the total number of staff positions in the NOU (total of all full time and half-time staff).

## Number of staff posts with IS funded salaries (full time and half-time staff).

## Number of government supported staff (full time and half-time staff).

## Number of female and male staff members of the NOU.

## Indicate “yes” or “no” to describe whether the unit is fully staffed or not, and please provide a justification in the box if it is not. For example, if the post of national ozone officer (NOO) or another NOU post is vacant, explain how long the post has been vacant and the steps being taken to fill the position.

1. **Indicate the NOU and Project Management Unit (PMU) modality:**

## Please respond “yes” or “no” if the country has a dedicated PMU for HPMP or other project implementation.

## Using the drop-down menu, please specify the role of the NOU in HPMP or other national plan implementation. If “other” is selected, please describe in the box provided.

**PART II. Progress report and activities for the requested phase**

1. In the table provided include concise details on the status of the implementation of the activities approved from the current IS phase and planned activities for the requested phase. Please note the specific performance indicators for each objective are listed in in Part III. Kindly include only activities funded with the IS budget or government counterpart contributions, and avoid activities implemented as part of the HPMP tranches or other technical assistance projects. Note further guidance for each of the five columns is provided below.

| **Components/ elements****(1)** | **Activities[[9]](#footnote-10)****carried out in current reporting period****(2)** | **Outputs[[10]](#footnote-11) achieved for reporting period (specify phase/mm/yy)****(3)** | **Planned activities in next phase****(specify phase/mm/yy)****(4)** | **Expected outputs to be achieved for next phase****(5)** |
| --- | --- | --- | --- | --- |

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| **Column 1: Components or elements** |
| Report each activity under the appropriate component/element row for each of the seven objectives and explain those cases when the same activity would have been organized to meet more than one objective. Components or elements may be indicated as n/a if they are not applicable, and if so, please include an explanation. Please add a row if necessary to include another component or element which reflects the national situation and ensure that these are consistent with the indicators for that specific objective in part III.For **objective 4** on supervision of timely implementation of phase-out activities and reduction in ODS consumption: a detailed report on the implementation of specific projects, such as the implementation of the HPMP, is not required. Instead, indicate those activities or specific actions related to supervision of the project(s) by the NOU and whether the project is being implemented according to the plan.For **objective 7** on the integration of MLF gender policy in implementation of the Montreal Protocol: please note that this is a new indicator and some activities and outputs from previous renewal requests may not have direct matches in the new format. Please ensure that activities and outputs are reported where possible. The gender mainstreaming checklist for projects attached in Annex II can be used as a guide for this section. |

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| **Column 2: Activities carried out in current reporting period** |
| This column should align with those actions indicated in the “Planned activities” column of the previous IS report. Any changes or additions to the previously approved planned activities should be indicated.Typical activities can include: assessing import license requests, recruiting consultants, conducting procurement of equipment, monitoring the market of Montreal Protocol controlled substances, cross-checking import/export data of controlled substances from different sources, facilitating dialogues and coordination meetings, developing terms of reference, designing awareness campaigns, working with social media, celebrating International Ozone Day through a school contest on the ozone layer, etc. |

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| **Column 3: Outputs achieved for reporting period (specify phase/mm/yy)** |
| Briefly state the main outputs achieved and whether any expected outputs were not achieved. Indicate the reasons why if any activities were not implemented and whether they have been rescheduled.Examples of outputs from an IS project can include: annual ODS data reports submitted, publications or promotional material produced, new regulations drafted, an online license system developed, an evaluation report on the controlled market substances with an indication of potential illegal trade, agreements signed with other institutions, minutes from coordination meetings, increased awareness on the ozone layer depletion by school teachers in specific areas, etc.For a request for a stand-alone IS project after previously including IS within the HPMP, please attach a supplementary sheet compiling information on IS activities and achievements for each of the seven objectives. |

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| **Column 4: Planned activities in next phase (specify phase/mm/yy)** |
| Briefly describe the planned activities for the next phase of the IS project. Furthermore, the activities for the next phase should be equivalent or more ambitious than in the current phase. For instance, if an HFC licensing system was drafted but not approved in the current phase, the new phase goal should include follow-up and coordination for getting the HFC licensing system approved and implemented. |

