



附属履行机构

第三十五届会议

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行政、财务和体制事项

2010-2011 两年期预算执行情况

截至 2011 年 6 月 30 日的 2010-2011 两年期预算执行情况

执行秘书的说明

概要

本文件介绍秘书处管理的各信托基金在 2010-2011 两年期头 18 个月的预算执行情况，旨在向缔约方通报截至 2011 年 6 月 30 日的收入、支出和成果。截至 2011 年 6 月 30 日，秘书处已收到 3,260 万欧元，占两年期核心预算指示性缴款预计总额的 79%。促进参与《气候公约》进程信托基金收到自愿捐款 910 万美元；补充活动信托基金收到自愿捐款 2,330 万美元。已支出了大约 66.2% 的核心预算资源，用于规定活动和实现本两年期工作方案的预期成果。此外，秘书处支出了 3,080 万美元用于补充活动信托基金下的各种项目；从促进参与《气候公约》进程信托基金中支出了 1,100 万美元用于支付符合条件的缔约方参加届会的费用。本报告还载有关于清洁发展机制信托基金、国际交易日志信托基金、德国政府特别年度捐款信托基金和方案支助费用状况的信息。本文件还提供关于人力资源的资料，并详细报告方案执行情况。

目录

	段次	页次
一. 导言	1-3	3
A. 任务	1	3
B. 本说明的范围	2	3
C. 附属履行机构可采取的行动	3	3
二. 收入和支出报告	4-29	3
A. 《气候公约》核心预算信托基金	4-11	3
B. 促进参与《气候公约》进程信托基金	12-14	7
C. 补充活动信托基金	15-19	9
D. 清洁发展机制信托基金	20-22	10
E. 国际交易日志信托基金	23-24	11
F. 德国政府特别年度捐款信托基金(波恩基金).....	25-26	11
G. 方案支助费用	27-29	12
三. 方案执行	30-101	13
A. 行政领导和管理	32-38	13
B. 报告、数据和分析	39-52	14
C. 财务和技术支助	53-57	17
D. 适应、技术和科学	58-62	18
E. 可持续发展机制	63-69	21
F. 法律事务处	70-76	22
G. 会议事务处	77-85	23
H. 信息事务处	86-92	25
I. 行政事务处	93-101	26
四. 补充信息	102	27
Annexes		
I. Human Resources		28
II. Projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2010-2011		31
III. Programme performance data for the period 1 January 2010 to 30 June 2011		34

一. 导言

A. 任务

1. 《公约》缔约方会议和作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议)分别第 12/CP.15 号决定和第 10/CMP.5 号决定中核可了 2010-2011 两年期方案预算, 并请执行秘书向《公约》缔约方会议报告收入和预算执行情况, 提出可能需要对预算作出的任何调整。

B. 本说明的范围

2. 本文件报告秘书处管理的各信托基金截至 2011 年 6 月 30 日的收入和预算执行情况。本文件应与 FCCC/SBI/2009/2/Add.1 号文件和 FCCC/SBI/2011/INF.14 号文件一并阅读, 前者是秘书处的两年期工作方案, 后者介绍了截至 2011 年 11 月 15 日的最新缴款情况。它还提供了有关人力资源和方案执行的资料。

C. 附属履行机构可采取的行动

3. 附属履行机构(履行机构)不妨注意本文件提供的资料, 并就可能需要列入行政和财务事项决定草案中的行动作出决定, 以建议《公约》缔约方会议第十七届会议和《议定书》缔约方会议第七届会议通过该决定草案。

二. 收入和支出报告

A. 《气候公约》核心预算信托基金

4. 《公约》缔约方会议第 12/CP.15 号决定和《议定书》缔约方会议第 10/CMP.5 号决定核可的 2010-2011 两年期预算总额为 4,420 万欧元(见表 1)。

表 1

2010-2011 两年期核心方案预算和收入来源

	2010 年(欧元)	2011 年(欧元)	总计(欧元)
方案支出	19 525 380	19 356 038	38 881 418
方案支助费用	2 538 300	2 516 285	5 054 585
周转准备金调整	264 096	0	264 096
核定预算总计	22 327 776	21 872 323	44 200 099
指示性缴款	20 860 838	20 405 385	41 266 223
以前财政期的缴款结余(结转)	700 000	700 000	1 400 000
东道国政府的捐款	766 938	766 938	1 533 876
收入总计	22 327 776	21 872 323	44 200 099

5. 表 2 说明《气候公约》核心预算信托基金在两年期头 18 个月的实际收入达到 4,330 万欧元。其中主要包括 3,260 万欧元，占两年期指示性缴款总额的 79%；以前财政期的缴款结余(即 2008-2009 年的结转额)780 万欧元；和东道国政府的自愿捐款 150 万欧元。

表 2
截至 2011 年 6 月 30 日的核心预算收入

	2010-2011 年(欧元)
2008-2009 年的结转额 ^a	7 764 451
2010-2011 年《公约》指示性缴款	19 908 881
2010-2011 年《京都议定书》指示性缴款	12 737 154
东道国政府的自愿捐款	1 533 876
以往年度的拖欠缴款 ^a	753 042
预收未来年份的缴款	4 641
利息、杂项收入和上期结余 ^a	581 068
收入总计^b	43 283 113

^a 适用情况下，所使用的汇率(1 美元 = 0.699 欧元)是 2011 年 6 月 30 日的联合国官方汇率。

^b 周转准备金为 1,831,285 欧元。

6. 表 3 说明 1996-2009 年期间以美元计算的拖欠《公约》缴款的情况和 2010-2011 年期间以欧元计算的拖欠情况。截至 2011 年 6 月 30 日，《公约》的前 10 名缴款方中的 2 个缴款方或前 20 名缴款方¹ 中的 5 个缴款方尚未支付 2011 年缴款。在 195 个《公约》缔约方中，121 个缔约方未支付 2011 年缴款。8 个缔约方自 1996 年《公约》问世以来从未向核心预算缴过款。

表 3
截至 2011 年 6 月 30 日各年度拖欠的《公约》缴款

	缔约方数目	拖欠款额
自以下年份 1 月 1 日起未缴(以美元计):		
1996 年	8	4 597
1997 年	11	7 813
1998 年	12	2 733
1999 年	12	3 362
2000 年	12	3 477
2001 年	14	3 935
2002 年	14	4 840
2003 年	17	7 092
2004 年	21	15 433

¹ 前 10 名缴款方的缴款占指示性缴款总额的 69.0%，前 20 名缴款方的缴款占 84.1%。

	缔约方数目	拖欠款额
2005 年	24	33 389
2006 年	28	38 973
2007 年	32	55 107
2008 年	38	72 288
2009 年	51	179 290
总计(美元)		432 329
自以下年份 1 月 1 日起未缴(以欧元计):		
2010 年	75	376 391
2011 年	121	4 396 960
总计(欧元)		4 773 351

7. 表 4 说明 2005-2009 年期间以美元计算的拖欠《京都议定书》缴款的情况和 2010-2011 年期间以欧元计算的拖欠情况。截至 2011 年 6 月 30 日,《京都议定书》的前 10 名缴款方中的 1 个缴款方或前 20 名缴款方中的 3 个缴款方尚未缴款。

表 4

截至 2011 年 6 月 30 日各年度拖欠的《京都议定书》缴款

	缔约方数目	拖欠款额
自以下年份 1 月 1 日起未缴(以美元计):		
2005 年	19	2 567
2006 年	24	11 435
2007 年	30	25 065
2008 年	41	43 959
2009 年	56	160 283
总计(美元)		243 309
自以下年份 1 月 1 日起未缴(以欧元计):		
2010 年	84	261 500
2011 年	121	1 274 311
总计(欧元)		1 535 811

8. 表 5 说明各方案 2010-2011 年的核定核心预算和两年期头 18 个月的支出状况。截至 2011 年 6 月 30 日,支出额为 2,570 万欧元,占 2010-2011 两年期核定预算的 66.2%。

表 5
截至 2011 年 6 月 30 日各方案核定核心预算和支出情况

	2010-2011 年 核定核心预算(欧元)	支出(欧元)	支出占预算的 百分比
A. 方案			
行政领导和管理	3 950 026	2 843 904	72.0
报告、数据和分析	8 226 724	5 246 254	63.8
财务和技术支助	5 145 169	3 444 311	66.9
适应、技术和科学	4 472 443	3 095 524	69.2
可持续发展机制	851 510	490 916	57.7
法律事务处	3 115 844	1 749 598	56.2
会议事务处	2 891 258	2 287 566	79.1
通信和知识管理事务处	3 251 640	2 141 210	65.9
信息技术事务处	4 200 312	2 647 309	63.0
B. 全秘书处业务费用^a	2 776 492	1 797 327	64.7
总计(A+B)^b	38 881 418	25 743 919	66.2

^a 全秘书处的业务费用由行政事务方案管理。

^b 不包括方案支助费用和周转准备金调整数。

9. 表 6 按支出用途分列 2010-2011 年的核定核心预算和截至 2011 年 6 月底的支出情况。“工作人员费用”包括作为核准员额聘用的工作人员薪金和职员共同费用、短期工作人员薪金、临时助理费用以及加班费。其他外部专家(包括个人和机构)列在“顾问”项下。工作人员公务差旅费与专家参加研讨会和非正式磋商的差旅费分开列出。对物品和服务供应商的付款以及电信费等日常费用合并列于“一般业务开支”项下。“赠款和捐款”包括支付驻德国波恩的联合国共同服务股(它向秘书处提供后勤和行政服务)的房舍管理费和对政府间气候变化专门委员会(气专委)的年度捐款。

表 6
截至 2011 年 6 月 30 日按用途分列的核定核心预算和支出状况

支出用途	2010-2011 年 核定预算(欧元)	支出(欧元)	支出占预算的 百分比
工作人员费用	28 924 233	19 363 727	66.9
顾问	1 279 025	1 019 938	79.7
专家组	1 811 887	938 198	51.8
工作人员旅费	1 327 070	1 046 645	78.9
一般业务开支	4 008 225	2 266 363	56.5
赠款和捐款	1 530 987	1 109 048	72.4
总计^a	38 881 418	25 743 919	66.2

^a 不包括方案支助费用和周转准备金调整数。

10. 截至 2011 年 6 月 30 日，一些支出用途仍处于 75%的理想执行率之下。例如，两年期头 18 个月专家组费用仍然较低，这主要是因为履约委员会会议少于计划。其部分原因是广泛使用了电子决定手段，从而减少了需为履约委员会组织的面对面会议的数量，以及执行事务组据以审议履行问题的专家审评组报告延迟发布。该支出项目下的预期结余将拨给其他没有资金的优先项目和/或活动。²

11. 尽管其他用途的支出少于预期，但是某些每年或每半年结算一次的支付项目将使支出率上升。例如，联合国志愿人员方案的某些服务费用每年仅结算一或两次，包括共用办公场所费用、语言课程、通信费和邮费等等。此外，由于即将结算 2010-2011 学年教育补贴，预计今后 6 个月工作人员费用支出将有所增加。

B. 参与《气候公约》进程信托基金

12. 参与《气候公约》进程信托基金利用自愿捐款支助符合条件的发展中国家缔约方和转型期经济缔约方代表参加缔约方会议及其附属机构的会议。根据联合国贸易和发展会议公布的统计资料，2008 年人均国内生产总值未超过 7,500 美元的缔约方有资格获得资助。对于小岛屿发展中国家，该上限提高到 14,000 美元。

13. 表 7 说明参与《气候公约》进程信托基金截至 2011 年 6 月 30 日的收支情况。报告所述期内，秘书处收到自愿捐款 910 万美元。此表清楚表明，较之于 2010 年的 760 万美元，2011 年收到的捐款(150 万美元)很少。迄今收到的捐款，再加上 2008-2009 年的结转额、利息、杂项收入和调整数，构成 1,460 万美元的收入总额。

14. 2010-2011 两年期头 18 个月共支出 1,100 万美元，用以支付符合条件的缔约方代表参加七届会议的费用，收入超出支出的余额为 360 万美元，不包括 814,215 美元的业务准备金。其余额，加上对该信托基金的任何新的自愿捐款，将用于资助符合条件的缔约方参加各特设工作组将于 2011 年 10 月在巴拿马巴拿马城举行的会议。该余额也将用于资助符合条件的缔约方代表参加将于年底在南非德班举行的《公约》缔约方会议第十七届会议和《议定书》/《公约》缔约方会议第七届会议。

² 资金调拨均由执行秘书按照第 12/CP.15 号决定第 12 段赋予的权力管理，该段“授权执行秘书在表 1 所列各项主要拨款之间进行调拨，调拨总额不得超过这些拨款项目开支概算总额的 15%，除非另外限制每项拨款的调出数额不得超过 25%”。

表 7
截至 2011 年 6 月 30 日促进参与《气候公约》进程信托基金的状况
(美元)

收入	
2008-2009 年结转额	3 596 966
上期承付款项的节省额	242 052
2010 年收到的自愿捐款	7 608 005
2011 年收到的自愿捐款	1 476 764
迅速启动清洁发展机制调整数	1 283 763
利息	112 110
杂项收入	288 246
收入总计	14 607 906
支出	
192 名与会者出席进一步承诺问题特设工作组第十一届会议和长期合作行动问题特设工作组第九届会议的旅费	651 019
204 名与会者出席附属履行机构和附属科学技术咨询机构第三十二届会议、进一步承诺问题特设工作组第十二届会议和长期合作行动问题特设工作组第十届会议的旅费	1 302 363
202 名与会者出席进一步承诺问题特设工作组第十三届会议和长期合作行动问题特设工作组第十一届会议的旅费	1 021 747
254 名与会者出席进一步承诺问题特设工作组第十四届会议和长期合作行动问题特设工作组第十二届会议的旅费	1 069 999
349 名与会者出席《公约》缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议、附属履行机构和附属科学技术咨询机构第三十三届会议、进一步承诺问题特设工作组第十五届会议和长期合作行动问题特设工作组第十三届会议的旅费	3 242 724
198 名与会者出席进一步承诺问题特设工作组第十六届会议和长期合作行动问题特设工作组第十四届会议的旅费	935 362
209 名与会者出席附属履行机构和附属科学技术咨询机构第三十四届会议、进一步承诺问题特设工作组第十六届会议和长期合作行动问题特设工作组第十四届会议第二期会议的旅费	1 492 591
其它差旅相关费用	26 959
小计	9 742 764
方案支助费用	1 266 559
支出总计	11 009 323
余额^a	3 598 583

^a 不包括 814,215 美元业务准备金。

C. 补充活动信托基金

15. 补充活动信托基金通过缔约方的自愿捐款，继续为许多规定核心活动提供资金，使秘书处能够更有效地执行本两年期工作方案，包括支持附件一缔约方在《京都议定书》之下的进一步承诺问题特设工作组和《公约》之下的长期合作行动问题特设工作组之下的谈判。

