Document d'introduction au Comité exécutif - 2009

Une introduction au Comité exécutif du Fonds multilatéral aux fins d'application du Protocole de Montréal

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INTRODUCTION **3**

1. FONCTIONS DU COMITÉ EXÉCUTIF **5**

2. ACTIVITÉS PRÉALABLES À LA RÉUNION DU COMITÉ EXÉCUTIF **5**

3. ACTIVITÉS DE LA RÉUNION DU COMITÉ EXÉCUTIF : LA SESSION **6**

Ouverture de la réunion *6*
Questions d'organisation *6*
Activités du Secrétariat *7*
État des contributions et des décaissements *7*
État des ressources et planification des activités *8*
Planification des activités *9*
Mise en œuvre du programme *11*
Examen des projets *14*
Programmes de pays *19*
Comptes du Fonds multilatéral *19*
Budget triennal révisé du Fonds multilatéral *20*
Sous-groupe du Comité exécutif sur le secteur de la production *20*
Rapport du Comité exécutif à la Réunion des Parties *21*
Adoption du rapport *21*

4. ACTIVITÉS QUI SUIVENT LES RÉUNIONS DU COMITÉ EXÉCUTIF **21**

INTRODUCTION

Ce document d'introduction a pour objet de fournir aux nouveaux membres du Comité exécutif un guide du fonctionnement du Fonds multilatéral et du Comité exécutif. Le document d'introduction sera mis à jour chaque année, après la dernière réunion de l'année civile, afin de le préparer pour les nouveaux membres qui joindront le Comité exécutif l'année suivante.

Le document d'introduction familiarise les nouveaux membres du Comité exécutif avec le processus des réunions. Le document aborde d'abord les préparatifs de présession, ensuite la présentation point par point des activités de la session et enfin les activités qui suivent la réunion. Une courte explication des différents points à l'ordre du jour est fournie, et les enjeux de même que le genre de mesure que désire prendre le Comité exécutif sont précisés. Le nom des documents liés à l'ordre du jour est indiqué en **caractères gras**. Le texte en ***italique*** renvoie le lecteur à l'appendice correspondant afin qu'il puisse obtenir plus de renseignements.

L'appendice 1 fournit des renseignements généraux sur le Fonds multilatéral, ses objectifs et les principaux concepts sur lesquels se fondent les activités du Fonds. Il donne les grandes lignes des principales structures du Fonds multilatéral et fournit de courtes descriptions de leur rôle. Il propose également un organigramme illustrant les liens entre les différentes structures.

L'appendice 2 fournit de l'information sur le fonctionnement du Fonds multilatéral au chapitre de la planification financière, des programmes de pays, de l'examen et de l'approbation des projets et de la surveillance des projets jusqu'à l'évaluation des projets achevés.

L'appendice 3 propose un tableau qui résume les points de l'ordre du jour qui reviennent à chaque réunion. Il propose également des tableaux des première, deuxième et troisième réunions précisant les points de l'ordre du jour traités aux différentes réunions selon le cycle des activités du Comité exécutif. Il comprend le mandat du Comité exécutif de même que les règles de procédure des réunions du Comité exécutif.

L'appendice 4 examine les règles de procédure qui régissent les réunions du Comité exécutif et fournit des détails sur la logistique et les dispositions pratiques pour les participants aux réunions du Comité exécutif.

L'appendice 5 offre des détails sur les principales sources d'information.

Le **répertoire du Fonds multilatéral**, comprenant les coordonnées des membres du Comité exécutif et du Secrétariat du Fonds, des agences d'exécution, des agences bilatérales et du Trésorier, est publié sur le réseau Intranet ou peut être obtenu auprès du Secrétariat du Fonds. Le document **Politiques, procédures, critères et lignes directrices du Fonds multilatéral (PPCL),** mis à jour après chaque réunion du Comité exécutif, fournit de plus amples renseignements sur les politiques et les procédures du Fonds multilatéral. Depuis septembre 2007, les informations sur les plans d'élimination pluriannuels et sur les projets précédemment inclus dans le PPCL sont contenues dans un nouveau document intitulé **Plans et projets d'élimination**. Ce document d'introduction est d'abord et avant tout un guide à l'intention des membres du Comité exécutif. L'information axée sur les besoins des administrateurs des Bureaux de l'ozone est présentée dans le Guide des

administrateurs des Bureaux nationaux de l'ozone préparé par le Programme d'aide à la conformité du PNUE.

RÉUNIONS DU COMITÉ EXÉCUTIF

1. Fonctions du Comité exécutif

Les fonctions du Comité exécutif consistent à approuver les politiques et les lignes directrices du Fonds multilatéral (publiées sur le site Web du Fonds multilatéral à www.multilateralfund.org), notamment les critères d'admissibilité des projets et de la surveillance de la mise en œuvre; à élaborer le plan triennal et le budget annuel du Fond; à approuver les programmes de pays et les différents projets et activités; à préparer le rapport sur les activités du Fonds multilatéral remis chaque année à la Réunion des Parties, et à superviser la gestion du Fonds. Le Comité exécutif s'acquitte surtout de ces fonctions lors de ses trois réunions annuelles en mars-avril, juin-juillet et novembre-décembre.

Pour en savoir plus sur les fonctions du Comité exécutif, consultez l'appendice 1.3.1 : Les Parties au Protocole de Montréal et le Comité exécutif, et l'appendice 3 : Mandat du Comité exécutif.

Le programme de travail du Comité exécutif correspond à l'ordre du jour des réunions. Plusieurs points permanents sont abordés à toutes les réunions. Les ordres du jour des trois réunions proposent également plusieurs autres points portant sur les différentes actions qui doivent avoir lieu à différentes étapes du cycle annuel. À titre d'exemple, les plans d'activités des agences doivent être approuvés à la première réunion de l'année civile afin que les agences puissent présenter leurs demandes de financement pour les projets et les activités contenus dans les plans d'activités lors des trois réunions de l'année. À la fin de l'année, le Comité exécutif examine l'état de la mise en œuvre des plans d'activités de l'année en cours ainsi qu'un rapport à jour de la situation des pays visés à l'article 5 en matière de conformité aux prochaines mesures de réglementation, et le plan d'activités triennal à horizon mobile pour les trois prochaines années, afin d'être en mesure de prendre des décisions pour régler les problèmes urgents en instance en matière de conformité. Ces décisions sont ensuite intégrées à l'exercice de planification d'activités de l'année suivante.

Pour consulter les tableaux offrant une liste complète des points à l'ordre du jour des différentes réunions, voyez l'appendice 3 : Réunions du Comité exécutif.

2. Activités préalables à la réunion du Comité exécutif

Le Secrétariat du Fonds coordonne les préparatifs de présession des réunions du Comité exécutif et s'assure que les membres sont bien informés afin qu'ils puissent faire leurs propres préparatifs en conséquence.

- L'ordre du jour provisoire est préparé par le Secrétariat en accord avec le président et le vice-président.
- Les invitations, l'ordre du jour et les données de logistique sont communiqués aux membres du Comité exécutif et aux observateurs longtemps avant la réunion.
- Les documents de présession sont affichés sur le réseau Intranet du Comité exécutif dès qu'ils sont émis par le Secrétariat (le Secrétariat fournit un nom d'utilisateur et un mot de passe).
- Les documents de pré session de catégorie GÉNÉRALE sont affichés sur le site Web public, quatre semaines avant la réunion.

Pour plus de renseignements sur les dispositions de présession, consultez l'appendice 4.1 : Logistique et arrangements, avant la réunion.