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| **Column 5: Expected outputs to be achieved for next phase** |
| Briefly describe the expected outcomes for each planned activity for the next phase of the IS project. In order to ensure outputs are achieved, it is recommended that the activities in the column “planned activities in next phase” be included in the implementing agency’s agreement with the country, following the approval of the IS phase by the Executive Committee. |

**PART III. Report on performance indicators and achievement of objectives**

1. In this section kindly provide an assessment of the performance indicators provided in the table and then an overall assessment for each of the seven objectives. If all indicators are met the objective is achieved, if only some are met the objective is partially achieved and if none are met the objective is not achieved.

| **Report on performance indicators and achievement of objectives** |
| --- |
| **Objective:** xxx |
| **Indicator (where applicable)** | **Assessment of indicator**To assess the indicators associated with each objectives check one of the four boxes provided. If “not applicable” is checked, please provide an explanation under remarks. | **Any remarks if applicable** |
|  | **Yes** | **No** | **Ongoing** | **Not applicable** |  |
| Two to four indicators are listed for each objective |[ ] [ ] [ ] [ ]  Include any remarks related to the indicators in this column if necessary/applicable |
| **Assessment of objective:** | **Brief description and assessment (achieved/partially achieved/not achieved)**Provide a brief overall assessment (2 to 3 lines) of each objective based on the indicators above. Wherever possible, please include a rating of whether the objective was achieved (all indicators met), partially achieved (some indicators met), or not achieved (none are met). |

1. **Financial report**: Please fill in the table according to the advice outlined in the table below. If required, break down the lines of expenditure further; for example, “Staff” (including consultants) could be broken down into “Staff “and “Consultants”. When requesting a stand-alone IS project after previously including IS within the HPMP, please attach a supplementary sheet providing information on the expenditure of IS funds of the HPMP stage and stating any balances remaining.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Item of expenditure** | **Budget for current phase****(US $)** | **Disbursement** **(for current phase)****(US $)** | **Estimated budget (for requested phase) (US $)** | **Government funding (in kind contribution)****(US $)** |
|  |  | **Actual** | **Obligated** |  | **Current phase** | **Requested phase** |
| This column includes the separate components eligible for IS funding.If the row “Other” is used, please indicate what “Other” refers to. | Provide the US$ budget per item or sub-item of expenditure.The total of this column should equal the amount of funds approved by the Executive Committee for the current phase (excluding support costs). | Indicate the actual expenditures of the recipient country.The total should equal the amount indicated for “Multilateral Fund funding (disbursed)” in Part I question 4. | Indicate the amount of funds committed for expenditures in the current phase. | Indicate the amount of funding being requested per item of expenditure. Explain any major changes to the budget. | Provide a US$ value for the goods or services provided by the Government for the current phase. | Provide a US$ value for the goods or services provided by the Government for the requested phase. |

**Part V. Government evaluation and endorsement**

1. **Government evaluation of the current IS implementation phase:** This section aims for the NOU to share lessons learned (positive and negative), based on experiences during the current phase, related to solving problems and carrying out activities. Furthermore, it seeks the identification and assessment of potential risks in meeting the project objectives and compliance with the Montreal Protocol objectives. This information can be used to help address weaknesses and improve efforts to comply with Montreal Protocol objectives. For questions a) to c) please select boxes as appropriate and provide further information in the box if “other” has been selected. For questions d) to f) please include 2-3 sentences in each of the boxes provided.
2. **Government endorsement:** Please review and sign the form (relevant Government official) “IS terminal report and request for extension” noting that the Secretariat will not review any submission without the required written endorsement from the relevant authority concerned. Indicate the title, supervising organization/agency/ministry and date. A transmittal letter from the Government of the country can also be included with the IS renewal request (optional).
3. **Submission of action plan:** This section should be completed by the implementing agency and signed and dated by the relevant project officer. It also includes a section for the IA’s risk assessment for achieving the objectives. Further advice is provided in section III of the guide below.

**Part VI. Executive summary**

1. Provide a summary of the terminal report and of the plan of action, which should accurately reflect the activities, achievements, and plans described in section 10. The terminal report summary should indicate the number of objectives not achieved, partially achieved, or fully achieved based on the ratings in section 11.