16. 表 8 列出补充活动信托基金截至 2011 年 6 月 30 日的收支情况。

17. 报告所述期间收到的自愿捐款为 2,330 万美元。然而，2011 年收到的自愿捐款只有 410 万美元，而 2010 年和 2009 年收到的自愿捐款分别为 1,920 万美元和 2,420 万美元。若补充活动信托基金捐款继续这一下降趋势，将严重影响秘书处执行其所有规定活动的的能力。

18. 补充活动信托基金的其他收入来源包括 2008-2009 两年期结转的基金结余 2,060 万美元、利息收入、联合执行收费和杂项收入、上期承付款项的节省额和从迅速启动清洁发展机制转拨给联合执行项目的款项，截至 2011 年 6 月 30 日，总计 4,920 万美元。

19. 截至 2011 年 6 月 30 日，补充活动信托基金下共支出 3,080 万美元，1,850 万美元的未支余额，加上收到的任何新的自愿捐款，将用于资助本两年期剩余时间正在进行的的活动。未支资金将转入下一个两年期。

表 8

截至 2011 年 6 月 30 日补充活动信托基金的状况
(美元)

收入	
2008-2009 年的结转额	20 564 379
上期承付款项的节省额和对捐助方的退款	1 227 969
2010 年收到的自愿捐款	19 197 726
2011 年收到的自愿捐款	4 115 557
迅速启动清洁发展机制调整数	2 218 160
联合执行收费和杂项收入	1 417 281
利息	474 624
收入总计	49 215 696
支出	
支出和承诺	27 265 124
方案支助费用	3 499 055
支出总计	30 764 179
结余^a	18 451 517

^a 不包括 2,653,847 美元的业务准备金。

D. 清洁发展机制信托基金

20. 表 9 说明清洁发展机制信托基金截至 2011 年 6 月 30 日的收支情况。2010-2011 两年期的收入为 1 亿 5,230 万美元，主要包括前一个两年期结转的基金 8,200 万美元和清洁发展机制收费 7,170 万美元。

21. 截至 2011 年 6 月 30 日的支出为 4,760 万美元，扣除 4,500 万美元业务准备金后的未支余额为 5,960 万美元。

22. 如欲了解清洁发展机制预算执行情况的详细信息，请参阅清洁发展机制执行理事会提交《议定书》/《公约》缔约方会议的年度报告(FCCC/KP/CMP/2011/3)。

表 9

截至 2011 年 6 月 30 日清洁发展机制信托基金的状况
(美元)

收入	
2008-2009 年的结转额	81 954 684
2010 年收到的自愿捐款	31 880
清洁发展机制收费	71 695 245
迅速启动清洁发展机制调整数	-3 501 923
上期承付款项的节省额和对捐助方的退款	87 933
利息和杂项收入	1 995 366
收入总计	152 263 185
支出用途	
工作人员	24 739 268
顾问和专家	7 393 659
工作人员旅费	1 574 648
代表旅费	2 909 429
业务开支	3 934 364
研究金、补助金和捐款	598 000
其它支出	1 113 944
方案支助费用	5 360 831
支出总计	47 624 143
减去：业务准备金	45 000 000
结余	59 639 042

E. 国际交易日志信托基金

23. 表 10 是截至 2011 年 6 月 30 日国际交易日志信托基金的收入状况。2010-2011 两年期的收入为 780 万欧元，其中包括收费 540 万欧元(两年期收费的 90%)，前一个两年期结转的基金 200 万欧元，利息和杂项收入 35 万欧元。

表 10

截至 2011 年 6 月 30 日国际交易日志信托基金的收入状况
(欧元)

收入	
2008-2009 年的结转额 ^a	2 004 247
2010-2011 年收到的国际交易日志收费	5 447 327
利息和杂项收入 ^a	347 787
收入总计^b	7 799 361

^a 在适用情况下，所使用的汇率(1 美元 = 0.699 欧元)是 2011 年 6 月 30 日的联合国官方汇率。

^b 业务准备金为 245,080 欧元。

24. 表 11 是 2010-2011 两年期国际交易日志信托基金按用途分列的核定预算和截至 2011 年 6 月 30 日的支出状况。在减去支出总额和业务准备金后，未支结余为 340 万欧元。如欲了解国际交易日志预算执行情况的详细信息，请参阅《京都议定书》之下的国际交易日志管理人的年度报告(FCCC/KP/CMP/2011/7)。

表 11

截至 2011 年 6 月 30 日国际交易日志信托基金按用途分列的核定预算和支出状况

支出用途	2010-2011 年 核定预算(欧元)	截至 2011 年 6 月 30 日的 支出情况(欧元)	支出占预算的 百分比
工作人员费用	1 481 930	1 076 896	72.7
订约人和顾问	3 406 184	2 400 668	70.5
专家组	48 951	12 896	26.3
工作人员旅费	27 972	12 807	45.8
一般业务开支和共同服务缴款	261 102	132 377	50.7
方案支助费用	679 398	475 504	70.0
支出总计	5 905 537	4 111 148	69.6

F. 德国政府特别年度捐款信托基金(波恩基金)

25. 作为《气候公约》秘书处设在波恩协议内容的一部分，德国政府承诺向秘书处支付 180 万欧元特别年度捐款。截至 2011 年 6 月 30 日，已全额收到 2010-2011 年捐款额。德国政府特别年度捐款信托基金(波恩基金)收到的捐款用于支付报告所述期间在波恩举行的会议的后勤安排。

26. 表 12 是截至 2011 年 6 月 30 日波恩基金 2010-2011 年的收支情况。在减去支出总额 350 万欧元和业务准备金 209,700 欧元后，基金的未支结余为 154,970 欧元。

表 12
截至 2011 年 6 月 30 日波恩基金的状况
(欧元)

收入	
2008-2009 年的结转额 ^a	282 139
捐款	3 579 044
利息、杂项收入和前一期调整数	24 378
收入总计	3 885 561
支出	
会议支持	2 723 032
会议信息支持	388 716
共同服务费用分摊	6 980
方案支助费用	402 163
支出总计	3 520 891
结余^b	364 670

^a 在适用情况下，所使用的汇率(1 美元 = 0.699 欧元)是 2011 年 6 月 30 日的联合国官方汇率。

^b 不包括 209,700 欧元的业务准备金。

G. 方案支助费用

27. 按照联合国财务程序，《气候公约》的所有信托基金须付 13%间接费用，以支付行政服务费。这些服务大多在秘书处内部由行政服务方案提供。审计、工薪、投资和财会服务等中央服务由联合国有偿提供。

28. 表 13 是 2010-2011 两年期头 18 个月方案支助费用的状况。截至 2011 年 6 月 30 日，收入为 2,670 万美元，其中包括前一个两年期结转的资金 1,070 万美元，方案支助费用收入 1,530 万美元，利息和杂项收入 67 万美元。

29. 同一时期，将 1,290 万美元用于支付工作人员和非工作人员费用；截至 2011 年 6 月 30 日，联合国日内瓦办事处所提供服务的收费为 70 万美元。在减去业务准备金 450 万美元后，方案支助费用特别账户的未支结余为 860 万美元。

表 13
截至 2011 年 6 月 30 日的方案支助费用特别账户的状况
(美元)

收入	
2008-2009 年的结转额	10 731 938
各信托基金支付的方案支助费用收入	15 290 032
利息和杂项收入	668 560
收入总计	26 690 530
支出	
秘书处工作人员费用	10 356 676
秘书处非工作人员费用	2 562 474
联合国提供的服务费用	714 143
支出总计	13 633 293
减去：业务准备金	4 480 748
结余	8 576 489

三. 方案执行

30. 方案执行所依据的是 2010-2011 两年期工作方案以及在提出工作方案后给予秘书处的授权。因此，本节应与概述该工作方案的 FCCC/SBI/2009/2/Add.1 号文件一并阅读。

31. 以下各节概述各方案的责任，说明两年期工作方案的预期结果是否正在实现，并概述对秘书处工作成果作出了贡献的活动。附件三载有各方案的补充绩效数据。

A. 行政领导和管理

32. “行政领导和管理”方案的总体目标是，确保秘书处对《公约》和《京都议定书》机构的各种需要作出回应并确保秘书处工作的总体连贯性。“行政领导和管理”方案还协调联合国系统内部及与其他利害关系方的外联和合作活动，支持《公约》缔约方会议和《议定书》/《公约》缔约方会议主席和主席团，并指导全秘书处对政府间进程提供的支持。

33. 报告所述期间“行政领导和管理”方案的工作重点是，支持缔约方采取协调努力，以便在《公约》缔约方会议和《议定书》/《公约》缔约方会议最新决定结果的基础上向前拓展。根据《坎昆协议》中具有里程碑意义的决定，2011 年上半年“行政领导和管理”方案的优先事项是，重新调整秘书处的资源以便有效帮助缔约方立即执行这些决定。这些努力包括重新安排工作流程，以便消除重

复、优化现有技术组合、为就贯穿各领域的问题开展合作创建一个更好的框架。此外，在“行政领导和管理”方案中设立执行战略股，加强对执行《坎昆协议》的协调和监督。

34. “行政领导和管理”方案继续支持《公约》缔约方会议和《议定书》/《公约》缔约方会议的主席，协调秘书处对长期合作行动问题特设工作组和进一步承诺问题特设工作组工作的支持。执行秘书开展了大量筹集资金的活动，以确保获得适当资源。然而，为 2011 年 4 月在泰国曼谷举行的联合国气候变化会议做出的捐款不足，仍然存在严重的基金缺口。

35. 执行秘书确保了《公约》缔约方会议、《议定书》/《公约》缔约方会议、长期合作行动问题特设工作组和进一步承诺问题特设工作组的届会报告得到及时发布，还确保了将缔约方就《坎昆协议》传达的信息进行汇编并在《气候公约》网站上发布。

36. “行政领导和管理”方案加强了在秘书处内部的协调作用，协调与联合国秘书处、专门机构和国际组织的合作，以支持《气候公约》进程和《公约》缔约方会议和《议定书》/《公约》缔约方会议决定的执行工作。为此，执行秘书支持秘书处一位高级职员与秘书长办公室合作。与秘书长办公室和其他机构等广泛的利害关系方开展外联工作，是 2011 年上半年任命的办公厅主任的一个优先事项。

37. 充分认识到各国政府的预算限制，以及需要争取效率和“更聪明地工作”，2011 年执行秘书发起了一系列旨在合理利用秘书处资源的举措。这方面正在开展的工作包括：审查秘书处工作程序(如管理程序和文件印发程序)，以期提高自动化水平，减少交易成本；设置内部合作平台；探讨各种备选办法增强电子会议的能力，提高员工时间利用效率。FCCC/SBI/2011/Inf.15 号文件载有关于 2012-2013 两年期规划效率增益的报告。

38. 最后，执行秘书做出特别努力，确保工作人员的福利和健康。这方面的举措包括开展工作人员满意度调查，实行若干措施以扩大办公区域、改善对工作人员的支助服务及工作人员和管理层的关系。

B. 报告、数据和分析

39. “报告、数据和分析”方案为《公约》附件一所列缔约方(附件一缔约方)的整个报告与审评制度提供组织支持。在报告所述期间，“报告、数据和分析”方案继续支持《公约》及其《京都议定书》之下的稳健报告与审评进程，对附件一缔约方国家温室气体清单进行 2010 年度审评，继续审评附件一缔约方第五次国家信息通报，并开始对这些缔约方进行 2011 年的清单审评。对于同时也是《京都议定书》缔约方的附件一缔约方，“报告、数据和分析”方案在《京都议定书》规定必须提交补充资料的头两年，即 2010 年和 2011 年，执行了额外的相关报告和审评程序。

40. 根据《公约》及其《京都议定书》之下的现有任务要求，42 个附件一缔约方中的 40 个缔约方提交了第五次国家信息通报。在秘书处的协调下，2010 年和 2011 年上半年，国际专家审评组进行了 24 项国别实地审评和两项各涉及 4 个缔约方提交材料的集中审评；秘书处计划在 2012 年初完成对所余附件一缔约方国家信息通报的审评。秘书处依据第五次国家信息通报提交的资料，编写了一份汇编和综合报告，供《公约》缔约方会议和《议定书》/《公约》缔约方会议审议，该报告涵盖了附件一缔约方执行《公约》及其《京都议定书》的所有方面。参加《京都议定书》的(《公约》)附件一缔约方在《公约》之下的第五次国家信息通报载有根据《京都议定书》第七条第 2 款报告的补充资料，以说明其遵守情况。

41. 作为 2010 和 2011 年报告和审评周期的一部分，“报告、数据和分析”方案收到和处理了所有附件一缔约方提交的年度温室气体清单，包括同时也是《京都议定书》缔约方的附件一缔约方按照《京都议定书》第七条第 1 款提交的补充材料。³ 为了评估这一对于履行《京都议定书》而言至关重要的补充资料，审评进程得到了加强。总共收到、处理和储存了 85 套清单数据和相关说明材料，包括处理重新提交全部或部分材料的重复案例。

42. 报告所述期间，组织了两次主任审评员会议，目的是确保审评进程的质量和一致性，并使《京都议定书》之下的审评吸取承诺期第一年温室气体数据和补充材料报告和审评的教训。

43. 为保持和提高审评进程的有效性，秘书处编制了新的《京都议定书》之下审评工作培训课程，培训如何审评在《京都议定书》第三条第 3 和第 4 款之下报告的土地利用、土地利用的变化和林业活动的资料，支持对通过复杂方法和模型得出的清单估计数进行审评。对于《公约》和《京都议定书》之下的审评专家的培训，秘书处加大支持力度，以满足严格审评进程的要求。秘书处每年还组织两次研讨会，完成对专家的培训并举行考试。120 余名发达国家和发展中国家的专家接受培训并通过了考试。

44. 秘书处继续支持科技咨询机构关于修订“《公约》附件一所列缔约方国家信息通报编制指南，第一部分：《气候公约》年度清单报告指南”的工作方案，编写了有关材料，组织了三次研讨会，⁴ 并且在科技咨询机构届会期间提供了支持。

45. “报告、数据和分析”方案继续通过《气候公约》网站上的温室气体数据界面⁵ 提供附件一缔约方报告的温室气体数据。该界面载有附件一缔约方的温室

³ 2011 年附件一缔约方提交的全部温室气体清单可在以下网站参阅：

http://unfccc.int/national_reports/annex_i_ghg_inventories/national_inventories_submissions/items/5888.php。

⁴ 三次研讨会的文献，可在以下网站参阅：

http://unfccc.int/national_reports/annex_i_ghg_inventories/reporting_requirements/items/5333.php。

⁵ 可在以下网站参阅：http://unfccc.int/ghg_data/items/3800.php。

气体清单和非《公约》附件一所列缔约方(非附件一缔约方)国家信息通报中的数据。为提高数据质量,自 2010 年起每年对该界面进行三次更新(以往年份仅进行了一次定期更新),从而确保缔约方和广大公众能获得最新现有数据。2011 年 3 月和 6 月进行更新后,正在准备 2011 年 11 月的第三次更新。“报告、数据和分析”方案进一步改进了温室气体数据界面,开发并发布了一个新模块,⁶可以在网上计算人均或单位 GDP 温室气体排放等温室气体有关指标;正在准备对界面进行另一项重大改进,增加灵活获取在《京都议定书》附件 B 中有规定承诺的《公约》缔约方(附件 B 缔约方)提交的数据汇编与核算报告的机会。