3. Activités de la réunion du Comité exécutif : la session

Le président a la responsabilité d'animer la réunion. Il est aidé du Chef du Secrétariat du Fonds qui agit à titre de secrétaire de la réunion (règle 16)[1].

Les membres disposent de droits de vote égaux mais, jusqu'à ce jour, les décisions prises aux réunions ont toujours été le résultat d'un consensus. S'il n'y avait pas eu consensus, les décisions auraient été prises par un vote majoritaire des deux tiers des Parties présentes et ayant droit de vote, représentant la majorité des Parties visées au paragraphe 1 de l'article 5 et la majorité des Parties non visées au paragraphe 1 de l'article 5 présentes et exerçant leur droit de vote (règle 17).

Pour plus de renseignements sur les règles et les procédures des réunions du Comité exécutif, consultez l'appendice 3.

Ouverture de la réunion

Le président du Comité exécutif procède à l'ouverture de la réunion, plaçant celle-ci dans le contexte du plan de travail d'ensemble du Fonds multilatéral. Il attire l'attention des membres sur les principales questions à débattre.

Questions d'organisation

a) Adoption de l'ordre du jour

L'**ordre du jour provisoire** établit le plan de travail de la réunion. L'**ordre du jour provisoire annoté** qui l'accompagne et qui sert de guide à la réunion, offre un court historique des questions à débattre à chaque point et de la procédure habituelle du Comité exécutif. Le Comité exécutif prend connaissance de l'ordre du jour et soulève les questions qui devraient y paraître.

<u>Procédure habituelle du Comité exécutif :</u>

Le Comité exécutif prend connaissance de l'ordre du jour provisoire et demande des éclaircissements ou suggère des points supplémentaires à y ajouter, avant de l'adopter.

[1] Voir les Règles de procédure des réunions du Comité exécutif du Fonds multilatéral aux fins d'application du Protocole de Montréal contenues dans l'appendice 3.

b) Organisation des travaux

Le président propose l'ordre dans lequel la plénière abordera les points à l'ordre du jour et prend les dispositions nécessaires concernant tous les groupes de liaison compétents que le Comité exécutif pourrait devoir organiser pendant la semaine pour traiter d'une question en particulier. Comme le Comité exécutif adopte le rapport avant la fin de la réunion, le président demande aux membres de terminer leurs discussions sur les points à l'ordre du jour avant la fin de la journée du jeudi afin que le Secrétariat puisse préparer un projet de rapport pour le vendredi matin et le remettre aux membres du Comité exécutif avant le vendredi après-midi, la dernière journée de la réunion, aux fins d'adoption. Le président propose également les heures des réunions.

Activités du Secrétariat

Le Chef du Secrétariat du Fonds multilatéral présente un rapport sur les activités auxquelles s'est adonné le Secrétariat depuis la dernière réunion. En général, le rapport porte sur la suite donnée aux décisions du Comité exécutif, l'examen des documents présentés à la présente réunion; les détails des réunions auxquelles le personnel du Secrétariat a assisté; les prochaines interactions avec les accords multilatéraux sur l'environnement et les missions qu'il a entreprises, la dotation en personnel et un compte rendu des activités d'information.

Procédure habituelle du Comité exécutif :

Le Comité exécutif pourrait souhaiter examiner le rapport et en prendre note.

État des contributions et des décaissements

Le Trésorier présente un compte rendu de l'**état des contributions et des décaissements** du Fonds à toutes les réunions. Ce compte rendu comprend le solde du Fonds, les recettes et les contributions, un rapport cumulatif d'information sur l'état pour la période triennale, dont des données sur les gains et les pertes attribués au mécanisme de taux de change fixe.

Les explications sur la méthode et les hypothèses sur lesquelles se fonde le Trésorier sont présentées dans le document UNEP/OzL.Pro/ExCom/39/3 Rev.1 (publié sur le réseau Intranet du Fonds multilatéral).

Procédure habituelle du Comité exécutif :

Le Comité exécutif examine le rapport du Trésorier et aborde les questions relatives au paiement des contributions aux dates demandées, par les Parties donatrices. En général, le Comité exécutif prend note du rapport et prend les décisions nécessaires sur les mesures à prendre.

État des ressources et planification des activités

a) Rapport sur les soldes et disponibilité des ressources

Toutes les réunions du Comité exécutif commencent par un ordre du jour organisationnel intitulé État des ressources et planification des activités, qui porte, entre autres, sur la disponibilité des ressources pour la réunion (décision 41/92). Le **rapport sur les soldes et disponibilité des ressources** présenté à ce point de l'ordre du jour propose un examen des soldes des projets menés à terme par les agences et des coûts d'appui associés aux fonds restants de ces projets achevés, de même qu'un calcul du montant total des ressources dont dispose le Comité exécutif pour les nouvelles approbations données à cette réunion. Le montant total engageable représente la somme des soldes retournés de projets achevés et le solde du Fonds indiqué dans le rapport du Trésorier sur l'état des contributions et des décaissements.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend connaissance de l'ensemble des ressources financières dont il dispose pour les approbations accordées à la réunion en cours et examine toutes les questions relatives au retour des soldes de même que les solutions proposées.

b) État de la mise en œuvre des projets ayant un retard et perspectives de conformité aux prochaines mesures de réglementation du Protocole de Montréal dans les pays visés à l'article 5

Le Comité exécutif examine à chaque réunion une évaluation détaillée du risque de non conformité des pays visés à l'article 5 contenue dans le document sur l'**État de la mise en œuvre de projets ayant un retard et les perspectives de conformité aux prochaines mesures de réglementation du Protocole de Montréal dans les pays visés à l'article 5** présenté lors de chaque réunion. L'analyse de la situation de conformité des pays visés à l'article 5 est fondée sur les données communiquées au Secrétariat de l'ozone en vertu de l'article 7 et les données du programme de pays transmises au Secrétariat du Fonds. Depuis la 54e réunion, ce document comprend également des informations sur des projets ayant des retards de mise en œuvre et une évaluation plus détaillée des risques de non conformité s'appuyant sur les systèmes d'autorisation, l'état des plans de gestion de l'élimination finale/ plans nationaux d'élimination (PGEF/PNE), les retards de mise en œuvre et autres questions institutionnelles/mécanismes de marché, notamment des informations sur le prix de toutes les SAO, dont les HCFC et leurs substances de remplacement.

Les projets subissant des retards et les projets présentant des soldes financiers sont examinés de manière approfondie à chaque réunion. Les informations présentées au Comité exécutif permettent d'examiner les projets ayant des retards de mise en œuvre, les projets proposés en vue d'une éventuelle annulation lors de la réunion ainsi que l'impact des projets annulés sur la conformité.

Procédure habituelle du Comité exécutif :

Le Comité exécutif examine l'état de la conformité, l'état de la mise en œuvre des projets en cours et les données sur la mise en œuvre des programmes de pays. Après l'examen, le Comité peut

demander aux agences d'exécution d'aider les pays identifiés dans le rapport comme des pays ayant une consommation admissible, non visés dans les plans d'activités.

L'examen des retards de mise en œuvre de projet aide le Comité exécutif à déterminer quels sont les projets destinés à l'annulation, à la demande d'un contrôle plus poussé ou encore à la suppression du projet de la liste des retards, et également à être mieux informé sur la façon d'éviter des retards dans l'avenir. Le Comité prendra note des rapports de suivi et des informations sur les projets subissant des retards de mise en œuvre. Dans certains cas, le Comité adoptera les objectifs et les dates butoirs des projets et, dans d'autres, il prendra note de l'annulation ou de l'achèvement du projet.