**III: Actions to be completed by the IA and transmission to the Secretariat**

## Prior to submitting the report to the Secretariat, the implementing agency should carefully review the “IS project terminal report and renewal request” in order to:

## Ensure sections are completed;

## Ensure the summaries provided by the country accurately reflect the activities, achievements, and plan as described in section 10; and

## Indicate the name of the implementing agency, project officer, and date and sign (project officer) the “IS terminal report and request for extension”.

## The IA should also ensure they have provided comments relating to risk assessment - an assessment of lessons learnt from the current IS implementation phase (e.g., what were the challenges, what worked well and what experiences or actions could be implemented differently in future IS project phases).

## When submitting the project officer (implementing agency) should also provide a draft of the “Views expressed by the Executive Committee” highlighting any matters to be noted by the Executive Committee. Please provide a concise paragraph. For example: noting with appreciation that the country is in compliance/has returned to compliance, timely submission of Article 7 or CP data reports, significant progress, that the country has participated actively in networks, or any particular event or fact such as the recruitment of an NOO or that an NOO position is vacant. Examples can be found in the annex of the final reports of meetings of the Executive Committee entitled “Views expressed by the Executive Committee on renewal of institutional strengthening projects”.

**Transmission to the Secretariat:**

Transmit the request to the Secretariat with the subject line:

## COUNTRY - INS Phase XX - XX ExCom meeting – AGENCY submission

Incomplete submissions will be returned, i.e., those not containing the following:

## Fully completed IS terminal report and request for extensions (MS Word format)

## An executive summary of the terminal report, plan of action, and paragraph relating to the sustainability and risk assessment of the IS project.

## A scanned copy of the Government endorsement and project officer signature

## Draft “Views expressed by the Executive Committee”.

**Annex I**

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| **TERMINAL REPORT AND REQUEST FOR**  |
| **EXTENSION OF INSTITUTIONAL STRENGTHENING FUNDING**  |

|  |  |
| --- | --- |
| **FOR** | **[COUNTRY]** |
| **FOR** | **[REPORTING PERIOD]** |

Instructions:

Please note that 1 to 15 should be completed by the country concerned before submission to the implementing agency for comments in 16.

**PART I: Overview of IS project and NOU**

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| 1. | Country: |  |

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| --- | --- | --- |
| 2. | Name of the ministry/institution where the ozone unit is attached: |  |

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| --- | --- | --- | --- |
| 3. | Implementing agency:  | Choose an item. |  |

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| --- | --- |
| 4. | Institutional strengthening (IS) project phases (approved) (list only the last two approvals[[11]](#footnote-12)) |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Phase** | **Approved period****(mm/yy)** | **Actual implementation period****(dd/mm/yy)** | **Multilateral Fund funding****(approved)** | **Multilateral Fund funding****(disbursed)** |
|  |  |  |  |  |
|  |  |  |  |  |

|  |  |
| --- | --- |
| 5. | IS reporting period and requested phase: |
| a) | Reporting period (mm/yy to mm/yy): |  |
| b) | Requested phase (indicate number): |  |
| c) | Funding Amount (US $): |  |

|  |  |  |
| --- | --- | --- |
| d) | Period of implementation for requested phase mm/yy to mm/yy: |  |

|  |  |
| --- | --- |
| 6. | Data reporting: |

| **Reporting requirement** | **Most recent year reported** | **Date submitted** |
| --- | --- | --- |
|
| Article 7 |  |  |
| Country programme data  |  |  |

|  |  |
| --- | --- |
| 7. | Institutional Arrangements: |

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| --- | --- |
| a) | Briefly describe the role and position of the National Ozone Unit (NOU) within the national government, and the integration of the Montreal Protocol implementation into the government plans[[12]](#footnote-13) |

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| b) | What is the modality of implementation of the IS project in your country?  | Choose an item. |

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| If other, please briefly describe modality of implementation selected above: |
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| --- | --- | --- |
| c) | Who approves the programme of work and supervises the NOU? | Choose an item. |

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| --- |
| If other, please specify and describe below: |
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| --- | --- |
| d) | Is there a National Ozone Steering Committee (Steering Committee) or similar advisory committee in the country? |

 [ ]  YES [ ]  NO

|  |
| --- |
| If YES, please describe the role and members of the National Ozone Steering Committee? |
|   |