46. “报告、数据和分析”方案继续向《公约》缔约方会议和《议定书》/《公约》缔约方会议通报附件一缔约方在《公约》及其《京都议定书》之下通过两个主要年度数据报告提交的关键温室气体数据。这两个报告是:载有附件一缔约方温室气体清单数据的温室气体数据报告和载有附件 B 缔约方核算数据的汇编与核算报告。报告所述期间公布了一份温室气体数据报告⁷和一份汇编与核算报告⁸。

47. 报告所述期间,“报告、数据和分析”方案回复了缔约方、国家组织和国际组织、媒体和个人提出的约 250 项索取温室气体数据或相关说明资料的要求。

48. 作为联合国系统内部的数据相关合作的一部分,“报告、数据和分析”方案向联合国的数据门户⁹和负责编写《千年发展目标》报告¹⁰的专家组提供附件一缔约方的关键温室气体数据。

49. “报告、数据和分析”方案继续研拟和改善附件一缔约方的温室气体清单数据报告审评系统。这包括:持续改进通用报告格式报告软件,向使用通用报告格式报告软件的缔约方提供持续支持,及时发布清单审评工具和文件。缔约方结束关于修订附件一缔约方温室气体清单报告指南的谈判后,有可能要求对通用报告格式报告软件做出改变,现在已经开始为此进行准备。

50. 在支持国际交易日志的运作方面取得了进一步进展。国际交易日志上的活动重点已由实施登记册系统转为确保这些系统继续可靠运行。《议定书》/《公约》缔约方会议第七届会议审议的国际交易日志管理人年度报告将提供关于国际交易日志的更详细资料。¹¹

51. “报告、数据和分析”方案继续在支持《公约》及其《京都议定书》之下就附件一缔约方未来可能承诺所涉事项进行的谈判方面发挥领导作用,这些事项

⁶ 可在以下网站参阅: <http://unfccc.int/di/Indicators.do>。

⁷ FCCC/SBI/2010/18。

⁸ FCCC/KP/CMP/2010/5 和 Add.1。

⁹ 可在以下网站参阅: <http://data.un.org>。

¹⁰ 可在以下网站参阅: <http://mdgs.un.org>。

¹¹ 关于国际交易日志和登记册系统的资料也可在《气候公约》网站上参阅: http://unfccc.int/kyoto_protocol/registry_systems/items/2723.php。

包括与温室气体清单相关的排放量目标和方法学问题，列入《气专委第四次评估报告》但在《京都议定书》之下的第一个承诺期中未作规定的工业气体(亦称为新气体)以及通用指标。此外，“报告、数据和分析”方案为与报告和审评方面今后的可能要求相关的谈判提供了支持，这些要求属于各缔约方正在《巴厘岛行动计划》的任务下谈判的衡量、报告和核实框架。在这方面，“报告、数据和分析”方案组织了 6 个研讨会和技术会议，并编写了若干文件为谈判进程提供材料。

52. 在墨西哥坎昆举行的《公约》缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议结束后，着手将《坎昆协议》中界定的与衡量、报告和核实有关的额外任务纳入方案规划和正在开展的活动。“报告、数据和分析”方案积极参与履行《坎昆协议》中界定的有关任务，例如编写与发达国家量化的减排目标有关的文件和组织研讨会。¹²

C. 财务和技术支助

53. “财务和技术支助”方案向缔约方、特别是非附件一缔约方提供支助，在以下领域帮助它们履行《公约》及其《京都议定书》，包括在履行机构、《公约》缔约方会议、《议定书》/《公约》缔约方会议、长期合作行动问题特设工作组之下进行谈判：《公约》及其《京都议定书》之下的财务资源动员便利化问题；非附件一缔约方的国家信息通报；国家适应行动方案；能力建设；以及教育、培训和公众认识活动。

54. 该方案支助绿色气候基金过渡委员会设立了技术支助股，并支助其组织了两次委员会会议。¹³ 它继续加强与全球环境基金的合作，联合举行视频务虚会，确保切实高效地向发展中国家提供资源支助。它还与适应基金董事会秘书处密切合作，筹备非洲区域国家执行实体研讨会，¹⁴ 并与联合国开发计划署合作，支助各国查明气候变化方面的财政需要。¹⁵ 该方案已按照第 1/CP.16 号决定，汇编了缔约方提交的关于提供快速启动资金的材料并将其公布于《气候公约》网站。¹⁶ 它还启动了《气候公约》网站上的“气候变化金融门户”，¹⁷ 首先公布国家信息通报和快速启动资金模块。

¹² FCCC/AWGLCA/2011/7。

¹³ 关于过渡委员会会议的资料，可在《气候公约》网站上参阅：
http://unfccc.int/cooperation_and_support/financial_mechanism/green_climate_fund/items/5869.php。

¹⁴ <http://www.adaptation-fund.org/event/unfccc-workshop-accreditation-nies-africa-region>。

¹⁵ http://unfccc.int/cooperation_and_support/financial_mechanism/items/5630.php。

¹⁶ http://unfccc.int/cooperation_support/financial_mechanism/fast_start_finance/items/5646.php。

¹⁷ http://unfccc.int/cooperation_support/financial_mechanism/finance_portal/items/5824.php。

55. “财务和技术支助”方案继续向非附件一缔约方提供可供其编制国家信息通报使用的资金与技术支持信息。2010年已制作了一份通讯，并向发展中国家的国家联络点、国家信息通报协调员和专家散发。¹⁸ 该方案向重新组建的非《公约》附件一缔约方国家信息通报专家咨询小组的四次会议提供了支持。¹⁹ 在东南亚、东非和南非的非附件一缔约方提出关于国家温室气体清单编制问题(重点是农业、土地利用、土地利用的变化和林业部门)的请求后，“财务和技术支助”方案继续对旨在应对上述需要的区域项目进行协调。²⁰

56. 报告所述期间，“财务和技术支助”方案协助最不发达国家专家组(专家组)举行了会议，²¹ 并为实施促进履行《公约》第四条第9款的工作方案提供了支持。两个最不发达国家²² 提交了一份已完成的《国家适应行动方案》，这样，提交总数已达到45份。²³ 已向环境基金提交了43个实施项目，以期通过“最不发达国家基金”提供资金。²⁴ 环境基金首席执行官核可了其中25个项目。专家组就《国家适应行动方案》的编制、修订和实施所涉事项提供指导和技术咨询。在环境基金的支持和秘书处的协助下，专家组组织了《国家适应行动方案》实施问题5个系列研讨会中的后4个。²⁵

57. 报告所涉期间，该方案继续与环境基金、各联合国机构、政府间组织和非政府组织合作，以期促进其开展行动，便利其将能力建设优先事项纳入各自的方案和项目。“财务和技术支助”方案启动了包括多语种功能的信息网络交流中心完全版；组织了4次关于执行《公约》第六条的区域研讨会；对全秘书处的研究金方案进行了协调，以期促进发展中国家、尤其是最不发达国家和小岛屿发展中国家年轻政府官员的能力建设；还协调了“联合国儿童、青年和气候变化联合框架倡议”。

D. 适应、技术和科学

58. “适应、技术和科学”方案对缔约方提供支持，满足缔约方在以下两个方面的特定需要和关切：气候变化的影响、气候变化不利影响方面的脆弱性及其适应；实施应对措施的影响。“适应、技术和科学”方案进一步支持《气候公约》

¹⁸ 非附件一缔约方通讯可在以下网站参阅：<http://unfccc.int/354.php>。

¹⁹ http://unfccc.int/national_reports/non-annex_i_natcom/cge/items/2608.php。

²⁰ 博茨瓦纳、柬埔寨、印度尼西亚、老挝人民民主共和国、马拉维、马来西亚、毛里求斯、纳米比亚、巴布亚新几内亚、菲律宾、卢旺达、新加坡、南非、泰国、坦桑尼亚联合共和国、越南和赞比亚。

²¹ <http://unfccc.int/6099.php>。

²² 乍得和尼泊尔。

²³ <http://unfccc.int/4585.php>。

²⁴ <http://unfccc.int/5632.php>。

²⁵ <http://unfccc.int/6101.php>。

进程的以下活动：加强技术开发和转让，提高缔约方在制定国际气候政策和采取国际气候行动方面的方法学和科学基础，包括采取行动减少发展中国家毁林和森林退化所致排放量(REDD)。该方案协调对科技咨询机构提供的支持，促进该机构以有效能和有效率的方式运作。

59. 报告所述期间，“适应、技术和科学”方案继续支持关于适应、应对措施和潜在影响问题的政府间工作和谈判。《公约》缔约方会议第十六届会议后，该方案对初步执行以下方面《坎昆适应框架》所载规定提供了支助：适应委员会的相关规定，处理特别易受气候变化不利影响的发展中国家与气候变化影响相关的损失和损害问题的办法，应对措施的经济和社会后果；其方法包括组织关于执行应对措施的履行机构/科技咨询机构联合论坛。²⁶ 该方案使广泛的利害关系方参与其中，以支持《关于气候变化的影响、脆弱性和适应的内罗毕工作方案》，促使出现了更多的《内罗毕工作方案》伙伴组织和行动承诺。²⁷ “适应、技术和科学”方案促进了知识共享和学习、增进了对话并推动了适应行动，方法是编写大量文件和出版物，²⁸ 组织两次技术研讨会²⁹、一次《内罗毕工作方案》非正式审评会、³⁰ 缔约方与《内罗毕工作方案》伙伴之间的多次会议³¹ 及在坎昆举行的宣传联合国系统“一体行动”的高级别活动。³²

60. “适应、技术和科学”方案支持缔约方推动长期合作行动问题特设工作组、履行机构和科技咨询机构之下关于技术开发和转让问题的政府间工作和谈判。该方案开展各项活动，为迅速执行《公约》缔约方会议第十六届会议设立的技术机制提供支助，包括准备支助技术执行委员会的工作，重新设计技术信息中心³³，以促进有关技术机制执行和技术执行委员会进展的信息的流通，并继续对其进行维护和升级。“适应、技术和科学”方案还编写了审评报告，³⁴ 支持履行机构审评《公约》第四条第 1(c)款和第五款的执行效果。“适应、技术和科学”方案对进一步执行技术转让框架提供了便利，继续支持技术转让专家组执行 2010-2011 年工作方案所载的活动，包括详细制定《公约》缔约方会议第十六届会议设立的技术机制可能的业务模式。³⁵ 《公约》缔约方会议第十六届会议终

²⁶ <http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf#page=2>。

²⁷ <http://unfccc.int/resource/docs/2010/sbsta/eng/inf07.pdf>。

²⁸ http://unfccc.int/adaptation/nairobi_work_programme/items/3633.php。

²⁹ <http://unfccc.int/4300.php>。

³⁰ <http://unfccc.int/5706.php>。

³¹ http://unfccc.int/files/adaptation/application/pdf/fpf_cancun_summarynote_online.pdf。

³² 2010 年 12 月 8 日举行的会边活动，
http://regserver.unfccc.int/seors/reports/archive.html?session_id=COP16/CMP6。

³³ <http://unfccc.int/ttclear/jsp/index.jsp>。

³⁴ FCCC/SBI/2010/INF.4, FCCC/SBI/2010/INF.6, FCCC/SBI/2010/MISC.3, FCCC/SBSTA/2010/INF.3。

³⁵ <http://unfccc.int/ttclear/jsp/EGTTDoc/National%20systems%20of%20innovation%20v7.pdf>。

止技术转让专家组的任务后，“适应、技术和科学”方案执行了专家组工作方案中所余活动，包括组织一次技术需要评估研讨会。³⁶ 它与联合国开发计划署(开发署)合作，更新《气候变化技术需要评估手册》³⁷，与联合国环境规划署(环境署)/全球环境基金合作，实施《波兹南技术转让战略方案》。³⁸ “适应、技术和科学”方案继续开展努力，提高非附件一缔约方的技术转让项目融资筹备能力，方法包括举办两期区域培训研讨会³⁹ 和制定一套培训方案。⁴⁰ 在与技术开发和转让相关的多种问题上，“适应、技术和科学”方案与国际能源机构、国际可再生能源机构、开发署、环境署、联合国工业发展组织、欧洲专利局、全球环境基金、世界知识产权组织、世界银行和联合国训练研究所开展了合作。

61. “适应、技术和科学”方案继续支持就下列工作的科学、技术和社会经济层面所涉事项(缓解、REDD+⁴¹、LULUCF、部门合作方针、特定部门行动、国际运输所用燃料产生的排放量和研究与系统观测)开展的谈判。秘书处努力加强对 REDD+相关活动能力建设的协调工作，作为其中的一部分，该方案组织了一次非正式专家会议，⁴² 进一步开发和维护了 REDD 网络平台⁴³，并在平台上推出一个互动论坛，以促进信息和经验的交流，积累发展中国家在执行 REDD+相关活动时使用气专委指导意见和指南的专门知识。该方案还组织了对附件一缔约方在《京都议定书》之下提交的森林管理参考水平资料的技术评估⁴⁴，该评估将支助《议定书》缔约方会议在第七届会议上审议 LULUCF 的问题。

62. 在科技咨询机构关于与《公约》需求相关的科研活动动态的对话之下，该方案组织了一次科研研讨会⁴⁵ 和数次年会。⁴⁶ “适应、技术和科学”方案与气专委、世界气象组织、有关区域和国际全球气候变化研究方案和组织以及臭氧秘书处密切合作，促进相关信息流入《公约》进程。该方案与联合国粮农组织、开发署、环境署和世界银行合作，以加强发展中国家就 REDD 和农业采取行动的能力；与国际海事组织和国际民用航空组织合作，向缔约方通报这些组织在国际航空和海上运输方面开展的有关工作。“适应、技术和科学”方案还协调秘书处

³⁶ <http://unfccc.int/ttclear/jsp/TrnDetails.jsp?EN=TNAWshpBonn>。

³⁷ <http://unfccc.int/ttclear/pdf/TNA%20HANDBOOK%20EN%2020101115.pdf>。

³⁸ http://www.thegef.org/gef/TT_poznan_strategic_program。

³⁹ <http://unfccc.int/ttclear/jsp/Training.jsp>。

⁴⁰ <http://unfccc.int/ttclear/jsp/Training%20material.jsp>。

⁴¹ 关于减少发展中国家毁林和森林退化所致排放量方面问题的政策方针和积极鼓励办法；以及发展中国家养护、可持续管理森林和加强森林碳储存的作用。

⁴² http://unfccc.int/methods_science/redd/items/5603.php。

⁴³ http://unfccc.int/methods_science/redd/items/4531.php。

⁴⁴ http://unfccc.int/meetings/ad_hoc_working_groups/kp/items/5896.php。

⁴⁵ http://unfccc.int/methods_and_science/research_and_systematic_observation/items/6032.php。

⁴⁶ http://unfccc.int/methods_and_science/research_and_systematic_observation/items/5609.php。