Pour obtenir des explications du concept de la conformité, consultez l'appendice 1.2 : Principaux concepts du Fonds multilatéral.

Pour des informations spécifiques sur la surveillance de projet et les procédures d'annulation, consultez l'appendice 2.4.2 : Surveillance de projets – retards de mise en œuvre et annulation.

c) Planification financière pour la période triennale

La planification financière est réalisée tous les trois ans, lorsque les Parties au Protocole de Montréal décident de la reconstitution du Fonds multilatéral. Le document sur la **planification financière pour la période triennale** fournit au Comité exécutif des budgets annuels suggérés et l'informe sur la disponibilité des ressources en vertu du budget adopté par les Parties.

Procédure habituelle du Comité exécutif :

La réunion se penche sur les engagements déjà faits dans le cadre d'accords pluriannuels, entre autres, ou destinés à payer des frais habituels engagés par le Fonds multilatéral (le renforcement des institutions, le budget du Secrétariat du Fonds et les réunions du Comité exécutif, les coûts de base des agences d'exécution, et le Programme d'aide à la conformité du PNUE). Le plan financier adopté doit faire correspondre ces dépenses aux contributions versées chaque année. Se fondant sur cette analyse, le Comité exécutif adopte une affectation des ressources pour chaque année de la période triennale.

Pour en savoir plus sur la reconstitution, consultez l'appendice 2.1.1 : Reconstitution du Fonds multilatéral.

d) Plans d'activités pour l'année en cours

La mise en œuvre des plans d'activités, notamment les informations concernant les retards de présentation de tranche annuelle, est placée à cet ordre du jour de l'agenda lors de la deuxième et de la troisième réunions de l'année. Veuillez vous référer à la section ci-dessous sur la Planification des activités pour de plus amples détails.

Planification des activités

La planification des activités est l'outil utilisé par le Comité exécutif pour attribuer les ressources qui aideront les pays visés à l'article 5 à respecter les objectifs de réglementation du

Protocole de Montréal. Un plan triennal est élaboré afin d'offrir une perspective à long terme des objectifs de conformité que doivent atteindre tous les pays visés à l'article 5 au chapitre de la réduction des substances qui appauvrissent la couche d'ozone (SAO), des stratégies proposées et de l'affectation des ressources nécessaires pour respecter les exigences de conformité. Le plan triennal, le **modèle de plan d'élimination triennal à horizon mobile**, est mis à jour chaque année afin d'y inclure les exigences de la prochaine année, ce qui en fait un plan triennal à horizon mobile. Il est présenté au Comité exécutif à la dernière réunion de l'année civile, au point ***État des ressources et planification*** de l'ordre du jour, et sert de référence pour l'élaboration et l'évaluation des plans d'activités annuels des agences d'exécution pour l'année suivante.

Le Comité exécutif doit s'intéresser aux questions suivantes dans le contexte du **modèle de plan d'élimination triennal à horizon mobile** :

- Les objectifs de conformité de toutes les substances réglementées entrent-ils en ligne de compte pour la période de trois ans à l'étude?
- Les pays ayant besoin d'assistance sont-ils tous inclus?
- Les fonds proposés sont-ils appropriés et suffisants?

Le deuxième niveau de planification porte sur la planification des activités des agences d'exécution. Comme les contributions au Fonds multilatéral sont versées chaque année par les Parties donatrices, les activités du Fonds multilatéral sont généralement organisées selon un cycle annuel. Le cycle débute chaque année par la préparation des **plans d'activités** par les agences d'exécution et bilatérales. Ces plans proposent des niveaux de SAO à éliminer, les fonds à décaisser et des indicateurs d'efficacité contre lesquels l'efficacité des différentes agences peut être évaluée. Les **plans d'activités** des agences tiennent compte des activités mises de l'avant dans le **modèle de plan d'élimination triennal à horizon mobile** qui doivent être financées et mises en œuvre au cours de l'année afin que les pays visés à l'article 5 puissent respecter les calendriers de réduction du Protocole de Montréal.

Le Secrétariat du Fonds regroupe les **plans d'activités** des agences afin de compiler le **plan d'activités général du Fonds multilatéral** en se fondant sur les objectifs du **modèle de plan d'élimination triennal à horizon mobile** et la nécessité d'offrir une assistance immédiate aux pays qui risquent d'être en situation de non-conformité par rapport à leurs obligations en vertu du Protocole de Montréal.

Le plan d'activités annuel du PNUE est différent de celui des trois autres agences d'exécution, notamment par le fait que sa composante principale, le Programme d'aide à la conformité, est approuvée à la fin de l'année. Comme le Programme d'aide à la conformité couvre surtout les coûts des employés des projets du Programme d'aide à la conformité (employés du PNUE) travaillant dans les bureaux régionaux du PNUE, le Comité exécutif doit approuver le plan d'activités annuel du PNUE à la dernière réunion de l'année afin que ces postes puissent être financés pour l'année suivante.

Le **Plan triennal d'activités général du Fonds multilatéral** est présenté avec les **plans d'activités** à la première réunion du Comité exécutif de l'année civile aux fins d'examen et d'approbation. Le Comité exécutif tient compte des éléments suivants lors de l'examen des plans d'activités :

- La conformité des plans d'activités annuels des agences au **modèle de plan d'élimination à horizon mobile**.
- La mesure dans laquelle les besoins des pays à risque de non-conformité sont comblés.
- Le caractère adéquat du nombre de pays recevant de l'assistance.
- La clarté et le caractère opportun des objectifs proposés.

Le Secrétariat contrôle la mise en œuvre des plans d'activités, notamment les informations sur les retards de présentation de tranche annuelle, à la deuxième et à la troisième réunions de l'année, au point ***États des ressources et planification*** de l'ordre du jour, afin d'informer le Comité de la mesure dans laquelle les activités planifiées ont été réalisées.

Procédure habituelle du Comité exécutif :

Le Comité exécutif appuie les activités contenues dans les plans d'activités et approuve les indicateurs d'efficacité pour les agences à la première réunion de l'année. Le Comité exécutif est tenu d'adopter les objectifs et les budgets des plans d'activités annuels des agences et d'appuyer les objectifs d'efficacité des plans d'activités de toutes les agences. Cependant, en appuyant les plans, le Comité exécutif n'appuie pas les projets qu'ils contiennent. Ces projets et ces activités doivent être proposés au Comité exécutif pendant l'année, aux fins d'approbation.

À la dernière réunion de l'année, le Comité exécutif examine, au point ***État des ressources et planification*** de l'ordre du jour, les projets et les activités des plans d'activités qui n'ont pas été proposés, et les incidences de la non présentation de ces projets sur la conformité. Le Comité exécutif peut demander aux agences d'exécution bilatérales d'inclure ces activités importantes dans leurs plans d'activités pour l'année suivante. Le Comité exécutif examine également le modèle de plan d'élimination triennal à horizon mobile et, d'après les résultats de son analyse, le Comité exécutif offre son assistance aux agences bilatérales et d'exécution pour la préparation de leurs plans d'activités.

Pour plus de renseignements sur la planification financière, consultez l'appendice 2.1 : Planification financière

Mise en œuvre du programme

Ce point de l'ordre du jour porte sur la surveillance et l'évaluation de projets et d'activités mis en œuvre par les agences bilatérales et d'exécution, et l'évaluation des projets en cours et achevés. Le Comité exécutif s'assure que les fonds décaissés par le Fonds multilatéral sont réellement utilisés pour satisfaire aux objectifs du projet.