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| If NO, please describe who advises the NOU to implement their mandate? |
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| --- | --- | --- |
| 8. | Indicate the total number staff in the NOU:  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| a) | How many are funded under the IS? |  | Full time |  | Part time |  |
| b) | How many are funded directly by the Government budget as regular staff? |  | Full time |  | Part time |  |
| c) | Please indicate the gender composition of the NOU staff  |  | Male |  | Female |  |
| d) | Is the unit fully staffed? | [ ]  YES | [ ]  NO |  |  |  |

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| If NO, please explain the reasons below: |
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| --- | --- |
| 9. | Indicate the NOU/Project Management Unit (PMU) modality in the country by responding to the following: |

|  |  |
| --- | --- |
| a) | Does your country have a dedicated PMU for the HPMP or other project implementation?  |

##  [ ]  YES [ ]  NO

|  |  |  |
| --- | --- | --- |
| b) | What is the role of the NOU[[13]](#footnote-14) in the implementation of HPMP/other phase out or phase down plans implementation? | Choose an item. |

If other, please specify and describe below:

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**Part II. Progress report and activities for requested phase**

1. Please provide details on the status of the implementation of the activities approved from the current IS phase and planned activities for the requested phase. Components or elements may be indicated as n/a if it is not applicable, and if so, please include an explanation. Please add a row if necessary to include another component which reflects the national situation. Please note the specific performance indicators for each objective in Part III.

| **Components or elements** | **Activities carried out****in current reporting period** | **Outputs achieved for reporting period (specify phase/mm/yy)** | **Planned activities in next phase****(specify phase/mm/yy)** | **Expected outputs to be achieved for next phase** |
| --- | --- | --- | --- | --- |
| **Objective 1: Adoption/implementation of legislation and regulation to control and monitor the imports and use of Montreal Protocol controlled substances**  |
| Amendments to national policies and regulations to include provisions required by the Kigali Amendment |  |  |  |  |
| Effective implementation and enforcement of the licensing and quota system for all Montreal Protocol controlled substances  |  |  |  |  |
| Enforcement of control measures to sustain the phase out of substances already achieved |  |  |  |  |
| Institutional measures in place with relevant offices to effectively monitor potential illegal trade of controlled substances as applicable  |  |  |  |  |
| Enforcement of measures to control or ban the imports of RAC equipment or preblended polyols, if applicable |  |  |  |  |
| Ratification of Amendments to the Montreal Protocol |  |  |  |  |
| **Objective 2: Accurate and timely data collection and reporting of consumption of all Montreal Protocol controlled substances** |
| Monitoring customs import/export data of controlled substances |  |  |  |  |
| Supporting effective and timely data collection for Article 7 and Country Programme data reporting |  |  |  |  |
| Supporting data reporting requirements for HFCs and blends under the Kigali Amendment and monitoring the country compliance in ODP tonnes and CO2-eq tonnes |  |  |  |  |
| **Objective 3: Efficient coordination between national agencies/stakeholders to support the objectives of the Montreal Protocol**  |
| Establishment/enhancement of inter and intra-governmental cooperation mechanisms particularly for the implementation of the Kigali Amendment |  |  |  |  |
| Facilitation of agreements with stakeholders and partners (i.e., RAC associations, industry, and government) to efficiently implement the Montreal Protocol projects and other requirements |  |  |  |  |
| **Objective 4: Supervision of timely implementation of HCFC phase out/HFC phase down activities and the resulting reduction in consumption of controlled substances** |
| Overall coordination of planned projects and expected outputs for approved and ongoing national plans |  |  |  |  |
| Facilitation of timely review and submission of tranches/new stages/individual projects |  |  |  |  |
| Establishment of clearly defined roles for project supervision and implementation and implementation, where relevant |  |  |  |  |
| **Objective 5: Promoting awareness raising and information exchange on relevant issues of the Montreal Protocol** |
| Raising awareness based on assessment of information needs for the general public and for specific sectors to support implementation of Multilateral Fund projects |  |  |  |  |
| Consultation with stakeholders in development of a plan for communication and awareness |  |  |  |  |
| Organizing celebration of World Ozone Day |  |  |  |  |
| **Objective 6: Regional cooperation and participation in Montreal Protocol meetings** |
| Participation in the regional network meetings to provide continuity and institutional capacity building  |  |  |  |  |
| Encouraging country participation at Open-ended Working Group / Meeting of the Parties.  |  |  |  |  |
| Where possible, identify specific activities for cooperation with other countries in the network region on an issue of mutual interest |  |  |  |  |
| **Objective 7: Integration of MLF gender policy in implementation of the Montreal Protocol**  |
| Encouraging consultations with stakeholders to mainstream gender into activities of Montreal Protocol activities |  |  |  |  |
| Integration of the MLF gender policy in project planning and implementation  |  |  |  |  |
| Assessment of engagement from stakeholders and partners in mainstreaming gender into activities, where relevant |  |  |  |  |