与《联合国防治荒漠化公约》和《联合国生物多样性公约》有关的活动。《公约》缔约方会议第十六届会议后，该方案一直参照《坎昆协议》提到的《公约》最终目标，对关于共同愿景和长期全球目标审评相关事项的谈判提供支助。⁴⁷

E. 可持续发展机制

63. 报告所述期间，“可持续发展机制”方案的主要作用仍然是向清洁发展机制执行理事会和联合执行监督委员会(监委会)提供支持，这两个机构是为监督《京都议定书》之下基于项目的机制的实施工作而组建的。此外，“可持续发展机制”方案继续支持进一步承诺问题特设工作组之下关于现行机制的谈判和长期合作行动问题特设工作组之下关于市场方针和非市场方针的谈判。

64. 为更好地支持这两个机构，“可持续发展机制”方案采用了新的组织结构。新结构严格对应清洁发展机制和联合执行机制下设立的进程，这些进程涉及方法学和标准的创制与维护以及对获认证实体和项目的评估。通过设置小组内部联络点和简化及扩展与利害关系方之间的沟通渠道，这也便于直接解决两个机制的各种利害关系方此前所遇到的问题。

65. 报告所述期间，依照 2010 和 2011 年清洁发展机制管理计划，“可持续发展机制”方案为清洁发展机制执行理事会及其专题小组和工作组的 45 次会议做出了安排，仅为执行理事会就编写和印发了大约 426 份文件。该方案继续促进关于基于项目的机制的对话，组织了 28 次利害关系方协调研讨会和(或)培训研讨会，并根据执行董事会的请求，组织了 38 次“可持续发展机制”工作人员培训干预。通过进一步开发清洁发展机制网站⁴⁸和编制《清洁发展机制决定目录》，⁴⁹加强了沟通和透明度。“可持续发展机制”方案定期更新清洁发展机制动态新闻页面，⁵⁰提供关于清洁发展机制的最新信息。⁵¹该方案还继续管理清洁发展机制登记册的日常业务，开设账号和执行交易。“可持续发展机制”方案与其伙伴在《内罗毕框架》方面开展了合作，⁵²以期加强清洁发展机制项目活动的公平地域分配，方法包括为非洲碳论坛制作传单、广告、宣传册、视频、音频文件、网络动画和新闻资料袋，和进一步发展“清洁发展机制集市”。⁵³

⁴⁷ 作为《坎昆协议》的一部分，《公约》缔约方会议在第 1/CP.16 号决定中决定，定期审评该决定第 4 段规定的长期全球目标的充分性。

⁴⁸ 清洁发展机制网站，请参阅 <http://cdm.unfccc.int/index.html>，每月 110,000 独立访客中有 26,000 余名记名用户使用该网站，每月下载文件约 1,670,000 份。

⁴⁹ 可在以下网站参阅：<http://cdm.unfccc.int/Reference/catalogue/search>。

⁵⁰ 可在以下网站参阅：<http://cdm.unfccc.int/CDMNews/rss.html>。

⁵¹ 报告所述期间记录的网页点击率超过 800,000 次。

⁵² 可在以下网站参阅：http://cdm.unfccc.int/Nairobi_Framework/index.html。

⁵³ 可在以下网站参阅：<http://www.cdmbazaar.net/>。

66. 该方案为登记 1,218 项清洁发展机制项目活动⁵⁴ 和发放 2.829 亿核证减排量⁵⁵ 提供了支持。该方案为清洁发展机制执行理事会通过“经修订的清洁发展机制活动方案登记相关程序和指南”以及为发布活动方案首次登记申请提供了支持。⁵⁶

“可持续发展机制”方案还采取了措施，增强完整性检查的及时性，同时加强向执行理事会提供项目评估信息。该方案继续通过清洁发展机制网站提供更多的关于登记和发放问题的信息，⁵⁷ 从而减少了与内部程序管理问题相关的项目查询量。报告所述期间，所有新方法都是完全按照既定程序和时限采用的。

67. “可持续发展机制”方案为监委会的 6 次会议和联合执行认证小组的 6 次会议做出了安排。联合执行机制资金短缺问题是一个重大障碍，但监委会对此做出了适当管理。为节省资金，监委会继续寻找途径，力求减少开支，同时设法提请缔约方关注委员会的财政困境。

68. “可持续发展机制”方案的另一项重要职责仍是向市场机制方面的政府间谈判提供支持。

69. “可持续发展机制”方案的关键管理挑战包括，保持与清洁发展机制项目案件量有关的时间表。目前实施的框架合同使其能够利用外部专家，既缓解案件积压的当务之急，又可应对这方面即将出现的需求高峰。该方案管理部门的另一个侧重点是加快招聘程序。报告所述期间，定期合同工作人员数目已从 102 人增至 158 人。

F. 法律事务处

70. 法律事务处向缔约方、《公约》和《京都议定书》机构以及秘书处提供咨询意见和支持，以确保《公约》及其《京都议定书》得到履行，相关政府间进程和秘书处业务按照法律、程序和体制方面的要求进行。法律事务处还向履约委员会提供咨询意见和支持，以确保履约机制有效运行并支持《京都议定书》的环境完整性和市场机制信誉。

71. 《公约》缔约方会议和《议定书》/《公约》缔约方会议主席和主席团、附属机构和组建机构的主席、缔约方、观察员、执行秘书和秘书处各方案向法律事务处征求并获得关于各种法律、程序和体制问题的咨询意见。

72. 清洁发展机制执行理事会、监委会、适应基金理事会和绿色气候基金设计过渡委员会收到了关于其工作的法律意见。这些建议协助上述机构按照《公约》

⁵⁴ 截至 2011 年 7 月 28 日，登记项目总数为 3,332 个。

⁵⁵ 截至 2011 年 7 月 28 日，发放的核证减排量总数为 6.68 亿。

⁵⁶ FCCC/KP/AWG/2010/10。

⁵⁷ 可在以下网站参阅：

<http://cdm.unfccc.int/Registry/index.html>, <http://cdm.unfccc.int/Issuance/index.html>。

及其《京都议定书》的条款、适用的议事规则、《气候公约》要求以及一般国际法有效地履行其任务。

73. 法律事务处向缔约方提供支持，就未来气候变化制度进行谈判，特别是就以下方面进行谈判：正在向市场经济过渡的附件一缔约方和具有特殊情况的缔约方的地位，在长期合作行动问题特设工作组之下达成协议定结果的法律备选办法，在进一步承诺问题特设工作组之下的法律事项，以及《坎昆协议》的执行。法律事务处应缔约方的要求，编写了一份有关《京都议定书》第一个承诺期与随后各承诺期之间可能出现空白的法律考虑的文件。⁵⁸

74. 法律事务处澄清了关于谈判的若干程序性和实质性法律问题，包括关于通过议程的法律和程序性考虑的咨询意见，观察员的参与和修订程序。法律事务处还向缔约方提供支持，说明任命和选举《公约》和《议定书》机构，特别是过渡委员会和技术执行委员会主席团成员的程序。

75. 法律事务处向履约委员会全体会议、执行事务组和促进事务组提供了实质性法律咨询和组织支持。该方案制作了有关利益冲突问题的参考资料⁵⁹，便利全会就这一问题进行讨论。

76. 法律事务处保证了秘书处缔结的法律文书符合联合国和秘书处的规则和条例。这包括为《公约》缔约方会议第十六届会议和《议定书》/《公约》缔约方会议第六届会议签署《东道国协议》及在曼谷和中国天津举行的特设工作组会议签署适当法律文书提供便利。报告所述期间，该方案还定期就秘书处的管理和业务相关问题提供法律咨询意见。

G. 会议事务处

77. 会议事务处为缔约方和观察员参与政府间进程提供便利，为届会、会议和研讨会做后勤准备工作并向其提供支持，以及编辑和处理《气候公约》文件。该方案维护秘书处的联络人数据库，并与联合国安全和安保部密切协作，监督会议的安保安排。

78. 报告所述期间，会议事务处共为 7 个会期作出了后勤安排(包括安保安排和为便利缔约方和观察员组织参会和登记作出的安排)，并为其编辑处理了《气候公约》文件，其中包括《公约》缔约方会议、《议定书》/《公约》缔约方会议、履行机构、科技咨询机构、进一步承诺问题特设工作组和长期合作行动问题特设工作组的届会。除全体会议外，届会包括联络小组、区域集团、谈判小组、代表团、观察员组织的大量会期会议以及会外活动和媒体活动。此外，在此期间

⁵⁸ FCCC/KP/AWG/2010/10。

⁵⁹ 见第 CC/7/2010/2 号、第 CC/8/2010/3 号和第 CC/8/2010/3/Corr.1 号文件，可在以下网站参阅：
http://unfccc.int/kyoto_protocol/compliance/plenary/items/3788.php。

共举行了 20 次届会前和届会后会议和 28 次筹备会议。报告所述期间，2011 年下半年两个会期的筹备工作正在有序进行。

79. 从 2010 年 1 月到 2011 年 6 月，平均每个工作日都举行一场任务中规定的《气候公约》会议(不包括上文提到的会期会议)。通过以下途径，会议事务处在波恩举行的 218 场会议和研讨会提供了支持：对与会者进行预先登记，为签证问题提供便利和(或)协助后勤安排。

80. 在《公约》及其《京都议定书》下设立的机构的每次届会以及与这些会议同时举行的研讨会和活动中，会议事务处平均每次受理了 230 起符合条件的缔约方的资助申请，以便利其代表出席这些会议。

81. 报告所述期间，开发了新的在线登记系统供缔约方和被接纳组织使用。该系统加快了参会人员登记和会议卡发放的速度。这一创新缩短了等待时间，并有望减少会议登记的费用。

82. 报告所述期内，会议事务处处理了政府间组织和非政府组织提出的 386 项观察员地位申请，便利了在《气候公约》网站上贴载政府间组织和非政府组织提交的 173 项材料。届会的会外活动和展览越来越受到缔约方和观察员的欢迎。在报告所述期间的 7 个《气候公约》届会会期内，会议事务处处理了 848 项会外活动申请和 496 项展览申请，并从中选择了 549 项会外活动和 380 项展览。会议事务处在 6 个会期中向观察员组织提供了办公室和会议场所。会议事务处在 8 次届会中为观察员组织的总共 166 项全体会议发言提供了便利。此外，会议事务处为 132 名观察员组织代表参加 9 场闭会期间研讨会提供了便利。

83. 在履行机构第三十四届会议期间，会议事务处组织了为期一天的研讨会，以便按照履行机构第三十三届会议规定的任务，进一步提高观察员组织的参与度，会议事务处还介绍了观察员目前的参与情况，并审议了其他联合国进程的良好做法。它还就此次会期研讨会编写了报告，供履行机构第三十四届会议继续讨论。

84. 会议事务处为提高观察员的参与度提供了便利，与 9 个认可观察员群组的联络中心定期举行会议，并研制了一个加强处理观察员参会情况的在线工具。⁶⁰

85. 2010 年 1 月 1 日至 2011 年 6 月 30 日期间，会议事务处总共编辑处理了 638 份文件，合计 12,463 页，包括会议文件和审评报告等其他规定文件。会议事务处在相关时限内成功地提交了所有审评报告，在每次届会开始前，所有会议文件均提供了英文本。然而，由于会议频次不断提高，并非所有翻译时限都能满足。作为坎昆会议筹备工作的一部分，会议事务处与联合国日内瓦办事处的同事密切合作，以满足缔约方的要求，即以各种语言文本及时提供关键文件，例如进一步承诺问题特设工作组和长期合作行动问题特设工作组的谈判案文。

⁶⁰ <https://onlinereg.unfccc.int/>。

H. 信息事务处

86. 信息事务处方案是秘书处通信事务的中枢，提供三个领域的服务：宣传和媒体关系、信息和通信技术(信通技术)服务和知识管理。信息事务处确保：利用可靠安全的以信通技术为支持的基础设施推进缔约方规定的工作；《气候公约》网站可持续使用；缔约方可方便地获得正式文件、信息、数据、会议录和活动资料。该处还确保通过发布信息资料和媒体关系向公众通报气候变化进程。

87. 报告所述期间，信息事务处便利制作了 27,752 份出版物，在会议上和通过邮寄分发了 34,060 份出版物。此外，制作了 4,500 份 CD 和 DVD 及 1,000 份《内罗毕工作方案》日历。为附属机构、特设工作组、清洁发展机制执行理事会、监委会、指定国家主管机构研讨会、履约委员会执行事务组的会议和新闻发布会提供了网络广播服务，提高了政府间进程的透明度。报告所述期间，共有 733,445 名网站访客观看了网络广播。

88. 报告所述期间，《气候公约》网站被浏览的页面达 1.875 亿页，被下载的可移植文件格式(PDF)文件为 4,250 万份。在此期间，《气候公约》iPhone/iPad “谈判者”应用程序共被下载约 16,000 次。⁶¹ 秘书处散发了 6 期英文和西班牙文电子版通讯《气候公约新闻》。⁶² 在此期间，英文通讯的订阅者由 9,900 人增至 13,100 人，西班牙文版本的订阅者由 2,000 人增至 7,320 人。在社会媒体领域，《气候公约》秘书处 YouTube 频道的视频观看量为 147,000 次。⁶³ 共有 4,300 名用户积极利用秘书处的 Facebook 页面⁶⁴ 共享信息，5,500 人通过 Twitter 关注秘书处的信息流。⁶⁵ 自 2011 年初，信息事务处保持《气候公约》执行秘书的官方身份在 Twitter 上出现，目前有 2,136 名用户关注这一账户。⁶⁶ 秘书处在 Flickr 上的照片门户社区十分活跃，社区人员利用这一平台共享主要与气候变化和秘书处支持的会议相关的照片。⁶⁷ 2011 年 1 月开始实行网站改进项目，力求改进《气候公约》网站的信息结构，并修改网站分类系统，将重点放在会议相关功能和资料检索上。

89. 该处与媒体密切合作，以增进了解并确保媒体对气候变化和政府间进程作出准确报道。报告所述期间，信息事务处回应了媒体的 1,689 项信息要求，为执行秘书编写或代表其编写了 87 份发言稿和文章，发布了 39 份新闻稿，组织了

⁶¹ <http://itunes.apple.com/de/app/negotiator/id338997029?mt=8>。

⁶² http://unfccc.int/press/news_room/newsletter/items/3642.php 和 http://unfccc.int/portal_espanol/newsletter/items/5680.php。

⁶³ <http://www.youtube.com/climateconference>。

⁶⁴ <http://www.facebook.com/UNclimatechange?v=wall>。

⁶⁵ http://twitter.com/#!/UN_climatetalks。

⁶⁶ <http://twitter.com/#!/Cfigueres>。

⁶⁷ <http://www.flickr.com/photos/unfccc/sets/>。

407 次访谈。信息事务处继续为发展中国家记者举办一系列研讨会，于 2010 年 6 月又组织了一次研讨会，并于 12 月与《公约》缔约方会议第十六届会议同期举行了一次研讨会。