Pour en savoir plus sur les activités de surveillance et d'évaluation, consultez l'appendice 2.4 : Surveillance, et l'appendice 2.5 : Évaluation.

a) Études d'évaluation

Les évaluations, qui sont habituellement fondées sur un secteur en particulier, évaluent le cycle d'un projet depuis la préparation du projet et tout au long de sa mise en œuvre jusqu'à l'achèvement, et déterminent si les objectifs des projets, surtout au chapitre de l'élimination, ont été atteints. Les rapports d'évaluation sont préparés par des consultants indépendants, sous la coordination de l'Administrateur, Surveillance et évaluation, conformément au programme de travail de surveillance et d'évaluation approuvé par le Comité exécutif à la dernière réunion d'une année civile. Les études théoriques sont réalisées à partir de rapports et de documents dont dispose le Secrétariat du Fonds, tandis que les rapports d'évaluation finaux sont fondés sur des visites sur le terrain et des consultations avec les Bureaux nationaux de l'ozone, les agences d'exécution et bilatérales, et d'autres parties prenantes.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend connaissance des rapports d'évaluation et présente des recommandations fondées sur les rapports afin d'améliorer l'efficacité du Fonds multilatéral.

b) Rapport global d'achèvement des projets

Le **rapport global d'achèvement des projets** offre une analyse des rapports d'achèvement des projets reçus par le Secrétariat du Fonds au cours des douze derniers mois. Les rapports d'achèvement de projet sont préparés selon des modèles approuvés par le Comité exécutif. Le rapport global est présenté à la dernière réunion de l'année civile, et évalue la qualité des rapports d'achèvement de même que leur remise dans les délais prescrits par les agences d'exécution.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend note du **rapport global d'achèvement des projets** et peut prendre des décisions sur les questions soulevées dans le document.

c) Projet de programme de surveillance et d'évaluation

Ce document décrit l'état des activités de mise en œuvre et d'évaluation en cours et les études d'évaluation prévues pour l'année, et propose un budget, aux fins d'examen par le Comité exécutif.

Procédure habituelle du Comité exécutif :

Le Comité exécutif peut examiner l'à-propos du programme de travail et approuver le plan.

d) Rapports périodiques

Les agences d'exécution et bilatérales sont tenues de remettre un **rapport périodique** annuel au Comité exécutif à la deuxième réunion de l'année. Le rapport porte sur la mise en œuvre de leurs programmes de travail approuvés et les activités de mise en oeuvre des projets et des programmes de pays. Ces rapports périodiques sont une principale source d'information pour la surveillance des projets, car ils contiennent de l'information sur :

- les approbations de projets et les décaissements;
- les comptes rendus sur l'achèvement des projets;
- les faits saillants des projets régionaux et mondiaux;
- les indicateurs d'efficacité;
- l'état des accords et de la préparation des projets, par pays, et les questions administratives.

Le Secrétariat prépare le **rapport périodique global,** qui est également présenté à la deuxième réunion de l'année, à partir des rapports périodiques des agences. Ce rapport résume les progrès et l'information financière fournis par les agences d'exécution et bilatérales, sous forme de texte et de base de données.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend connaissance des rapports périodiques afin de s'assurer que les projets des agences seront réalisés avec succès et dans le but d'améliorer la prestation des services aux pays visés à l'article 5. À partir des **rapports périodiques**, le Comité exécutif peut demander aux agences ou aux gouvernements bilatéraux de lui communiquer d'autres rapports sur les retards dans l'achèvement des projets lors d'une future réunion et/ou de surveiller les projets dont la mise en œuvre accuse des retards.

e) Retards dans la proposition de tranches annuelles

La 47e réunion du Comité exécutif a décidé qu'il y aurait un point secondaire de l'ordre du jour sur les retards dans la proposition des tranches annuelles et le décaissement de fonds pour les tranches et les engagements. Ceci aide le Comité exécutif à contrôler les approbations de tranches annuelles et le décaissement de fonds aux agences d'exécution, de façon à s'assurer que rien ne nuit à l'achèvement des activités prévues de la tranche annuelle. À la première réunion de l'année, le Comité exécutif contrôle les retards concernant les tranches à l'aide du document **Retards dans la proposition de tranches annuelles.** Lors de la deuxième et de la troisième réunions de l'année, les informations se rapportant aux retards de proposition de tranche sont contenues dans le document présentant l'examen de la mise en œuvre des plans d'activités, sous le point de l'ordre du jour intitulé ***État des ressources et planification***.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prendra note des tranches annuelles faisant l'objet d'un retard, modifiera les dates de proposition et prendra les mesures nécessaires.

f) Rapport sur la mise en œuvre de projets approuvés comportant des exigences particulières pour la communication des rapports

Au fil des ans, le Comité exécutif a approuvé plusieurs projets qui devaient faire l'objet de rapports réguliers afin d'en assurer la surveillance. Cette exigence peut être attribuable à des circonstances particulières telles que l'introduction d'une technologie précise. Les rapports reçus par le Secrétariat pour ces projets sont proposés pour examen à ce point de l'ordre du jour. Le **rapport sur la mise en œuvre de projets approuvés comportant des exigences particulières pour la communication des rapports** offre un résumé des progrès réalisés à ce jour et des problèmes survenus pendant la mise en œuvre, et les observations et recommandations du Secrétariat.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend connaissance des rapports périodiques sur la mise en œuvre des projets et des questions connexes, et prend les décisions requises.

Examen des projets

L'examen des projets exigeait énormément de temps durant les réunions, au cours des premières années d'existence du Fonds multilatéral, particulièrement en raison du grand nombre de questions de coûts différentiels identifiées pendant l'examen des projets. Le temps consacré aux délibérations sur l'examen des projets a considérablement diminué de 2001 à 2008 alors que les efforts visant à aider les pays à respecter les mesures de réglementation des CFC ont été réorientés vers les plans d'élimination sectoriels et nationaux, et le nombre de propositions de projets individuels devant faire l'objet de délibérations a diminué. Le nombre de tranches de projets pluriannuels soumis pour examen au Secrétariat ayant augmenté, l'examen de ces derniers par le Secrétariat ainsi que les interactions élargies concomitantes avec les agences ont habituellement pour résultat de placer la tranche sur la liste d'approbation générale. Le Comité exécutif devrait être saisi en 2009 des dernières propositions de projets portant sur les objectifs de conformité de 2010. La charge de travail du Comité exécutif relative à l'examen des projets devrait être plus lourde au cours de la période triennale de 2009-2011, en raison des longs débats complexes auxquels on s'attend lors de la soumission des activités pour l'élimination des HCFC, afin d'assurer le respect de l'échéance de 2013 et la réduction de 10 pour cent prévue pour 2015.

Les propositions de projets et d'activités d'investissement sont présentées au Comité exécutif, accompagnées d'une recommandation fondée sur l'examen du projet par le Secrétariat. Des modifications importantes peuvent être apportées aux propositions de projets pendant l'examen des projets, plus particulièrement au chapitre des coûts et, parfois même, des choix technologiques, afin de tenir compte de décisions d'orientation antérieures du Comité exécutif. Les projets qui satisfont à toutes les exigences d'admissibilité et qui ne soulèvent aucune question d'orientation ou en instance peuvent être approuvés sur recommandation du Secrétariat pour approbation générale. Le Secrétariat n'inclut pas dans la documentation pour la réunion des propositions de projets et

d'activités qui, à la date limite de dépôt de chaque réunion, ne contiennent pas les renseignements ou les composantes nécessaires à leur soumission en vue d'une approbation éventuelle (décision 50/14 (a)). Lorsque les questions liées au coût des projets ne sont pas résolues une semaine avant la réunion du Comité exécutif, les projets concernés ne seront pas non plus examinés par le Comité à cette réunion (décision 41/80). Le Comité exécutif examine les projets qui soulèvent des questions d'orientation et prend des décisions plus complexes.