**Part III. Report on performance indicators and achievement of objectives**

1. Please provide an assessment of the achievement of the objectives based on the performance indicators provided below and the activities reported in Part II. If all indicators are met the objective is achieved, if only some are met the objective is partially achieved, and if none are met the objective is not achieved.

| **Report on performance indicators and achievement of objectives** |
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| **Objective 1:** Adoption/implementation of legislation and regulation to control and monitor Montreal Protocol controlled substances and equipment |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable** |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * Import control measures are in place for all controlled substances (and relevant equipment/products if applicable) as per the amendments ratified by the country
* Zero reported consumption of phased out substances; and imports of controlled substances consistent with issued quotas and permits
* Cooperation framework/joint activities between NOU and customs are in place
* Ratification of all Montreal Protocol amendments
 | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  |  |
| **Assessment of objective 1:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved |  |
| **Objective 2:** Accurate and timely data collection and reporting of consumption of Montreal Protocol controlled substances |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable**  |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * Timely submission of the CP data report by 1 May of each year
* Timely submission of Article 7 data report by September 30 of each year
* Regular coordination with customs to verify and cross-check import and export quotas and licenses issued for controlled substances (indicate frequency)
 | [ ] [ ] [ ]  | [ ] [ ] [ ]  | [ ] [ ] [ ]  | [ ] [ ] [ ]  |  |
| **Assessment of objective 2:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved. |  |
| **Objective 3:** Strengthening coordination between national agencies/stakeholders to support the objectives of the Montreal Protocol |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable** |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * Inter-ministerial coordination mechanism is established to harmonize domestic policy decisions in line with national regulations/legislation on MP controlled substances
* Cooperation mechanisms in place between government and industry/RAC associations for coordinated efforts to implement HPMP/KIP and investment projects (where applicable)
 | [ ] [ ]  | [ ] [ ]  | [ ] [ ]  | [ ] [ ]  |   |
| **Assessment of objective 3:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved. |  |
| **Objective 4:** Supervision of timely implementation of HCFC phase out/HFC phase down activities and the resulting reduction in consumption of controlled substances |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable** |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * Regular meetings with project staff of HPMP and NOU
* Tranches of HPMPs/KIPs and/or individual projects are submitted as per the approved schedule in the Agreement
* Project activities are implemented as planned
* Other funding requests or new stages developed/submitted within planned timeframe
 | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  |  |
| **Assessment of objective 4:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved. |  |
| **Objective 5:** Promoting awareness raising and information exchange on relevant issues of the Montreal Protocol |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable** |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * Action plan for general awareness raising and outreach developed
* Information materials are prepared and disseminated as per action plan
* World Ozone Day activities celebrated annually
* Report on awareness raising activities implemented as per action plan, where feasible
 | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  |  |
| **Assessment of objective 5:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved. |  |
| **Objective 6:** Regional cooperation and participation in Montreal Protocol meetings |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable** |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * NOU/country participation in regional network meetings
* NOU/country participation in the OEWG or MOP
* The NOU supported the South-south cooperation activities in the region, when required
 | [ ] [ ] [ ]  | [ ] [ ] [ ]  | [ ] [ ] [ ]  | [ ] [ ] [ ]  |  |
| **Assessment of objective 6:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved.  |  |
| **Objective 7:** Integration of MLF gender mainstreaming policy in the implementation of the IS project |
| **Indicator (where applicable)** | **Assessment of indicator** | **Any remarks if applicable** |
| **Yes** | **No** | **Ongoing** | **Not applicable** |
| * Report on the percentage of male and female participants on steering committee/project board meetings
* Terms of reference for hiring staff and consultants include gender competence as requirement and provisions that encourage underrepresented gender to apply
* Consultation with associations, networks, and/or stakeholders focusing specifically on mainstreaming gender throughout the project planning and implementation process
* Sex-aggregated data on participants/presenters is collected for all meetings/trainings/workshops
 | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  | [ ] [ ] [ ] [ ]  |  |
| **Assessment of objective 7:** |
| Please provide a brief assessment (2-3 lines) of the objective based on the indicators above and any other applicable factors. The assessment may include an indication whether the objective was achieved, partly achieved, or not achieved. |  |