90. 报告所述期间，信息技术服务得到重组和增强。与秘书处各方案订立的新协议中确定了系统开发、部署和操作方面的预期成果。为合作/分享平台和整合后的服务台平台等覆盖全秘书处的信息技术项目创建了新功能，并且启动了这些项目。

91. 信息事务处维持了安全可靠的信通技术网络基础设施和服务，使秘书处能够满足政府间进程的要求。向 116 次研讨会和小型会议提供了信通技术服务。向《气候公约》温室气体数据库、汇编和核算数据库、温室气体数据界面、清洁发展机制和联合履行信息系统和清洁发展机制登记册等规定系统以及《气候公约》网站内容管理系统和记录管理系统等全秘书处信息系统提供了托管服务。

92. 该处启动了一个实际记录管理项目，并继续支持法律事务处和报告、数据和分享方案从 FileNet 电子记录系统中获取记录。

I. 行政事务处

93. 行政事务处在以下方面提供中央支持服务：秘书处的人力和财务资源管理、拟订行政政策和指南、采购、房产管理和旅行安排。该方案还与联合国日内瓦办事处和联合国秘书处联络行政事宜；与德国政府联络《总部协定》执行工作相关事宜。

94. 报告所述期间，行政事务处继续为财政资源的筹集、分配和审慎利用提供便利。该处支助执行秘书编写和提交 2012-2013 两年期拟议预算和开展筹资活动，包括会期会议的筹资活动。

95. 该处为《气候公约》所有信托基金的管理提供关键服务，为联合国审计委员会审计秘书处 2009 年 12 月 31 日终了的两年期财务报表的工作和 2010 年的中期审计提供了便利。秘书处继续执行审计建议。

96. 行政事务处与联合国内部监督事务厅一起参与了对招聘和工作人员权益领域的内部审计活动，还为 2008 年和 2009 年进行的内部审计的后续措施提供了便利。

97. 该处开始整改行政和财务流程，使其在未来几年内与《国际公共部门会计准则》接轨。

98. 行政事务处开展了许多活动，以促进及时招募和聘用满足效率、能力和诚实最高标准的工作人员。该处还启动了对秘书处工作人员甄选制度的审查和拟定人员配备战略的工作。在全秘书处启用了电子绩效评估系统并提供了相关培训，促进了绩效管理。正在对人力资源管理领域的几项活动进行自动化处理，以改进工作流程、提高效率。

99. 该处为约 4,000 人次获提名参加 223 次研讨会、会议和届会的与会者和专家作出了旅行安排，与上 2008 年 1 月至 2009 年 6 月期间相比分别增加了 84%和 43%。正在进行的差旅者满意度调查显示，94%以上的与会者将旅行服务评定为“良好”或“优秀”，仅有 2.2%的人感到不满意。

100. 行政事务处继续按照联合国的规则和条例及《气候公约》的政策及时采购物品和服务。报告所述期间，共下采购订单约 1,000 份，价值 2,400 万美元，与 2008 年 1 月至 2009 年 6 月期间相比分别增长了 35%和 20%。

101. 如同向履行机构第三十四届会议所报告的那样，东道国政府正准备提供额外空间，容纳秘书处日益增加的工作人员；但行政事务处仍继续优化利用现有办公场所，并将秘书处办公室迁至波恩的联合国办公区。

四. 补充信息

102. 秘书处的人力资源信息载于附件一。附件二载录补充活动信托基金所资助活动的收支情况。附件三载录秘书处各方案所有目标的绩效数据。

Annex I

[English only]

Human resources

A. Staff

1. Table 14 shows the number of approved posts and filled posts by grade and source of funding. As at 30 June 2011, of the 467.5 approved posts, 386 were filled. In addition, 31 Professional and 55 General Service level staff members were hired under temporary assistance contracts, bringing the total number of staff at the secretariat to 472.

Table 14

Approved established posts and filled posts by source of funding as at 30 June 2011

	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1	Subtotal	GS	Total
<i>Trust Fund for the Core Budget</i>											
Approved	1	3	5	12	26	32	12		91	49.5	140.5
Filled ^a	1	3	4	11	22	27	8		76	43	119.0
<i>Trust Fund for Supplementary Activities</i>											
Approved		1	2	4	6	10	11		34	16	50
Filled		1	2	2	4	8	8		25	12	37
<i>Trust Fund for the Clean Development Mechanism</i>											
Approved			1	5	19	46	65	1	137	57	194
Filled			1	4	15	40	50	1	111	47	158
<i>Trust Fund for the International Transaction Log</i>											
Approved					3	2			5	2	7
Filled					3	1			4	2	6
<i>Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund)</i>											
Approved						1	1		2	6	8
Filled						1			1	5	6
<i>Programme Support (overhead)</i>											
Approved			1	2	3	11	4		21	47	68
Filled			1	1	3	10	3		18	42	60
<i>Total</i>											
Approved	1	4	9	23	57	102	93	1	290	177.5	467.5
Filled	1	4	8	18	47	87	69	1	235	151	386

Abbreviations: ASG = Assistant Secretary-General, D = Director, P = Professional, GS = General Service.

^a Filled posts are occupied by staff members who have been awarded a fixed-term contract of one year or more and are appointed against established posts after going through the complete recruitment process, including review by the Review Board.

2. Table 15 provides information on the geographical distribution of the staff appointed at the Professional level and above. As at 30 June 2011, Western European countries and other States accounted for the highest percentage (36.6 per cent) of staff appointed at the Professional level and above, whereas Africa had the lowest (9.3 per cent).

3. The secretariat has continued its efforts in relation to geographical distribution and gender balance among staff at the Professional level and above. Vacancy announcements are placed in many regional and global media covering as many Parties not included in Annex I to the Convention (non-Annex I Parties) as possible.

Table 15

Geographical distribution of staff members appointed at the Professional level and above as at 30 June 2011

<i>Grade</i>	<i>Africa</i>	<i>Asia and the Pacific</i>	<i>Latin America and the Caribbean</i>	<i>Eastern Europe</i>	<i>Western Europe and other States</i>	<i>Total</i>
ASG			1			1
D-2	1	1			2	4
D-1	1	2		1	4	8
P-5	6	3	2	2	5	18
P-4	4	8	6	7	22	47
P-3	6	33	8	6	34	87
P-2	4	27	13	7	18	69
P-1					1	1
Total	22	74	30	23	86	235
Percentage of total	9.3	31.5	12.8	9.8	36.6	100.0

Abbreviations: ASG = Assistant Secretary-General, D = Director, P = Professional.

4. Table 16 highlights the distribution of staff members appointed at the Professional level and above, between Parties included in Annex I to the Convention (Annex I Parties) and non-Annex I Parties. As at 30 June 2011, the percentage of staff from non-Annex I Parties at the Professional and higher levels was 51.5 per cent compared with 48.5 per cent for Annex I Parties.

Table 16

Distribution of staff members at the Professional level and above, between Annex I and non-Annex I Parties

<i>Grade</i>	<i>Annex I</i>	<i>Non-Annex I</i>
ASG		1
D-2	2	2
D-1	5	3
P-5	7	11
P-4	30	17
P-3	43	44
P-2	26	43
P-1	1	
Total	114	121
Percentage of total	48.5	51.5

Abbreviations: ASG = Assistant Secretary-General, D = Director, P = Professional.

5. Table 17 highlights the distribution of staff members appointed at the Professional level and above by gender. As at 30 June 2011, the percentage of female staff at the Professional and higher levels was 40 per cent, an increase of 5 per cent from July 2009.

Table 17

Distribution of staff members at the Professional level and above by gender

<i>Grade</i>	<i>Male</i>	<i>Female</i>
ASG		1
D-2	4	
D-1	5	3
P-5	15	3
P-4	32	15
P-3	47	40
P-2	37	32
P-1	1	
Total	141	94
Percentage of total	60.0	40.0

Abbreviations: ASG = Assistant Secretary-General, D = Director, P = Professional.

B. Consultants and individual contractors

6. Between 1 January 2010 and 30 June 2011 a total of 250 individual consultants and contractors were hired. They provided a combined total of 723.6 working months at a total cost of USD 5.1 million under all sources of funding. Table 18 provides information on how consulting services were distributed among the various programmes.

Table 18

Services of consultants and contractors by programme, 1 January 2010 to 30 June 2011

<i>Programme</i>	<i>Person-months</i>	<i>Cost (USD)</i>
Executive Direction and Management	13.0	149 496
Reporting, Data and Analysis	32.3	350 113
Financial and Technical Support	45.4	486 062
Adaptation, Technology and Science	92.5	516 644
Sustainable Development Mechanisms	230.9	1 547 136
Legal Affairs	11.3	102 283
Conference Affairs Services	143.6	906 520
Communication and Knowledge Management Services	34.3	323 941
Information Technology Services	51.8	421 936
Administrative Services	68.5	277 316
Total	723.6	5 081 447

Annex II

[English only]

Projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2010–2011

Table 19

Income and expenditures of projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2010–2011 as at 30 June 2011

<i>Project</i>	<i>Income (USD)^a</i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
<i>Executive Direction and Management (EDM)</i>			
Preparatory workshops for negotiators from developing countries on the UNFCCC Bali Road Map in the lead-up to COP 16/CMP.6	35 182	35 182	–
Support to the Ad Hoc Working Group on Long-term Cooperative Action under the Convention and the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (conference, substantive and information services support)	12 148 225	16 155 064	(4 006 839)
Workshop on consensus-building for presiding officers of UNFCCC negotiation groups	67 749	65 785	1 964
Enhancing strategic capacity in the office of the Executive Secretary	444 929	70 333	374 596
Enhance and strengthen cooperation with the United Nations through the Office of the Secretary-General	226 000	69 111	156 889
<i>Reporting, Data and Analysis (RDA)</i>			
Development and maintenance of the database system for the annual compilation and accounting of emissions inventories and assigned amounts under the Kyoto Protocol	351 209	0	351 209
Software development and support to the CRF Reporter software	74 291	30 002	44 289
Activities to support the expert review process under the Convention and its Kyoto Protocol: training for expert review teams and meetings of lead reviewers	1 977 667	894 992	1 082 675
Development and maintenance of the UNFCCC information systems for the receipt and processing of greenhouse gas (GHG) data, including the UNFCCC submission portal and the GHG data interface	920 282	335 627	584 655
Activities to facilitate the implementation of the work programme for the revision of the UNFCCC reporting guidelines for Annex I Parties and the use of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories	102 065	50 599	51 466
Information technology governance	37 455	37 455	–

<i>Project</i>	<i>Income (USD)^a</i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
<i>Financial and Technical Support (FTS)</i>			
Support to national communications of non-Annex I Parties	658 288	387 904	270 384
Support to the Least Developed Countries Expert Group for 2010–2011	2 031 781	1 203 744	828 037
Support to financial cooperation and enhanced provision of financial resources	492 077	175 744	316 333
Support to the implementation of national GHG inventories and related activities by non-Annex I Parties, including national forest monitoring systems	1 596 251	571 692	1 024 559
UNFCCC Fellowship Programme	321 535	301 087	20 448
Support to capacity-building for developing countries	435 604	174 722	260 882
Organization and facilitation of thematic regional workshops to support the implementation of the amended New Delhi work programme on Article 6 of the Convention	700 924	443 894	257 030
National economic, environment and development studies for climate change	749 387	584 633	164 754
Support the work of the Transitional Committee for the design of the Green Climate Fund	1 055 151	589 108	466 043
Workshops on the process and requirements of the accreditation of national implementing entities for direct access under the Adaptation Fund	289 642	–	289 642
Supporting enhanced action on mitigation by developing country Parties under the Cancun Agreements	297 757	–	297 757
<i>Adaptation, Technology and Science (ATS)</i>			
Support for implementing the programme of work of the Expert Group on Technology Transfer and the technology transfer framework	1 518 884	1 251 104	267 780
Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)	184 538	5 348	179 190
Activities relating to land use, land-use change and forestry: reducing emissions from deforestation and forest degradation, enhancement of carbon sinks and the role of sinks in future mitigation actions	1 275 749	405 147	870 602
Supporting the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change (decision 2/CP.11)	1 723 821	1 294 107	429 714
Support to activities relating to scientific, technical and socio-economic aspects of mitigation of climate change	17 241	9 755	7 486
Support to activities relating to climate change science, research and systematic observation	80 882	22 172	58 710
Supporting the implementation of the Cancun Adaptation Framework	151 255	–	151 255
Supporting the implementation of the technology mechanism	165 342	–	165 342
Review of information on forest management baselines	339 000	230 406	108 594
Implementation of response measures	232 830	–	232 830

<i>Project</i>	<i>Income (USD)^a</i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
<i>Sustainable Development Mechanisms (SDM)</i>			
Resource requirements for activities related to Article 6 of the Kyoto Protocol (joint implementation)	3 349 517	2 434 690	914 827
<i>Legal Affairs (LA)</i>			
Handbook on the UNFCCC	48 842	–	48 842
Support to the Compliance Committee	706 004	222 731	483 273
<i>Conference Affairs Services (CAS)</i>			
Temporary structure for the thirty-fourth meetings of the subsidiary bodies	693 333	593 007	100 326
Interpretation services during the thirty-fourth meetings of the subsidiary bodies and COP 17	4 012	3 743	269
<i>Information Services (IS)</i>			
UNFCCC website: development of a Spanish portal	269 769	110 661	159 108
Climate change information outreach activities and products	796 722	580 675	216 047
Developing country media training in the run-up to COP 17 in South Africa	283 774	199 106	84 668
Information Technology Services	630 000	393 719	236 281
<i>Other expenditures</i>			
Junior Professional Officers	1 442 459	818 425	624 034
Cooperation with United Nations Headquarters	12 706	12 706	–
Total	38 940 129	30 764 179	8 175 950

^a Note that not all income available under the Trust Fund has been allocated to projects.