Le Trésorier du Fonds peut décaisser le financement nécessaire à l'agence d'exécution visée après l'approbation du projet. Les agences sont responsables de la mise en œuvre et de la supervision de leurs propres projets, en collaboration avec le pays visé à l'article 5 faisant l'objet du projet. L'agence d'exécution est tenue de remettre chaque année au Comité exécutif un rapport sur les progrès réalisés dans ses travaux (voir le point à l'ordre du jour sur la Mise en œuvre du programme).

Pendant les discussions portant sur les projets, les membres du Comité exécutif ainsi que les membres cooptés doivent s'abstenir de faire des observations sur les projets où ils pourraient avoir un intérêt direct.

Pour plus de renseignements sur l'examen des projets, consultez l'appendice 2.3 : Examen et approbation des projets.

a) Aperçu des questions soulevées pendant l'examen des projets

Le Comité exécutif entreprend ses délibérations sur l'examen des projets en examinant les points relevés par le Secrétariat dans les propositions présentées à la réunion, regroupés dans l'**Aperçu des questions soulevées pendant l'examen des projets**. Le document d'aperçu propose également une liste des projets et des activités qui ne soulèvent aucune question et que le Secrétariat recommande pour approbation générale du Comité exécutif, de même qu'une liste des projets et des activités d'investissement proposés pour examen individuel par le Comité exécutif.

Procédure habituelle du Comité exécutif :

Le Comité exécutif discute des questions d'orientation soulevées dans le document et prend les décisions requises. Le Comité peut décider d'approuver certains ou tous les projets proposés pour approbation générale aux conditions recommandées par le Secrétariat et sous réserve de l'examen d'autres points que les membres du Comité exécutif peuvent souhaiter soulever à propos d'un ou plusieurs projets ou activités.

b) Coopération bilatérale

Les Parties donatrices peuvent utiliser un maximum de 20 pour cent de leur contribution versée lors de la reconstitution de la période triennale pour exécuter des activités avec les pays visés à l'article 5 dans le cadre d'une coopération bilatérale. Le Comité exécutif prête son assistance à la souplesse d'emploi des fonds accordée aux agences bilatérales dans l'année à laquelle les projets de coopération bilatérale sont imputés, à condition que les agences bilatérales remettent leurs plans de travail au début de l'année, suffisamment à l'avance pour que le Secrétariat les achemine au Comité

exécutif aux fins d'examen pendant les discussions sur les plans d'activités à la première réunion de l'année (décision 25/13 a)).

Le document sur la **coopération bilatérale** regroupe toutes les demandes de financement de coopération bilatérale relevant du Fonds multilatéral présentées par les Parties non visées à l'article 5. La coopération bilatérale peut s'appliquer à toute la gamme de projets et d'activités qui relèvent du Fonds multilatéral, à l'exception des projets de renforcement des institutions.

Procédure habituelle du Comité exécutif :

Le Comité exécutif examine séparément tous les projets et activités bilatéraux non recommandés pour approbation générale, et fait les recommandations nécessaires concernant leur approbation. Après son examen des activités bilatérales, le Comité exécutif peut décider de demander au Trésorier d'imputer les coûts des projets bilatéraux approuvés à la réunion au solde annuel des fonds des pays donateurs.

c) Programmes de travail annuels

Les **programmes de travail** et les **amendements aux programmes de travail** réunissent toutes les demandes d'activités ne portant pas sur des investissements présentées par les différentes agences au cours de l'année. Le renforcement des institutions, la préparation de projets, l'assistance technique et les projets de démonstration sont des activités ne portant pas sur des investissements. Les propositions qui ne figurent pas sur la liste des projets et activités recommandés pour approbation générale seront examinées individuellement et approuvées ou reportées, selon le cas.

Le renforcement des institutions est une autre activité importante du Fonds multilatéral car il est important de s'assurer que les infrastructures institutionnelles et humaines sont en place afin de faciliter la mise en œuvre des projets et des activités. Les pays visés à l'article 5 peuvent aussi recevoir un appui financier pour la préparation du programme de pays, la préparation de projets, l'assistance technique, la formation et les projets de démonstration, et un Programme d'aide à la conformité financé par le PNUE qui cible les pays à faible volume de consommation.

Dans le passé, la plupart des activités contenues dans les programmes de travail étaient des activités de préparation de projets. À l'heure actuelle, les demandes de renforcement des institutions et les propositions d'assistance technique dans les pays ayant un faible volume de consommation sont plus nombreuses que tous les autres types de projets.

Procédure habituelle du Comité exécutif :

Le Comité examine séparément tous les projets et activités non recommandés pour approbation générale, et fait les recommandations nécessaires.

d) Coûts administratifs des agences d'exécution

Les coûts de base et les coûts des agences sont des coûts administratifs qui ont pour but de fournir aux agences d'exécution les fonds nécessaires pour réaliser les tâches administratives, et payer le personnel et les autres services administratifs généraux associés à la mise en œuvre de projets. En 1998, les coûts administratifs du PNUD, de l'ONUDI et de la Banque mondiale sont passés d'un taux fixe de 13 pour cent par projet à une échelle graduée et, en décembre 2002, à une échelle plus basse assortie d'une subvention de base de 1,5 million $US par année par agence (décision 38/68). La décision 46/35 a prolongé la décision 38/68 de même que son régime des coûts administratifs à la période triennale 2006-2008, et a majoré le taux de base du PNUD et de l'ONUDI à 1,7 million $US au lieu de 1,5 million $US par année. Elle a également autorisé la présentation d'une demande d'augmentation annuelle allant jusqu'à 3 pour cent pour le PNUD, l'ONUDI et la Banque mondiale. À l'issue d'une évaluation détaillée indépendante des coûts administratifs demandés pour la période triennale 2009-2011, le Comité exécutif a maintenu le régime des coûts administratifs existant pour la période triennale 2009-2011 (décision 56/41 b)) et a approuvé le financement des coûts de base de 1 857 636 $US pour le PNUD et l'ONUDI et de 1 663 347 $US pour la Banque mondiale (décision 56/42b)). Le Comité exécutif révise le régime des coûts administratifs chaque année, à sa dernière réunion de l'année. Les renseignements à jour sur le budget de base et autres coûts administratifs sont fournis dans le document correspondant du Comité exécutif.

Le PNUE n'a pas de coûts de base. Le budget du Programme d'aide à la conformité du PNUE et les coûts d'appui de 8 pour cent couvrent tous les coûts du programme de travail du PNUE.

Procédure habituelle du Comité exécutif :

Le Comité exécutif approuve chaque année les demandes de coûts de base des agences.

e) Projets d'investissement

Dans les années 1990, la plupart des projets et des activités étaient examinés et approuvés par le Comité exécutif à titre de projets indépendants appartenant à l'une de deux catégories principales. L'activité principale du programme consistait à mettre en œuvre les projets d'investissement, dont l'objectif était de remplacer les technologies de fabrication à base de CFC, qui impliquaient l'achat et l'installation de biens d'équipement. Le reste du programme consistait en des activités ne portant pas sur des investissements telles que les projets de renforcement des institutions, de l'assistance technique et de la formation. En général, ces projets n'exigeaient pas l'achat de biens d'équipement. De plus, dans les années 1990, le Comité exécutif a commencé à approuver des plans de gestion des frigorigènes. Les plans de gestion des frigorigènes avaient surtout comme objectif d'aider les pays à faible volume de consommation, les pays à faible consommation de CFC et les petits secteurs manufacturiers à respecter leurs objectifs en matière de conformité en réduisant la consommation de CFC dans le secteur de l'entretien de l'équipement de réfrigération. Les plans de gestion des frigorigènes comprenaient à la fois des activités d'investissement (approvisionnement d'appareils de recyclage) et des activités ne portant pas sur des investissements (formation des techniciens et des agents de douane).