**Part IV. Financial report**

1. Please provide in the table below details on the project budget, disbursements, requested budget and government in kind contributions:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Item of expenditure** | **Budget for current phase****(US $)** | **Disbursement****(for current phase)****(US $)** | **Estimated budget** **(for requested phase) (US $)** | **Government funding** **(in kind contribution)****(US $)** |
|  |  | **Actual** | **Obligated** |  | **Current phase** | **Requested phase** |
| Staff (including consultants) |  |  |  |  |  |  |
| Equipment |  |  |  |  |  |  |
| Operational cost (i.e., meetings, consultations, etc.) |  |  |  |  |  |  |
| Public awareness |  |  |  |  |  |  |
| Other |  |  |  |  |  |  |
| **TOTAL** |  |  |  |  |  |  |

**Part V. Government evaluation and endorsement**

1. Government evaluation of the current IS implementation phase

|  |  |
| --- | --- |
| a) | Was the project timely implemented as approved? |

##  [ ]  YES [ ]  NO

|  |  |
| --- | --- |
| b) | What was found to be particularly useful in meeting the IS objectives? |

Please select all that apply:

[ ]  Government support at a high level was provided

[ ]  Support from the implementing agency was timely and efficient

[ ]  Agreement was signed on time

[ ]  Funds were disbursed on time

[ ]  All of the above

[ ]  Other (please specify below)

If other, please specify and describe below:

|  |
| --- |
|  |

|  |  |
| --- | --- |
| c) | Were problems encountered in the implementation? |

##  [ ]  YES [ ]  NO

If YES, please select all that apply:

[ ]  Political issues in the country

[ ]  No support from high level of government

[ ]  Delays in agreement signature

[ ]  Implementing agency not responsive to issues

[ ]  Other (please specify below)

If other, please specify and describe below:

|  |
| --- |
|  |

|  |  |
| --- | --- |
| d) | What experiences or actions should be implemented differently in the future IS project phases? |

|  |
| --- |
|  |

|  |  |
| --- | --- |
| e) | What are the potential risks identified by the Government to achieve the objectives of the IS, and meeting compliance obligations under the Montreal Protocol? |

|  |
| --- |
|  |

|  |  |
| --- | --- |
| f) | What actions have been identified to mitigate these potential risks? |

|  |
| --- |
|  |

1. Government endorsement

|  |  |
| --- | --- |
| Action plan authorized by ***(name)***: |  |
| Signature of authorising authority: | ***(To be signed on hard copy)*** |
| Title: |  |
| Supervising Organization/Agency/Ministry: |  |
| Date: |  |

1. Submission of action plan

|  |  |
| --- | --- |
| Name of implementing agency: |  |
| Nameof Project Officer: |  |
| Signature of Project Officer: |  |
| Date: |  |
| Implementing agency’s risk assessment for achieving the project objectives including compliance obligations, and actions for mitigating the potential risks, identify challenges faced and lessons learnt, and other comments |  |

 **Part VI. Executive summary**

1. Please provide a summary below of the information required in no more than one paragraph each. These paragraphs will be used in documents for the Executive Committee Meeting.
2. Terminal report
3. Plan of action
4. Sustainability and risk assessment