Annex III

[English only]

Programme performance data for the period 1 January 2010 to 30 June 2011

Table 20

Objectives, expected results, ^a performance indicators and performance data for the Executive Direction and Management programme

Objective 1: To enhance the secretariat's responsiveness to the needs of Convention and Kyoto Protocol bodies and to enhance the coherence of its work in order to facilitate the efficient and effective implementation of the Convention

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat responds to the priorities of, and requests by, Parties and supports emerging issues, including those that relate to agreed outcomes under the Bali Road Map	Proportion of mandated outputs delivered and delivered on time	A total of 849 mandates required the secretariat to deliver outputs during the reporting period, including some that required ongoing output delivery. In over 98 per cent of cases outputs had been fully delivered or output delivery was ongoing. Three outputs were not delivered due to insufficient funding. Eighty-nine per cent of the outputs were delivered on time. Delays were mostly relating to late submission of required input from sources outside of the secretariat
	Level of satisfaction of Parties with the work of the secretariat	A survey on the level of satisfaction of Parties with the work of the secretariat was conducted in 2010. The results of the survey, which had a 39 per cent response rate (73 out of 194 possible respondents), indicate that Parties have a high level of satisfaction with the work of the secretariat. For example, 94 per cent of all respondents somewhat agreed, agreed or strongly agreed with the statement that their level of satisfaction with the work of the secretariat was consistently high
Activities undertaken are coherent across programmes. The strategic objectives of programmes and the distribution of tasks and responsibilities among the programmes are clear	The members of the secretariat management consult with each other and take decisions on a regular basis (bilaterally and in management bodies)	The secretariat management team (MT) met 37 times during the reporting period (1 January 2010 – 30 June 2011) The Executive Secretary held regular bilateral meetings with MT members

Objective 2: To ensure secretariat support for the Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), thus enabling progress to be made in the intergovernmental process

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Climate change intergovernmental meetings provide a forum for taking decisions and advancing the process of responding to climate change	Level of satisfaction of the COP President and the COP Bureau with secretariat support	A survey on the level of satisfaction of the COP President and the COP Bureau with secretariat support was conducted in June–July 2011. The results of the survey, which had a 34 per cent response rate (12 out of 35 possible respondents), indicate that the Presidents and Bureaux of the COP and the CMP have a high level of satisfaction with the services provided by the secretariat to them. Matters of process, documentation, timing and logistical arrangements were acknowledged as entirely satisfactory; so were the overall communication with the Presidents and the Bureaux to keep them updated on any urgent information. Changes in practical matters were proposed by some Bureaux members, such as to increase the number of meetings and to look into more efficient means of collaboration among Bureaux members such as online workspaces. The secretariat will address the suggestions made in the survey in collaboration with the President of the COP/CMP
Presidents of the COP and the COP Bureau are kept informed and able to carry out their functions effectively	Number of agenda items unresolved before and after the high-level segment	There were 29 agenda items on the agendas of COP 16 and CMP 6. Of those 29 items, 25 were resolved prior to the high-level segment. The remaining four items were resolved after the high-level segment
The high-level segment provides political impetus to the intergovernmental process		

Objective 3: To ensure effective communication and outreach on the intergovernmental process and close liaison with Parties and intergovernmental organizations, which will enhance the contribution of all stakeholders to the implementation of the Convention

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Information on the UNFCCC process is effectively communicated by the secretariat	Frequency of reference in the media to the UNFCCC messages issued during the COP sessions	A total of 3,835 press items relating to COP 16 have been identified through an analysis of print, and broadcast media in all world regions. Twenty-six per cent of the media items relating to COP 16 referenced the top message of the UNFCCC, as compared with 23 per cent relating to COP 15

<p>Number and duration of visits to the UNFCCC website and the volume of content downloads</p>	<p>A total of 15.6 million users accessed the website <http://unfccc.int> and downloaded 11.2 terabytes of data, mostly portable document files. As at 30 June 2011, the UNFCCC e-newsletter had 20,420 subscribers: 13,100 for the English version and 7,320 for the Spanish version. The webcast service was used by 733,445 viewers</p>
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Support provided by the United Nations and intergovernmental agencies to Parties in the implementation of the Convention is enhanced

Objective 4: To continue to develop the secretariat as a well managed, mature institution with a highly developed working environment and a healthy working culture

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Competent and motivated staff representing a broad geographic spectrum and gender balance are recruited, trained and retained</p>	<p>Percentage of staff from non-Annex I Parties and women in posts in the Professional and higher levels</p>	<p>A total of 51.5 per cent of staff in the professional and higher levels are from non-Annex I Parties. Forty per cent of staff in the professional and higher levels are women</p>
<p>Internal processes function smoothly and staff are satisfied with their work and with management</p>	<p>Level of staff satisfaction with their job, management and development opportunities</p>	<p>A staff survey was conducted in June 2011 with a 70 per cent response rate (309 out of 442 possible respondents). Over 90 per cent of the respondents indicated that they were proud to work in the secretariat and more than 70 per cent expressed a high level of satisfaction with their job and secretariat management. Forty-two per cent of the respondents expressed the view that they had adequate opportunities to advance their career</p>
<p>The secretariat has the required financial resources to implement mandates given to it by the COP and the CMP</p>	<p>Percentage of mandated outputs that cannot be delivered as a result of insufficient funding</p> <p>Contribution rate to core budget (compared with the approved budget)</p> <p>Rate of contribution to the Trust Fund for Supplementary Activities</p>	<p>Sufficient funding was available for the delivery of more than 99 per cent of the mandated outputs</p> <p>Seventy-nine per cent of the indicative contributions for the biennium 2010–2011 had been received by the secretariat by 30 June 2011</p> <p>During the reporting period, the secretariat received USD 23.3 million in voluntary contributions from Parties against an initial requirement of USD 34.5 million for the biennium</p>
<p>Financial resources are managed in a sound manner and are utilized to maximize the benefit to the UNFCCC process</p>	<p>Proportion of actual expenditure compared with the approved budget and available supplementary funds</p>	<p>The core budget as at 30 June 2011 had a budget implementation rate of 66.2 per cent for the biennium 2010–2011, which is below the ideal implementation rate of 75 per cent. The actual expenditures incurred to support mandated supplementary funded activities as at the end of June 2011 amounted to USD 30.8 million, using contributions received this year and the carry-over from 2008–2009</p>

Implementation rate of audit recommendations relating to financial and administrative matters

Of the 10 open audit recommendations from the 2008–2009 biennium, four were fully implemented. The remaining ones are under implementation, some of which are of an ongoing nature. The United Nations Board of Auditors issued six new audit recommendations as a result of the interim audit for 2010

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 21

Objectives, expected results, ^a performance indicators and performance data for the Reporting, Data and Analysis programme

Objective 1: To manage the reporting and review process under the Convention and its Kyoto Protocol (Article 12 of the Convention, Articles 5, 7 and 8 of the Kyoto Protocol, decisions 18/CP.8, 19/CP.8, 13/CP.9, 14/CP.11, 10/CP.13, 13/CMP.1, 15/CMP.1, 16/CMP.1, 17/CMP.1, 19/CMP.1, 20/CMP.1, 22/CMP.1, 24/CMP.1, 25/CMP.1 and 8/CMP.3)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided to the fulfilment of reporting requirements and to the review of the implementation of the Convention and its Kyoto Protocol by Annex I Parties	All greenhouse gas (GHG) inventories from Annex I Parties submitted on time in the biennium 2010–2011 are received and reviewed by international expert teams within the mandated time frames	GHG inventories from all Annex I Parties due by 15 April 2010 and 15 April 2011 have been received and processed. About 270 data submissions in the common reporting format and the standard electronic format were received in 2010 and about 150 in 2011 (comprising initial submissions and subsequent resubmissions if any). The related review activities have been launched within the mandated time frames
	All national communications from Annex I Parties submitted by 1 January 2010 are received and reviewed by international expert teams within the mandated time frames	Sixteen out of 41 Annex I Parties submitted their national communications by 1 January 2010; 23 Annex I Parties submitted their national communications by 1 June 2010. Activities relating to the review of the submitted national communications have been undertaken and are expected to be completed within the mandated time frames

Objective 2: To provide authoritative quantitative information on the GHG emissions from Annex I Parties (Article 12 of the Convention, Articles 4, 7 and 8 of the Kyoto Protocol, decisions 18/CP.8, 19/CP.8, 13/CMP.1, 14/CMP.1, 15/CMP.1 and 22/CMP.1)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Data reported by Parties under the Convention and its Kyoto Protocol are processed and stored in a technically sound manner, enabling efficient data management and use by all data systems in the	The GHG database and the compilation and accounting database hosted/managed by the Reporting, Data and Analysis (RDA) programme are operated and maintained without interruption	The GHG database and the compilation and accounting database were operated and maintained without interruption

<p>UNFCCC secretariat</p> <p>Data reported by Parties under the Convention and its Kyoto Protocol are made publicly available in a timely and accurate manner; the UNFCCC is recognized as an authoritative source of GHG data</p>	<p>The interlinkages among all relevant UNFCCC data systems (GHG database–compilation and accounting database–international transaction log (ITL)) are kept operational without interruption</p>	<p>The interlinkages between the GHG database, the compilation and accounting database and the international transaction log were kept operational without interruption</p>
	<p>The GHG database and the compilation and accounting database are able to produce all of the queries and reports required to support the reporting and review processes for Annex I Parties managed by RDA</p>	<p>The GHG database and compilation and accounting database were able to produce all the queries and reports required to support the reporting and review processes</p>
	<p>The two key annual UNFCCC data reports (the GHG data reports and the compilation and accounting reports) have been considered by Parties at the Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP)</p>	<p>Two annual UNFCCC data reports were prepared and presented to Parties at COP 16 and CMP 6: the GHG data report containing GHG inventory data from Annex I Parties for the period 1990–2008 and the compilation and accounting report containing accounting data for Parties to the Convention with commitments inscribed in Annex B to the Kyoto Protocol for 2009</p>
	<p>All data-related inquiries received by the UNFCCC secretariat have been answered within one week</p>	<p>A total of about 250 data-related inquiries were answered during the reporting period; about 95 per cent of inquiries were answered within one week of receipt, with the remaining 5 per cent being answered later because of the complexity of inquiries or reasons outside UNFCCC control</p>
	<p>The UNFCCC GHG data interface is kept operational and up to date in 2010–2011</p>	<p>Three updates of the interface were made in 2010 and another three will be implemented in 2011; two of the 2011 updates were already released (in March and June) and the third one will be released in November 2011. At each release, all data for Annex I Parties are updated and data from the new national communications from non-Annex I Parties are added</p>

Objective 3: To support the international transaction log as a foundation of the carbon market infrastructure (Articles 6, 12 and 17 of the Kyoto Protocol, decisions 2/CMP.1, 3/CMP.1, 5/CMP.1, 9/CMP.1, 11/CMP.1, 12/CMP.1, 13/CMP.1, 14/CMP.1, 15/CMP.1, 16/CP.10 and 22/CMP.1)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Carbon market infrastructure functions properly. Parties are able to access the international transaction log when using emissions trading and project-based mechanisms</p>	<p>International transaction log downtimes are kept to a minimum, in accordance with the agreed technical standards</p> <p>The international transaction log is able to process all transactions coming from Parties within the time limits defined by the technical standards adopted by Parties</p>	<p>ITL unplanned outages in the period July 2010–June 2011 amounted to about 40 hours out of 8,760 hours, which amounts to 99.54 per cent availability during that period</p> <p>The international transaction log was able to process all transactions coming from Parties within the time limits defined by the technical standards adopted by Parties</p>

Information on the operation of the international transaction log and the registry systems of Parties is publicly available in accordance with the mandates given by Parties	Information on the operation of the international transaction log and the registry systems of Parties was publicly available in accordance with the mandates given by Parties
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Objective 4: To support the development of decisions relating to measurement, reporting and verification for the post-2012 regime (decision 1/CP.13 (the Bali Action Plan))

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The development of a post-2012 regime that ensures robust measurement, reporting and verification of commitments and actions undertaken by Parties is facilitated	Provisions and guidelines enabling measurement, reporting and verification are developed in a timely manner New requirements for the information systems managed by RDA (GHG database, compilation and accounting database, international transaction log) are identified; work on specification and implementation is launched	The relevant mandates defined in the Cancun Agreements, such as the preparation of documents relating to quantified emission reduction targets of developed countries and organization of workshops, have been addressed. Preparatory work continues in anticipation of future formal requests to the secretariat from the intergovernmental process

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 22

Objectives, expected results,^a performance indicators and performance data for the Financial and Technical Support programme

Objective 1: To increase the understanding of Parties of financial resources available to non-Annex I Parties and Parties with economies in transition for the funding of climate change initiatives, especially financial incentives to participate in the Convention and Kyoto Protocol processes, and options for funding to advance the future international response to climate change (Article 4, paras. 3, 4, 5, 7 and 9, Article 8, para. 2(b) and 2(c), and Article 11 of the Convention, Article 10(c), Article 11 and Article 12, para. 8, of the Kyoto Protocol, decisions 6/CP.7, 27/CP.7, 5/CP.9, 6/CP.9, 8/CP.10, 3/CP.11, 5/CP.11, 1/CP.12, 2/CP.12, 3/CP.12, 28/CMP.1, 5/CMP.2 and 1/CMP.3)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are provided on a regular basis with information on financial resources available to assist developing country Parties in implementing mitigation and adaptation measures	Proportion of mandated reports and technical papers provided to Parties in a timely manner Number of visits to the section on the financial mechanism on the UNFCCC website	Five reports were provided to Parties during the reporting period, all in a timely manner. No technical paper was requested to be prepared during the reporting period A total of 194,624 visits were made to the section on the financial mechanism on the UNFCCC website

Information on the implementation of guidance by the Conference of the Parties to the Global Environment Facility (GEF) and its implementing and executing agencies is made available	Number of reports prepared by the operating entity of the financial mechanism made available by the UNFCCC secretariat in a timely manner	One report was prepared by the operating entity of the financial mechanism during the reporting period. It was made available by the secretariat in a timely manner
Parties are adequately supported in developing the operational modalities for financing that arise from the agreed outcomes under the Bali Road Map	Proportion of mandated technical papers prepared and activities carried out	No technical paper was requested to be prepared during the reporting period
	Proportion of mandated outputs delivered on time	No outputs were mandated to be delivered during the reporting period

Objective 2: To enhance the capacity of Parties and education, training and public awareness activities by Parties, in particular developing country Parties, for their active engagement and participation in implementing the Convention and its Kyoto Protocol (Article 6 of the Convention, Article 10(e) of the Kyoto Protocol, decisions 2/CP.7, 3/CP.7, 2/CP.10, 11/CP.8, 2/CP.10, 3/CP.10, 7/CP.10, 4/CP.12, 6/CMP.2 and 9/CP.13)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are regularly provided with information on progress, effectiveness and gaps in capacity-building for non-Annex I Parties and Parties with economies in transition to effectively monitor and evaluate the implementation of the framework for capacity-building in developing countries established under decision 2/CP.7 and the framework for capacity-building in countries with economies in transition established under decision 3/CP.7 (capacity-building frameworks)	Annual reports made available in a timely manner	One report was mandated to be made available during the reporting period. It was made available after the due date, owing to the late submission of information on the implementation of the capacity-building framework by United Nations agencies
The implementation of the capacity-building frameworks is facilitated through the operating entity (or entities) of the financial mechanism and with key implementing agencies, including United Nations agencies	Number of partner agencies and organizations that contribute to the implementation of UNFCCC mandates for capacity-building	A total of 29 partner agencies from the United Nations contributed to the implementation of UNFCCC mandates for capacity-building