Depuis l'année 2000, le Fonds multilatéral a réduit l'accent mis sur le financement de projets indépendants. Il encourage plutôt l'élaboration de plans nationaux d'élimination des SAO qui procurent un plan détaillé des mesures à prendre pour éliminer l'ensemble de la consommation restante des SAO les plus courantes d'un pays. Ces plans, souvent appelés plans nationaux d'élimination, plans nationaux d'élimination des CFC ou plans de gestion de l'élimination finale, lorsqu'ils portent sur le secteur de l'entretien, regroupent des projets d'investissement et des projets ne portant pas sur des investissements. Tous les plans pluriannuels sont régis par un accord entre le Comité exécutif et le gouvernement du pays concerné, en vertu duquel les agences d'exécution responsables sont tenues de remettre un rapport de vérification sur la réalisation des objectifs de réduction des SAO précisés dans l'accord comme condition préalable au décaissement de la prochaine tranche de fonds. Les premières lignes directrices sur les projets pluriannuels et les accords qui les régissent ont été adoptées par la 38e réunion du Comité exécutif.

Les lignes directrices relatives aux plans de gestion de l'élimination des HCFC ont été approuvées à la 54e réunion. Les plans de gestion de l'élimination des HCFC établiront le plan d'action détaillé de l'élimination par étapes de la consommation de HCFC au pays (décision 54/39). Les plans de gestion de l'élimination des HCFC devront être approuvés dans un court délai car ils doivent être mis en œuvre d'ici 2011 afin d'assurer le respect de l'échéance de 2013 pour les HCFC et la réduction de 10 pour cent de 2015. Les plans de gestion de l'élimination des HCFC contiendront également un plan national d'élimination fondé sur les résultats pour les pays dont les secteurs manufacturiers consomment des HCFC

Le Secrétariat prépare un document de proposition de projet pour tous les pays qui présentent un projet d'investissement ou un projet pluriannuel tel qu'un plan national d'élimination ou un plan de gestion de l'élimination finale à la réunion. Le document contient une fiche d'évaluation de projet résumant les données relatives au projet, une courte description du projet, et les observations et les recommandations du Secrétariat du Fonds. Des documents pertinents peuvent y être annexés, affichés sur le site Web ou mis à disposition à la demande du Secrétariat.

Les propositions de projets de pays donateurs sont présentées par les pays donateurs bilatéraux dans le cadre d'un projet de « coopération bilatérale » unique, avec les observations et les recommandations du Secrétariat sur ces propositions. Les accords pluriannuels proposés par les donateurs bilatéraux font exception. Ils sont présentés dans les documents de pays dont il est question au paragraphe précédent. Les projets de renforcement des institutions, les activités d'assistance technique et de formation et toutes les propositions de financement pour la préparation de projets sont présentés au Comité exécutif par les quatre agences d'exécution dans un « programme de travail » annuel ou, plus tard, dans les amendements au programme de travail. Les programmes de travail et les amendements aux programmes de travail sont présentés au Comité exécutif pour les différentes agences dans des documents de « programme de travail » avec les observations et les recommandations du Secrétariat.

Procédure habituelle du Comité exécutif :

Après l'examen des documents effectué par le Secrétariat avant la session, lequel entraîne parfois la modification des propositions de projet originales, la plupart des projets et des activités sont recommandées pour approbation générale. Le Comité exécutif examine aux fins d'approbation la liste complète des projets et des activités recommandés pour approbation générale, autant les projets

bilatéraux, de renforcement des institutions et de formation que les tranches annuelles des activités pluriannuelles, au point « Aperçu des questions soulevées pendant l'examen des projets » de l'ordre du jour. Cette approbation est faite sous réserve des points de vue qu'une délégation puisse vouloir exprimer sur un projet ou une activité en particulier.

La tâche principale du Comité exécutif, cependant, consiste tous les projets et toutes les activités de la liste des projets à examiner individuellement et à présenter les recommandations nécessaires, tout en ajoutant des conditions particulières à l'approbation des projets, s'il y a lieu. Ces projets et activités sont ensuite examinés au point de l'ordre du jour correspondant (p. ex., coopération bilatérale, programmes de travail ou amendements aux programmes de travail des agences d'exécution, ou les documents de proposition de projets des pays).

Programmes de pays

Le programme de pays établit la stratégie et le plan d'action que le pays doit suivre pour éliminer la consommation et la production de SAO selon l'échéancier fixé en vertu du Protocole de Montréal. Le programme de pays sert aussi de toile de fond pour le financement des projets et des activités dans les pays par le Fonds multilatéral. Presque tous les pays visés à l'article 5 possèdent aujourd'hui un programme de pays approuvé. Les nouvelles Parties reçoivent le financement préparatoire nécessaire pour préparer un programme de pays assorti d'un plan national d'élimination. Le programme de pays proposé est examiné à ce point de l'ordre du jour.

Sur réception d'un **programme de pays**, le Secrétariat prépare une fiche d'évaluation de projet, ses observations et ses recommandations. Les documents pertinents sont joints au programme, à savoir la lettre de présentation du gouvernement visé, la feuille de couverture et le sommaire analytique proposé par le gouvernement concerné.

Procédure habituelle du Comité exécutif :

Le Comité exécutif peut approuver le programme de pays en précisant que cette approbation ne signifie pas l'approbation des projets qu'il contient, et demander au gouvernement du pays visé de remettre chaque année au Comité exécutif, un rapport sur les progrès réalisés dans la mise en œuvre du programme de pays.

Pour plus de renseignements sur les programmes de pays, consultez l'annexe 2.2.1 : Programme de pays.

Comptes du Fonds multilatéral

a) Comptes finaux

Les **comptes finaux** sont préparés chaque année à partir de l'information financière fournie au Trésorier par le Secrétariat et les agences d'exécution. Ils comprennent les données financières sur les revenus et les dépenses du Fonds pour l'année en cours et l'année précédente, de même qu'un cumulatif pour la période 1991 jusqu'à l'année en cours. Ces données sont généralement conformes aux comptes vérifiés ou approuvés, de même qu'aux détails des dépenses du Secrétariat pour l'année

en cours consignés dans les comptes du BNUN par rapport au budget approuvé, et aux comptes approuvés ou provisoires des agences d'exécution pour l'année en cours et l'année précédente et le cumulatif pour la période 1991 jusqu'à l'année en cours.

Procédure habituelle du Comité exécutif :

Le Comité exécutif examine les comptes finaux afin de s'assurer qu'ils sont en ordre.

b) Conciliation des comptes

Les comptes du Fonds peuvent présenter des différences entre les montants approuvés et les revenus rapportés par les agences. Afin d'éliminer ces différences, le Comité exécutif a demandé au Trésorier, aux agences d'exécution et au Secrétariat de remettre chaque année une conciliation complète des comptes du Fonds avec les données contenues dans les rapports périodiques des agences d'exécution, à la troisième réunion du Comité exécutif (décision 38/9).

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend note du rapport de conciliation et demande à ce que les mesures nécessaires soient prises.

Budget triennal révisé du Fonds multilatéral

Le **budget triennal révisé du Fonds multilatéral** est présenté à la dernière réunion de chaque année civile. Il comprend les postes budgétaires relatifs au personnel du Secrétariat pour une période de trois ans et les coûts d'exploitation pour les deux premières années.