**Annex II**

**GENDER MAINSTREAMING CHECKLIST FOR PROJECTS**

| **Project component** | **Question** | **Answer** |
| --- | --- | --- |
|  |  | Yes | No | Partially |
| Project preparation | Does the project concept include consideration of (a) the different situations of women and men, and (b) the impacts the project will have on these different societal groups? |  |  |  |
| Does the project explicitly address one or more of the identified gender issues/ gender-differentiated project impacts? Please describe how, and if not provide an explanation. |  |  |  |
| Data and statistics | Where applicable, does the project require the collection of sex-disaggregated data and qualitative information to analyze and track gender issues?  |  |  |  |
| Results framework | Are outcomes, outputs and activities designed to meet the different needs and priorities of women and men? |  |  |  |
| Does the results framework include gender responsive indicators, targets and baseline data to monitor gender equality results? |  |  |  |
| Budget | Has the budget taken into account allocations for the proposed gender activities (e.g., capacity building activities for female technicians)?  |  |  |  |
| Stakeholders and participation | Are women/gender-focused Ministries, groups, associations or gender units in partner organizations consulted/included in the project? |  |  |  |
| Does the project ensure that both women and men can provide inputs, access and participate in project activities (e.g., through outreach / invitations of female technicians to participate in capacity building activities)? |  |  |  |
| Gender capacities | Has a gender expert been recruited or does the project staff have gender knowledge and have gender related tasks incorporated in their job descriptions? |  |  |  |
| Will project staff and stakeholders be sensitized to gender (e.g., through completion of UN Women online training courses)? |  |  |  |
| Implementation arrangement | Is there gender-balanced recruitment of project personnel and gender balanced representation in project boards and steering committees? |  |  |  |
| Monitoring and evaluation | Does the monitoring and evaluation of the project require specific reporting on gender issues and progress made to address these (quantitatively and qualitatively)? |  |  |  |
|  |  |  |  |  |

**Annex III**

**RELEVANT SOURCES OF INFORMATION**

* Chapter 10. Institutional strengthening. Policies, procedures, guidelines and/or criteria document, Multilateral Fund Secretariat ([www.multilateralfund.org](http://www.multilateralfund.org)). This provides a list of all the decisions taken by the Executive Committee on institutional strengthening
* Inventory of approved project proposals, Multilateral Fund Secretariat (distributed to implementing agencies). The inventory includes information on all IS projects approved by the Executive Committee including: phase approved, duration of phase, amount approved, support costs and so on
* Reports of the meetings of the Executive Committee ([www.multilateralfund.org](http://www.multilateralfund.org))
* Pre-session documents of Executive Committee meetings as listed below

| **Document number** | **Month/Year** | **Title of document** |
| --- | --- | --- |
| UNEP/OzL.Pro/ExCom/5/5/Rev.2 | November 1991 | Procedure for (presentation) of country programmes and project proposals to the Executive Committee |
| UNEP/OzL.Pro/ExCom/7/20 | June 1992 | Institutional strengthening |
| UNEP/OzL.Pro/ExCom/19/52 and Corr.1 | April 1996 | Guidelines for renewal of institutional strengthening projects |
| UNEP/OzL.Pro/ExCom/28/15 | June 1999 | Institutional strengthening projects: implementation of decision 27/10 |
| UNEP/OzL.Pro/ExCom/30/6 and Corr.1 | February 2000 | Final report on the 1999 evaluation of institutional strengthening projects and draft follow-up action plan |
| UNEP/OzL.Pro/ExCom/32/18 | December 2000 | General principles for agreements between governments and implementing agencies on new and renewed institutional strengthening projects (decision 30/7 (c)) |
| UNEP/OzL.Pro/ExCom/33/16 | March 2001 | General principles for agreements between governments and implementing agencies on new and renewed institutional strengthening projects (follow-up to decision 32/15) |
| UNEP/OzL.Pro/ExCom/34/53 | July 2001 | 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 |
| UNEP/OzL.Pro/ExCom/35/61 and Corr.1 | December 2001 | Study on defining a starting point for determining the remaining ODS consumption eligible for funding by the Multilateral Fund: follow-up to decision 34/66(a) |
| UNEP/OzL.Pro/ExCom/43/49 | July 2004 | Potential implications of subsequently increasing the amounts approved for institutional strengthening projects (decision 42/22 (b)) |
| UNEP/OzL.Pro/ExCom/44/CRP.1 | December 2004 | Enhancing Article 5 countries national ozone unit capacity building in the final stages of the compliance period to the Montreal Protocol - Proposal submitted by the Government of China |
| UNEP/OzL.Pro/ExCom/45/47 | April 2005 | Enhancing capacity-building in the national ozone units of Article 5 countries in the final stages of the Montreal Protocol compliance period (follow‑up to decision 44/64) |
| UNEP/OzL.Pro/ExCom/47/53 | November 2005 | Preliminary results of an analysis of possible further action and policies required to assist compliance with all ODS phase-out requirements, including the review of institutional strengthening projects envisaged under decision 35/57 (follow‑up to decision 45/55) |
| UNEP/OzL.Pro/ExCom/49/38 | April 2006 | The relative merits of replacing the current requirements for submissions of requests for renewal of an institutional strengthening project with a simplified arrangement (follow-up to decision 47/49) |
| UNEP/OzL.Pro/ExCom/53/61 | November 2007 | Paper on options for possible funding arrangements and levels for institutional strengthening support beyond 2010, and on opportunities to fine-tune the institutional strengthening renewal process (follow-up to decisions 47/49 and 49/32) |
| UNEP/OzL.Pro/ExCom/54/13 | April 2008 | Desk study on the evaluation of institutional strengthening projects |
| UNEP/OzL.Pro/ExCom/56/8 | November 2008 | Final report on the evaluation of institutional strengthening projects |
| UNEP/OzL.Pro/ExCom/57/63 | April 2009 | Institutional strengthening beyond 2010: funding and levels (follow-up to decision 53/39) |
| UNEP/OzL.Pro/ExCom/58/18 | July 2009 | Institutional strengthening: options for funding after 2010 (follow-up to decision 53/39 and decision 57/36(b)) |
| UNEP/OzL.Pro/ExCom/59/53 | November 2009 | Institutional strengthening: options for funding after 2010 |
| UNEP/OzL.Pro/ExCom/60/15 | April 2010 | Overview of issues identified during project review |
| UNEP/OzL.Pro/ExCom/61/49 | July 2010 | Institutional strengthening: options for funding and formats for renewal requests |
| UNEP/OzL.Pro/ExCom/74/51 | May 2015 | Review of funding of institutional strengthening projects (decision 61/43(b)) |
| UNEP/OzL.Pro/ExCom/84/73 | December 2019 | Draft operational policy on gender mainstreaming for Multilateral Fund-supported projects |
| UNEP/OzL.Pro/ExCom/89/4 | May 2022 | Review of institutional strengthening projects including funding levels (decision 74/51(d))  |
| UNEP/OzL.Pro/ExCom/91/60 | December 2022 | Review of institutional strengthening projects, including funding levels, terminal report and extension request formats, and performance indicators that could be used consistently by all Article 5 countries (decision 89/3) |