Developing countries are supported in building capacity in order to participate in the Convention and its Kyoto Protocol processes in a regionally balanced manner	Number of people trained under the secretariat's fellowship programme and the secretariat's training programmes and workshops by geographical region	<p>A total of 11 fellows were trained, including five from Africa, one from the Latin America and the Caribbean region, four from the Asia and Pacific region and one from the Eastern Europe region</p> <p>A total of 1,631 workshop participants were trained, including 523 from the African region, 725 from the Asia and Pacific region, 313 from the Latin America and the Caribbean region and 70 from the Eastern and Southern Europe regions^b</p>
Parties are regularly provided with information on progress achieved by Parties and relevant organizations in implementing Article 6 of the Convention, in support of a mandated review of the implementation of the amended New Delhi work programme on Article 6 of the Convention	Reports made available in a timely manner	Seven reports were made available, six after the due date. Official document deadlines for Subsidiary Body for Implementation sessions could not be met in cases when relevant workshops were held close to a sessional period
Relevant organizations are mobilized to provide coordinated input to the amended New Delhi work programme	Number of organizations mobilized by the secretariat to provide input to the amended New Delhi work programme	A total of 59 organizations contributed to the implementation of the amended New Delhi work programme
The information network clearing house (CC:iNet) is useful for enhancing the exchange of information on activities under Article 6 of the Convention	<p>Number of registered and unregistered users in different world regions</p> <p>Level of satisfaction with CC:iNet of users surveyed</p>	<p>As at 30 June 2011, CC:iNet had a total of 300 registered users, including 82 from the African region, 46 from the Asia and Pacific region, 54 from the Latin America and the Caribbean region, 96 from the European region, and 22 from United Nations agencies and non-governmental organizations. A total of 139 users registered during the reporting period^c</p> <p>Eighty-three per cent of users surveyed at the regional workshops found CC:iNet to be user-friendly and eighty-one per cent evaluated its overall usefulness as good to excellent</p>

Objective 3: To support non-Annex I Parties in preparing and submitting national communications and any other reporting requirements required for the implementation of the Convention (Article 4 and Article 12, para. 1, of the Convention, decisions 17/CP.8, 3/CP.8, 8/CP.11 and 1/CP.13 (the Bali Action Plan))

<i>Expected result(s) under the Convention</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Non-Annex I Parties are regularly provided with information, guidelines, methods and tools for preparing and submitting their national communications	<p>Proportion of mandated reports made available</p> <p>Amount of training materials and CD-ROMs distributed to Parties</p>	<p>Three reports were mandated to be delivered during the reporting period and were made available</p> <p>Specialized software and related templates for activity data collection were distributed to 360 experts</p>
Parties receive timely, comprehensive and	Proportion of mandated reports made available	The one report mandated to be made available during the reporting period was made available as mandated

accurate information on GEF support available or provided to non-Annex I Parties for the preparation of national communications	Proportion of outputs delivered on time	Three outputs were mandated to be delivered during the reporting period. They were delivered on time
Support is provided to Parties in developing implementation modalities on long-term cooperative action under the Convention related to communication of information by non-Annex I Parties	Proportion of mandated technical papers/reports made available Proportion of mandated outputs delivered on time	Two reports were mandated to be delivered during the reporting period. Both were made available on time The two outputs were delivered on time, as stated above
Information communicated by non-Annex I Parties is easily accessible by all Parties		All submitted national communications from non-Annex I Parties are available on the UNFCCC website. Thirty-one national communications were received during the reporting period and were uploaded within two days upon their receipt in the appropriate format

Objective 4: To support the least developed country Parties in addressing their special needs and concerns with regard to funding and technical support under the Convention (Article 4, para. 9, of the Convention, decisions 2/CP.7, 5/CP.7, 3/CP.11, 4/CP.11, 8/CP.13 and 5/CP.14)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The work of the Least Developed Countries Expert Group (LEG) is facilitated	Number of LEG reports prepared and amount of information compiled in support of the work programme of the LEG Number of LEG meetings held	Three LEG reports were prepared during the reporting period. Data and information compiled in support of the LEG work programme include the results of surveys, updated data stored in four databases, and the contents of 25 working papers Four LEG meetings were held during the reporting period
Collaboration between the LEG and the GEF and its agencies is facilitated and Parties are kept informed of procedures for the implementation of national adaptation programmes of action (NAPAs) under the GEF	Number of joint activities between the GEF and the LEG facilitated by the secretariat	The secretariat facilitated organizing and holding four LEG workshops to which the GEF contributed
Least developed country (LDC) Parties are assisted in addressing their priority capacity-building needs	Number of LDC experts trained in the preparation and implementation of NAPAs through workshops, manuals, information documents, etc.	A total of 144 LDC experts were trained in four regional workshops, held in February 2010 in Bamako, Mali, May 2010 in Vientiane, Lao People's Democratic Republic, September 2010 in Sao Tome, Sao Tome and Principe, and in November 2010 in Apia, Samoa.
LDC Parties are assisted in implementing all elements of the LDC work programme	Number of requests by LDC Parties addressed by the LEG on elements of the LDC work programme	Six requests from LDC Parties for technical advice were received and responded to. Two requests from Parties that are not LDCs were also received and responded to

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

^b Some workshops took place either immediately before or during the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (April and June 2011) and were open to all Parties and accredited observer organizations. It is therefore not possible to determine the number of participants at each event and their regional distribution.

^c Since it was technically impossible to retrieve the number of unregistered users, the work programme of the secretariat for the biennium 2012–2013 includes a revised performance indicator.

Table 23

Objectives, expected results, ^a performance indicators and performance data for the Adaptation, Technology and Science programme

Objective 1: To support Parties in meeting their specific needs and concerns relating to the impacts of and vulnerability and adaptation to the adverse effects of climate change and relating to the impact of the implementation of response measures (Article 4, paras. 8 and 9, and Article 12 of the Convention, Article 2, para. 3, and Article 3, para. 14, of the Kyoto Protocol, decisions 5/CP.7, 9/CP.7, 10/CP.9, 1/CP.10, 1/CP.11, 2/CP.11, 1/CP.13 (the Bali Action Plan) and 31/CMP.1)

<i>Expected result(s) under the Convention</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The implementation of provisions relating to the impacts of and vulnerability and adaptation to climate change and relevant provisions relating to adaptation resulting from agreed outcomes under the Bali Road Map is facilitated	Proportion of mandated outputs delivered and delivered on time	<p>A total of 32 mandates required output delivery during the reporting period. Twenty-four mandates relate to ongoing support to the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change and include producing specific documents and holding meetings, catalysing action, and coordination and outreach services. Three mandates relate to progress in the implementation of decision 1/CP.10. Finally, five relate to the implementation of the Cancun Adaptation Framework</p> <p>All mandated outputs were delivered and 75 per cent were delivered on time. The remaining 25 per cent comprise seven slightly delayed documents and a delayed organization of one workshop due to the volcanic ash cloud that hindered air traffic over Europe in April 2010. Delays relate to the short periods in between negotiation sessions, the need to consider all relevant external input and the availability of documents in the required languages</p>
	The number of organizations and networks participating in the Nairobi work programme and/or supporting the relevant provisions of an agreement on long-term cooperative action under the Convention	As at 30 June 2011, a total of 213 organizations and networks were actively participating in the Nairobi work programme. A total of 147 action pledges were submitted by 63 Nairobi work programme partner organizations

The implementation of provisions relating to the impact of the implementation of response measures is facilitated and the implementation of provisions on potential consequences is facilitated	Proportion of mandated outputs delivered and delivered on time	<p>A total of four mandates required output delivery during the reporting period, of which two relate to support to the implementation of Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol and two relate to the implementation of provisions related to the economic and social consequences of response measures contained in the Cancun Agreements (decision 1/CP.16, paras. 93–94) and the consideration of information on potential environmental, economic and social consequences, including spillover effects, of tools, policies, measures and methodologies available to Annex I Parties (decision 1/CMP.6, paragraph 6(e)).</p> <p>All mandated outputs were delivered and 75 per cent were delivered on time. The remaining 25 per cent comprise one slightly delayed document in terms of required versions in the six official United Nations languages</p>
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Objective 2: To support and enhance cooperation among Parties on the development, deployment, diffusion and transfer of environmentally sound technologies and know-how. (Article 4, paras. 1, 3, 5, 7 and 8, Article 9 and Article 12 of the Convention, Article 10(c) of the Kyoto Protocol, decisions 4/CP.7, 10/CP.8, 6/CP.10, 1/CP.11, 6/CP.11, 3/CP.12, 1/CP.13, 3/CP.13 and 4/CP.13)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (technology transfer framework) and of relevant provisions of agreed outcomes under the Bali Road Map is facilitated	<p>Proportion of mandated outputs delivered and delivered on time</p> <p>The number of activities from the set of actions for enhancing the implementation of the technology transfer framework implemented by the secretariat or with the contribution of the secretariat</p>	<p>A total of 16 mandates required output delivery. The mandates relate to ongoing support to the implementation of the technology transfer framework, the implementation of the programme of work of the Expert Group on Technology Transfer and support to the review of Article 4, paragraphs 1(c) and 5, of the Convention. All mandated outputs were delivered, and 50 per cent were delivered on time. Six mandated documents were slightly delayed due to late availability of data provided from external sources. The technical needs assessment workshop was delayed for reasons relating to the Host Country Agreement and late availability of sufficient financial resources</p> <p>Five activities from the set of actions for enhancing the implementation of the technology transfer framework have been implemented by or with the contribution of the secretariat during the reporting period: organizing a workshop on technology needs assessments, and regional workshops in preparing technology transfer projects for financing; preparing a report on options for facilitating collaborative R&D; disseminating the UNFCCC publication Preparing and Presenting Proposals: A Guidebook on Preparing Technology Transfer Projects for Financing; ^b and making technology needs assessment reports available on the technology information clearing house (TT : CLEAR)</p>

	The number of public- and private-sector entities and intergovernmental organizations involved in the implementation of the set of actions for enhancing the implementation of the technology transfer framework	All Parties are involved in the implementation of the set of actions for enhancing the implementation of the technology transfer framework. Fourteen public- and private-sector entities and intergovernmental organizations (the United Nations Development Programme, the United Nations Environment Programme, the United Nations Institute for Training and Research, the United Nations Industrial Development Organization, the Climate Technology Initiative/Private Financing Advisory Network, the World Intellectual Property Organization, the European Patent Office, the Energy Research Centre of the Netherlands, the United States National Renewable Energy Laboratory, infoDev, the International Energy Agency, the Global Environment Facility and the World Business Council for Sustainable Development and the International Chamber of Commerce) have contributed in the implementation of the set of actions
The work of the Expert Group on Technology Transfer (EGTT) is adequately supported	Proportion of mandated outputs delivered and delivered on time Level of satisfaction of EGTT members with the secretariat's support of the work of the EGTT	A total of 10 mandates required output delivery. Seven mandated outputs were delivered on time. Three outputs were delivered with delays due to the timing of the meeting of the EGTT and the late availability of resources Members of the EGTT expressed their satisfaction with the quality of support provided by the secretariat in facilitating the work of the EGTT
Authoritative and timely information on technology needs by non-Annex I Parties, as well as support offered and provided to meet these needs, is made available to Parties and stakeholders in a user-friendly manner	Proportion of mandated outputs delivered and delivered on time Number of visits to TT: CLEAR Information contained in TT: CLEAR is updated at least before each session of the subsidiary bodies Number of registered and unregistered users of TT: CLEAR in different world regions Level of satisfaction of registered and unregistered users with TT: CLEAR	Three mandates required output delivery, namely to post technology needs assessment (TNA) reports by non-Annex I Parties on TT: CLEAR, TNA handbooks and a guidebook for preparing technology transfer projects for financing. All TNA reports received from non-Annex I Parties and guidebooks prepared by the secretariat were posted in a timely manner TT: CLEAR received a total of 295,949 visits during the period from 1 January 2010 to 30 June 2011 Information contained in TT: CLEAR was updated prior to the thirty-second, thirty-third and thirty-fourth sessions of the subsidiary bodies A total of 1,091 users were registered with TT: CLEAR as at 30 June 2011 A feedback mechanism was established for TT: CLEAR in April 2011. The messages received through this feedback mechanism include suggestions for improvement

Objective 3: To improve the methodological and scientific bases for enhancing the implementation of the Convention and its Kyoto Protocol. (Article 5, Article 9 and Article 12, of the Convention, Article 2, paragraph 2, Article 3, paragraphs 3 and 4, of the Kyoto Protocol, decisions 2/CP.3, 11/CP.7, 13/CP.8, 10/CP.9, 11/CP.9, 5/CP.10, 1/CP.11, 9/CP.11, 1/CP.13, 2/CP.13, 11/CP.13, 4/CP.15, 9/CP.15, 16/CMP.1 and the conclusions of the Conference of the Parties at its eleventh session relating to emissions from deforestation in developing countries)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	
Work on the methodological and scientific bases for long-term cooperative action aimed at reducing emissions from deforestation and forest degradation in developing countries (REDD) is facilitated	Proportion of mandated outputs delivered and delivered on time	During the reporting period, a total of six mandates required output delivery. The required output has been delivered on time or is ongoing in accordance with the relevant timelines for mandates relating to enhancing coordination of activities and capacity-building, development and maintenance of a Web platform and the interactive discussion forum. ^c Output delivery of one of the mandates (to organize a training of the trainers workshop) could not be delivered due to a lack of supplementary funding
	Number of submissions posted on the REDD Web Platform	A total of 45 submissions were received and posted on the REDD Web Platform between January 2010 to June 2011
Work by Convention and Kyoto Protocol bodies on methodological and scientific matters is facilitated, including in the areas of land use, land-use change and forestry, mitigation of climate change, sectoral approaches, international aviation, maritime transport, and research and systematic observation	Proportion of mandated outputs delivered and delivered on time	A total of 36 mandates required output delivery. The mandates relate to research and systematic observation and cooperation with the Ozone Secretariat, the International Civil Aviation Organization and the International Maritime Organization, mitigation of climate change and land use change and forestry. All the required output was delivered, 89 per cent being delivered on time. The delays relate to four MISC documents, which were made available less than six weeks before the session due to late availability of external data
	Number of international and regional programmes and organizations taking part in the research dialogue under the Convention	A total of 15 different international and regional programmes and organizations took part in the events held in the context of the research dialogue during the thirty-second and thirty-fourth session of the Subsidiary Body for Scientific and Technological Advice

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

^b <<http://unfccc.int/ttclear/jsp/Guidebook.jsp>>.

^c <http://unfccc.int/methods_science/redd/items/4531.php>.