Procédure habituelle du Comité exécutif :

Le Comité exécutif prend connaissance du budget triennal et l'approuve à partir de ses discussions.

Sous-groupe du Comité exécutif sur le secteur de la production

Le Sous-groupe sur le secteur de la production, un organe subsidiaire du Comité exécutif, a été créé en 1996 dans le but d'aider le Comité exécutif à élaborer les lignes directrices sur le financement de l'élimination de la production de SAO. En 1998, il a eu pour mandat d'examiner les projets du secteur de la production et d'en recommander l'approbation. Le Sous-groupe ne s'est pas réuni entre la 47e et la 56e réunion car des accords pluriannuels avaient été mis en place pour l'élimination complète de la production de toutes les SAO, à l'exception des HCFC, dans les pays visés à l'article 5. Le Comité exécutif a décidé de reconstituer et de réunir à nouveau le Sous-groupe sur le secteur de la production à la 57e réunion, afin d'étudier les questions relatives au secteur de la production des HCFC (décision 56/64).

Rapport du Comité exécutif à la Réunion des Parties

Le Comité exécutif est tenu de remettre chaque année un rapport à la Réunion des Parties, par l'entremise du président du Comité. Le rapport, préparé par le Secrétariat, résume les activités du Comité exécutif au cours de la période visée par le rapport, habituellement un an, et met en évidence les politiques et les lignes directrices importantes adoptées, le financement décaissé et la quantité de SAO éliminées.

Le Comité exécutif examine le rapport et donne le feu vert pour sa présentation, habituellement lors de la réunion qui précède la Réunion des Parties. Le rapport est ensuite remis par le président du Comité exécutif à la Réunion des Parties. Le rapport est mis à jour après la réunion du Comité exécutif afin d'y intégrer les points soulevés par le Comité exécutif et les résultats de la réunion

Procédure habituelle du Comité exécutif :

Le Comité exécutif peut décider d'autoriser le Secrétariat à compiler ou à mettre à jour le rapport à la lumière des discussions, et de le remettre au Secrétariat de l'ozone aux fins de distribution aux Parties.

Adoption du rapport

Le Secrétariat prépare un projet de rapport de la réunion du Comité exécutif, qui est ensuite examiné par le président. Cette version du rapport porte la cote L1. Elle contient une version préliminaire de toutes les décisions prises par le Comité exécutif pendant la réunion. Au moment de l´adoption du rapport, des observations et des modifications au texte de la version L1 du rapport peuvent être proposées. Il n'est toutefois pas prévu que les membres entreprennent des discussions approfondies sur l'un ou l'autre point à l'ordre du jour.

Procédure habituelle du Comité exécutif :

Le Comité exécutif adopte le rapport de la réunion à partir de la version L.1 du projet de rapport et des observations des membres du Comité exécutif.

4. Activités qui suivent les réunions du Comité exécutif

Après la réunion, le Secrétariat met au point le **Rapport de la réunion du Comité exécutif** en anglais et prépare les traductions. Le rapport est distribué à tous les membres du Comité exécutif, aux autres participants et aux Parties du Protocole de Montréal et publié sur le site Web du Fonds multilatéral. De plus, les pays visés à l'article 5 concernés ainsi que les agences sont informés par une lettre émanant du Chef du Secrétariat du Fonds des décisions se rapportant aux approbations de projet, aux annulations, aux retards de mise en œuvre et aux retards de proposition de tranches annuelles. Afin de diffuser les résultats de la réunion à plus grande échelle, un communiqué de presse est rédigé et un document résumant les décisions prises à la réunion est envoyé par courrier électronique à tous les participants à la réunion et aux parties au Protocole de Montréal. Ces mêmes documents sont envoyés par la Division de la technologie, de l'industrie et de l'économie (DTIE) du PNUE aux administrateurs des réseaux régionaux du Programme d'aide à la conformité

du PNUE. Outre le rapport, le résumé des décisions et l'article de presse sont également publiés sur le réseau Intranet et le site Web du Fonds multilatéral.

APPENDIX 1. THE MULTILATERAL FUND ..... - 2 -

1.1. THE AIM OF THE MULTILATERAL FUND ..... - 2 -
1.2. KEY CONCEPTS OF THE MULTILATERAL FUND ..... - 2 -
1.3. KEY STRUCTURES OF THE OF THE MULTILATERAL FUND ..... - 5 -

APPENDIX 2. HOW THE MULTILATERAL FUND OPERATES ..... - 10 -

2.1. FINANCIAL PLANNING ..... - 10 -
2.2. COUNTRY PROGRAMMES ..... - 13 -
2.3. PROJECT REVIEW AND APPROVAL ..... - 13 -
2.4. MONITORING ..... - 25 -
2.5. EVALUATION ..... - 27 -

APPENDIX 3. EXECUTIVE COMMITTEE MEETINGS 29

TERMS OF REFERENCE OF THE EXECUTIVE COMMITTEE AS MODIFIED BY THE MEETING OF THE PARTIES IN ITS DECISIONS IX/16, XVI/38 AND XIX/11 29
RULES OF PROCEDURE FOR MEETINGS OF THE EXECUTIVE COMMITTEE OF THE MULTILATERAL FUND FOR THE IMPLEMENTATION OF THE MONTREAL PROTOCOL 32
TABLE 1. STANDARD AGENDA ITEM AND ASSOCIATED DOCUMENTS 37
TABLE 3. ADDITIONAL AGENDA ITEMS AND SUB-ITEMS OCCURRING AT THE SECOND MEETING OF THE YEAR 38
TABLE 4. ADDITIONAL AGENDA ITEMS AND SUB-ITEMS OCCURRING AT THE THIRD MEETING OF THE YEAR 39

APPENDIX 4. LOGISTICS AND ARRANGEMENTS FOR MEETINGS 41

4.1. PRE-SESSION: BEFORE THE MEETING 41
4.2. IN-SESSION: DURING A MEETING 44
4.3. POST MEETING 46

APPENDIX 5. REFERENCE INFORMATION 47

5.1. ORGANIZATIONS AND PEOPLE 47
5.2. PUBLICATIONS, INFORMATION RESOURCES AND DATABASES 47
5.3. USEFUL ACRONYMS 55

APPENDIX 1. THE MULTILATERAL FUND

1.1. The aim of the Multilateral Fund[1]

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

1.2. Key concepts of the Multilateral Fund

1.2.1. Incremental costs

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

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

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

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

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

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

1.2.2. Compliance period

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

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

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

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

1.2.3. Country compliance driven approach

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

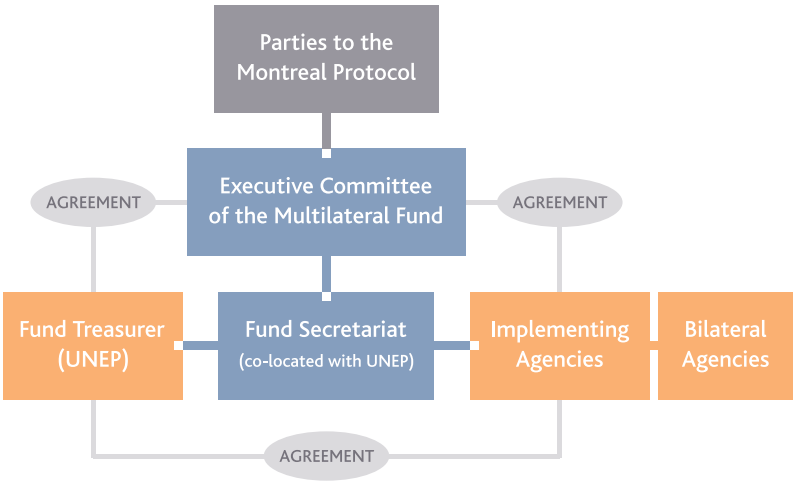
1.2.4. Equal partnership

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

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

The key elements of the Multilateral Fund are:

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



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

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

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

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

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

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

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

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

1.3.2. Fund Secretariat

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

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

1.3.3. Implementing agencies

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

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

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

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

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

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

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

1.3.4. Treasurer

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

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

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

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

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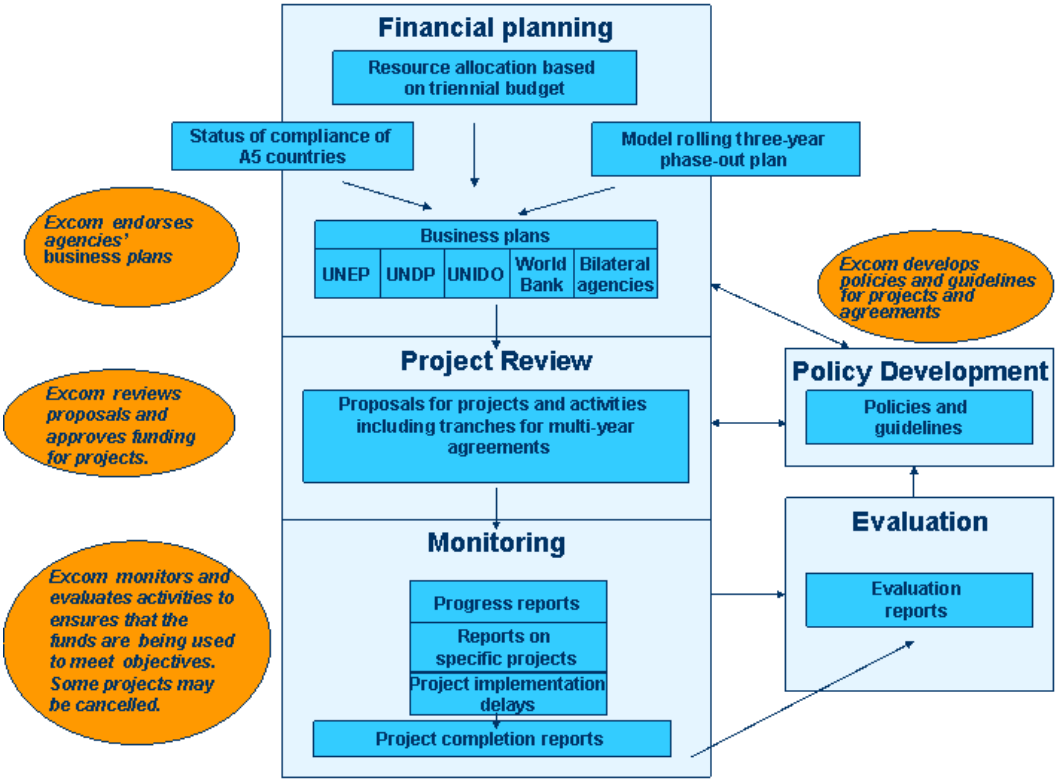
[9] This agreement superseded the previous agreement made in 1991 and revised in 2002. For further information see of the Policies, Procedures, Guidelines and Criteria (Treasurer of the Fund)

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

APPENDIX 2. HOW THE MULTILATERAL FUND OPERATES



2.1. Financial planning

2.1.1. Replenishment of the Multilateral Fund

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

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

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

2.1.2. Resource allocation

Financial planning for the triennium[11]

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

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

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

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

2.1.3. Business Planning

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

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

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

2.2. Country Programmes

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

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

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

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

2.3. Project review and approval

2.3.1. Projects and activities financed by the Multilateral Fund

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

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

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

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

2.3.2. Strategic planning of projects and activities

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

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

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

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

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

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

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

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

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

Significant decisions concerning RMPs, NPPs and TPMPs

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

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

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

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

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

HCFC phase-out management plans

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

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

Significant decisions concerning HPMPs

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

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

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

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

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

Institutional strengthening

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

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

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

2.3.3. Project Review Process

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

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

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

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

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

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

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

2.3.4. Discussion of project proposals by the Committee

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

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

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

Route 2 – Projects for individual consideration

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

After approval

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

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

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

2.4. Monitoring

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

2.4.1. Performance of implementing agencies

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

2.4.2. Monitoring projects - implementation delays and cancellation

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

At each of its meeting the Executive Committee considers:

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

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

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

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

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

2.4.3. Monitoring multi-year agreements

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

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

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

2.5. Evaluation

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

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

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

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

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

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

APPENDIX 3. EXECUTIVE COMMITTEE MEETINGS

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

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

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

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

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

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

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

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

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

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

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

10. The functions of the Executive Committee shall include:

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

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

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

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

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

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

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

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

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

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

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

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

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

APPLICABILITY

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

Rule 1

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

DEFINITIONS

Rule 2

For the purposes of these rules:

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

PLACE OF MEETINGS

Rule 3

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

DATES OF MEETINGS

Rule 4

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

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

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

Rule 5

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

OBSERVERS

Rule 6

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

Rule 7

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

AGENDA

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

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

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

REPRESENTATION AND CREDENTIALS

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

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

OFFICERS

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

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

Rule 15

1. The Secretariat shall:

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

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

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

Rule 16

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

VOTING

Rule 17

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

LANGUAGES

Rule 18

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

AMENDMENTS TO RULES OF PROCEDURE

Rule 19

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

OVERRIDING AUTHORITY OF THE PROTOCOL

Rule 20

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

DECISIONS PERTAINING TO MEETING COSTS

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

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

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

Table 1. Standard Agenda Item and associated documents

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

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

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

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

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

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

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

APPENDIX 4. LOGISTICS AND ARRANGEMENTS FOR MEETINGS

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

4.1. Pre-session: Before the Meeting

4.1.1. Preparation of the agenda

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

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

4.1.2. Representation and Attendance

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

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

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

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

4.1.3. Letter of invitation

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

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

4.1.4. Financial and other support

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

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

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

4.1.5. Time and venue of meetings

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

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

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

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

4.1.6. Meeting documents

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

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

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

4.2. In-session: During a Meeting

4.2.1. Practical arrangements

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

4.2.2. Schedule of meetings

The Executive Committee normally meets in two sessions:

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

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

4.2.3. List of participants

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

4.2.4. Meeting management

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

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

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

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

4.2.5. Observers

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

4.2.6. Interpretation

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

4.2.7. Conference room papers

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

4.2.8. Preparation of the L.1 draft meeting report

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

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

4.3. Post Meeting

4.3.1. Finalization of the meeting report

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

4.3.2. Communicating the outcome of the meeting

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

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

4.3.3. Funds for approved projects and activities

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

APPENDIX 5. REFERENCE INFORMATION

5.1. Organizations and People

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

5.2. Publications, information resources and databases

5.2.1. Fund Secretariat – Publications

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

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

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

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

5.2.2. Fund Secretariat – Information Resources and Databases

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

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

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

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

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

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

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

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

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

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

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

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

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

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

5.2.2. HCFC – policy documents

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

5.2.3. Information resources from the Ozone Secretariat

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

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

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

5.2.3. Websites of the implementing agencies

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

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

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

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

5.2.4. Websites of other conventions and related organizations

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

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

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

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

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

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

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

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

5.2.5. Other websites

Montreal Protocol Who's Who

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

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

5.3. Useful acronyms

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

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