1. Decision 91/63(c) requests Article 5 countries, through the bilateral and implementing agencies, to use the revised format approved in decision 91/63(b) for all requests for IS renewal as of the first meeting of the Executive Committee in 2023. [↑](#footnote-ref-2)
2. Decisions 59/17 and 59/47(b) allow Article 5 countries to submit their IS projects as stand-alone projects or within their HPMP. [↑](#footnote-ref-3)
3. The agency work programme documents presented to the first meeting of the year draw attention to those institutional strengthening projects for which no CP implementation reports have been submitted by the deadline, including *inter alia* in the annex containing the views expressed by the Executive Committee. [↑](#footnote-ref-4)
4. In line with decision 84/92(d) and decision 90/48(c) encouraged bilateral and implementing agencies to continue ensuring that the operational gender mainstreaming policy was applied to all projects, taking into consideration the specific activities presented in table 2 of document UNEP/OzL.Pro/ExCom/90/37. [↑](#footnote-ref-5)
5. Decision 77/8(i): That no more than two institutional strengthening projects should be ongoing at the same time. [↑](#footnote-ref-6)
6. Decision 32/17(b) [↑](#footnote-ref-7)
7. An example of “other” could be a project steering committee, an ozone national advisory body, an inter-ministerial commission, etc. It will depend on the agreement between the government authorities and the implementing agency. [↑](#footnote-ref-8)
8. A national steering committee may be constituted as a prerogative of each country, and the working modalities, and compositions of committee members may vary.. [↑](#footnote-ref-9)
9. Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilized to produce specific outputs. [↑](#footnote-ref-10)
10. Outputs are changes in skills or abilities and capacities of individuals/institutions, or the availability of new products and services that result from the completion of activities within a development intervention within the control of the organization. They are achieved with the resources provided and within the time specified. [↑](#footnote-ref-11)
11. Decision 77/8(i)): That no more than two institutional strengthening projects should be ongoing at the same time. [↑](#footnote-ref-12)
12. Decision 32/17(b) [↑](#footnote-ref-13)
13. Required information from LVC countries. [↑](#footnote-ref-14)