Table 24

Objectives, expected results, ^a performance indicators and performance data for the Sustainable Development Mechanisms programme
Objective 1: To support and optimize the operation of the clean development mechanism

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Meetings of the clean development mechanism (CDM) Executive Board are organized efficiently and are well supported	Level of satisfaction of the members of the CDM Executive Board with the support provided by the programme for their work	Information on the level of satisfaction of the members of the CDM Executive Board with secretariat support, will be made available in the biennium 2012–2013. A survey planned in the current reporting period was not undertaken due to a reordering of priorities
	Proportion of meeting documents made available fully in accordance with the rules of procedure of the CDM Executive Board	Support for the 11 CDM Executive Board meetings during this reporting period included the preparation and publication of 426 documents relating to the agendas, annotations, reports and their accompanying annexes. Additionally, over 250 briefing notes, presentations and background documents were prepared to support various topics under discussion during these meetings
The work of the CDM Executive Board on methodologies is facilitated	Level of satisfaction of the members of the Methodologies Panel, the Afforestation and Reforestation Working Group and the small-scale CDM working group with the support provided by the secretariat for their work	Information on the level of satisfaction of the members of the Methodologies Panel, the Afforestation and Reforestation Working Group and the small-scale CDM working group with the support provided by the secretariat will be made available in the biennium 2012–2013. A survey planned in the current reporting period was not undertaken due to a reordering of priorities
	Proportion of new methodologies processed fully in accordance with the established procedures and timelines	All new methodologies were processed fully in accordance with the established procedures and timelines
	Proportion of requests for revisions of, clarifications to and deviations from approved methodologies processed fully in accordance with the procedures and timelines	A total of 91 requests for revisions of, clarifications to and deviations from approved methodologies were received during the reporting period. Ninety-eight per cent of these were processed in full accordance with the established procedures and timelines

The registration of CDM projects and the issuance of certified emission reductions (CERs) are facilitated	Proportion of summary notes delivered to the CDM Executive Board within the specified timelines	The secretariat delivered a total of 2,734 summary notes to the CDM Executive Board in order to facilitate the registration of CDM projects and the issuance of CERs (1,261 summary notes were related to registration and 1,473 to issuance). Ninety-five per cent of the summary notes prepared for the last 12 months, in accordance with the revised procedures for registration and the revised procedures for issuance, were delivered within the specified timelines
	Proportion of project completeness checks conducted within the specified timelines	A total of 2,951 requests for registration and requests for issuance were submitted for the reporting period (1,351 of these were for registration and 1,600 for issuance). In the past 12 months, completeness checks have been carried out in accordance with the revised procedures for registration and the revised procedures for issuance. Regarding the completeness checks that commenced in the reporting period, ninety-nine per cent were conducted within the specified timelines
	Proportion of issuance instructions acted upon within one month	A review of this indicator showed that the “proportion of issuance instructions acted upon within one month” is not a measure of the secretariat’s performance. A revised indicator is contained in the work programme for the secretariat for the biennium 2012–2013 ^b
The operation of the CDM registry is facilitated	Total number of requests to forward CERs completed per month	A review of this indicator showed that the “total number of requests to forward CERs completed per month” is not a measure of the secretariat’s performance. A revised indicator is contained in the work programme for the secretariat for the biennium 2012–2013 ^b
	Total number of requests to change the modalities of communication and status of project participants processed per month	A review of this indicator showed that the “total number of requests to change the modalities of communication and status of project participants processed per month” is not a measure of the secretariat’s performance. A revised indicator is contained in the work programme for the secretariat for the biennium 2012–2013 ^b
The accreditation of operational entities by the CDM Executive Board is facilitated	Level of satisfaction of the members of the CDM Accreditation Panel, designated operational entities and applicant entities with the support provided by the programme for their work	Information on the level of satisfaction of the members of the CDM Accreditation Panel, designated operational entities and applicant entities with the support provided by the secretariat will be made available in the biennium 2012–2013 by extending the surveys currently conducted after each CDM Accreditation Panel meeting with respect to meeting documentation
	Proportion of cases processed fully in accordance with the procedure for accrediting operational entities	A total of 28 applications for initial accreditation, re-accreditation and extension of accreditation scope were received. All of these cases were processed fully in accordance with the procedure for accrediting operational entities
	Proportion of cases prepared for consideration by the CDM Executive Board and its Accreditation Panel fully in accordance with the accreditation procedures	The secretariat prepared a total of 309 accreditation cases for consideration by the CDM Executive Board and its Accreditation Panel. Ninety-nine per cent of the cases presented were fully in accordance with the accreditation procedure. The presentations for three cases were delayed during the reporting period

Objective 2: To support and optimize the operation of joint implementation

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Meetings of the Joint Implementation Supervisory Committee (JISC) and of its panels, committees and working groups are organized efficiently and are well supported	Level of satisfaction of the members of the JISC with the support provided by the programme for their work	A survey on the level of satisfaction of the members of the JISC with the support provided by the secretariat for their work was conducted in July 2011. Sixty per cent of the respondents selected “strongly agree” regarding the statement that the secretariat provides a consistently high level of meeting organization and management support. The remainder of respondents chose “agree”
	Proportion of meeting documents made available fully in accordance with the rules of procedure of the JISC	Support for the six JISC meetings during this reporting period included the preparation and publication of 95 documents relating to the agendas, annotations, reports and their accompanying annexes. Additionally, over 131 briefing notes, presentations and background documents were prepared to support various topics under discussion during these meetings
The accreditation of independent entities (IEs) by the JISC is facilitated	Level of satisfaction of the members of the JISC Accreditation Panel with the support provided by the programme for their work	A survey on the level of satisfaction of the members of the JISC Accreditation Panel with the support provided by the secretariat for their work was conducted in July 2011. Fifty per cent of the respondents selected “agree” regarding the statement that the secretariat provides a consistently high level of meeting organization and management support. The remainder of respondents selected “somewhat agree”. Comments provided by respondents have been reviewed by the secretariat and are now being translated into a set of corrective, preventative and improvement actions to guide the work of the secretariat in the future
	Proportion of applications for accreditation received in advance of a JISC Accreditation Panel meeting prepared for assignment to an accreditation team and processed fully in accordance with the procedure for accrediting IEs	One application for accreditation was submitted by an independent entity, but the entity withdrew the application before it could be considered by the JISC Accreditation Panel
The work of the JISC on the full project cycle of the Joint Implementation (JI) Track 2 ^b procedure is facilitated	Level of satisfaction of project participants, applicant/accredited IEs and JISC members with the support provided by the programme for the handling of JI Track 2 procedures	JISC members were surveyed on their level of satisfaction with support provided by the secretariat. Sixty per cent of the respondents selected “strongly agree” regarding the statement that the secretariat provides a consistently high level of meeting organization and management support. The remainder of respondents selected “agree”

<p>Proportion of submissions and calls for input that are processed fully in accordance with established modalities and procedures</p>	<p>The secretariat received and processed a total of 43 project design documents including one programme of activities design document, 15 determination reports, 42 monitoring reports and 40 verification reports under the JI Track 2 procedures</p> <p>The secretariat also administered 164 JI Track 1 projects</p> <p>In addition, the secretariat launched six calls for public input related to draft recommendations to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), criteria for baseline setting and monitoring, designated focal points' inputs on information provided for JI Track 1 projects, experience with the JI verification procedure, materiality and changes during project implementation.^c There were two calls for experts during the reporting period</p> <p>One hundred per cent of all submissions and calls for input were processed in accordance with established modalities and procedures</p>
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Objective 3: To realize the full potential of sustainable development mechanisms to enhance the implementation of the Convention

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Negotiations and decision-making by Parties on the sustainable development mechanisms are facilitated	Proportion of mandated outputs delivered and delivered on time	A total of 590 mandates required the secretariat to deliver outputs during the reporting period, including some that required ongoing output delivery. Ninety-nine per cent were delivered and 97 per cent were delivered on time
The dedicated services and resources in support of CDM and JI are clearly and transparently defined and implemented in accordance with internal arrangements	A quality management system is in place and is maintained	The secretariat is establishing a performance management system and continual improvement activities are being undertaken across all CDM and JI processes
The Sustainable Development Mechanisms programme has the required resources to implement mandates given to it by the relevant constituted bodies, the Conference of the Parties (COP) and the CMP	Proportion of outputs mandated by the CMP, delegated to and under the control of the secretariat, that cannot be delivered due to insufficient funding	The secretariat had the required resources to implement all mandates given to it by the relevant constituted bodies, the COP and the CMP. With regard to JI, all outputs were implemented with the available resources in the reporting period
Compliance with United Nations financial regulations and rules and with UNFCCC financial procedures	Implementation rate of audit recommendations relating to financial and administrative matters	Of the 19 audit recommendations made by the Office of Internal Oversight, 18 were fully implemented and one, that required both policy and deployment, has been agreed at the policy level and is now under implementation

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

^b The verification procedure under the JISC, defined in decision 9/CMP.1, annex, paragraphs 30–45.

^c FCCC/SBI/2011/2/Add.1, page 27.

^d <<http://ji.unfccc.int/CallForInputs/index.html>>.

Table 25

Objectives, expected results, ^a performance indicators and performance data for the Legal Affairs programme

Objective 1: To provide legal advice and support so that the Convention and its Kyoto Protocol as well as the outcomes from the negotiations under the Bali Road Map are implemented and the associated intergovernmental process is conducted in accordance with legal, procedural and institutional requirements (Article 8, para. 2, Article 15 and Article 16 of the Convention, Article 13, Article 14, para. 2, Article 20 and Article 21 of the Kyoto Protocol, decisions 14/CP.1, 11/CP.11 and 9/CMP.2)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Convention and its Kyoto Protocol, as well as any new international agreement(s) adopted thereunder, are interpreted and implemented in accordance with relevant legal, procedural and institutional requirements	Absence of complaints by Parties and other stakeholders regarding the timeliness and soundness of legal advice and support provided by the secretariat	During the first 18 months of the biennium, the Legal Affairs programme issued eight legal opinions addressed to Parties in addition to legal advice provided to Parties and other stakeholders (e.g. international organizations) on numerous occasions. The legal advice provided by the programme covered more than 20 different legal issues. The secretariat did not receive any complaints from Parties and other stakeholders regarding the timeliness and soundness of such legal advice or on the legal support provided by the secretariat during the reporting period
The bodies established under the Convention and its Kyoto Protocol, including constituted bodies, as well as the intergovernmental process, function and operate in accordance with legal, procedural and institutional requirements	Absence of complaints raised by Parties with respect to the legal support provided by the secretariat to the intergovernmental process and the operation and functioning of the constituted bodies under the Kyoto Protocol	The intergovernmental process was a major area of attention for the legal advice provided by the Legal Affairs programme during the reporting period. Thirty-three of the 79 legal opinions issued in the first 18 months of the biennium dealt with the legal, procedural and institutional requirements of the intergovernmental process. In early 2010, three Parties raised questions about the secretariat's characterization of the Copenhagen Accord's legal status. A clarification was issued to the satisfaction of these Parties
The bodies established under the Convention and its Kyoto Protocol, including constituted bodies, as well as the intergovernmental process, function and operate in accordance with legal, procedural and institutional requirements	Proportion of concerns, issues or disputes raised by public or private entities against constituted bodies under the Kyoto Protocol or their members that are addressed and resolved expeditiously and amicably and do not result in legal action against individuals serving on constituted bodies	Concerns regarding a possible conflict of interest were raised by a Party in relation to the Compliance Committee in the first six months of the reporting period. In addition, concerns were raised by public and private entities regarding some of the activities of the Clean Development Mechanism Executive Board relating to projects and methodologies. The Legal Affairs programme provided advice to the Executive Secretary and to these bodies on the appropriate response to these concerns, which are being addressed by these bodies. These concerns have not resulted in legal action against any of the individuals serving in these bodies

Objective 2: To provide legal advice and support so that the operations of the secretariat are conducted in accordance with legal, procedural and institutional requirements (Article 8, para. 2, Article 15 and Article 16 of the Convention, Article 13, Article 14, para. 2, Article 20 and Article 21 of the Kyoto Protocol, decisions 14/CP.1, 11/CP.11 and 9/CMP.2)

<i>Expected result(s)</i>	<i>Performance indicators</i>	<i>Performance data</i>
The operations of the secretariat are conducted in accordance with applicable United Nations rules and regulations, the legislative authority of the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and UNFCCC requirements	The number of contracts and other legal instruments between the secretariat and service providers, governments and other partners that are concluded expeditiously and in a legally sound manner, thereby facilitating the smooth operation of the secretariat	For the period from 1 January 2010 to 30 June 2011, the Legal Affairs programme provided final clearance to 77 legal instruments that could be concluded on behalf of the secretariat. During the same period, the secretariat concluded 78 legal instruments that had been cleared by the programme. No legal query was raised by the United Nations Office of Legal Affairs in relation to any of these instruments and no disputes have arisen in the implementation of these instruments
	The number of audit queries and queries raised by the United Nations Office of Legal Affairs on the appropriateness of legal arrangements entered into by the secretariat	From the period 1 January to 30 June 2011, no audit queries or queries from the United Nations Office of Legal Affairs were received in relation to the appropriateness of legal arrangements entered into by the secretariat

Objective 3: To facilitate the effective operation of the compliance mechanism in support of the environmental integrity of the Kyoto Protocol and the credibility of the market mechanisms (Article 18 of the Kyoto Protocol, decisions 27/CMP.1, 4/CMP.2 and 4/CMP.4)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Compliance Committee takes decisions based on the best available information	Proportion of outputs made available on time	From 1 January 2010 to 30 June 2011, four meetings of the enforcement branch, two meetings of the facilitative branch and two meetings of the plenary took place. In the reporting period, the Legal Affairs programme delivered all but one of its mandated outputs relating to the Compliance Committee on time, that is, in accordance with the timelines set out in decisions 27/CMP.1, 4/CMP.2 and 4/CMP.4. Transmittal to the bureau of the Compliance Committee of the note by the Executive Secretary entitled "Evidence from a Party which may indicate a conflict of interest" was slightly delayed while the secretariat ascertained if the information received constituted evidence of a conflict of interest under the terms of the rules of procedure of the Compliance Committee
The Compliance Committee takes decisions based on the best available information	Level of satisfaction expressed by members of the Compliance Committee and alternate members with documents prepared by the secretariat	A Web-based survey on the level of satisfaction expressed by members and alternate members of the Compliance Committee with documents prepared by the secretariat was conducted by an independent expert from 4 to 15 July 2011. The results of the survey, which had a 45 per cent response rate (19 out of 42 possible respondents), indicate that members and alternate members of the Committee have a high level of satisfaction with the documents prepared by the secretariat

<p>The CMP is provided with adequate and effective support in the development of policy guidance to the Compliance Committee</p>	<p>Absence of complaints raised by Parties with respect to the legal support provided by the secretariat in the development of policy guidance</p>	<p>The secretariat provided the CMP with support in the development of policy guidance to the Compliance Committee during the sixth session of the CMP. Support was provided, in particular, on consideration by the CMP of the fifth annual report of the Compliance Committee and the appeal by Croatia against a final decision of the enforcement branch. No complaints were raised by Parties with respect to the legal support provided by the secretariat in this instance</p>
<p>Information on the actions taken by the Compliance Committee is made available in a clear and timely fashion</p>	<p>Proportion of Compliance Committee documents made available to the members and alternate members of the Compliance Committee, Parties concerned and the general public in accordance with the rules of procedure of the Compliance Committee</p>	<p>In the reporting period, all of the Compliance Committee documents prepared by the secretariat were made available to the members and alternate members of the Compliance Committee, the Party with respect to which a question of implementation had been raised, and the public, as appropriate, in accordance with the timelines set out in the “Procedures and mechanisms relating to compliance under the Kyoto Protocol” (annex to decision 27/CMP.1) and the “Rules of procedure of the Compliance Committee of the Kyoto Protocol” (annex to decision 4/CMP.2 as amended by decision 4/CMP.4). In two instances, there was a delay in posting the documents on the UNFCCC website. In the first case, given the sensitive nature of the document, the bureau of the Compliance Committee decided that the plenary should consider whether to make the note on a possible conflict of interest available to the public. The document was posted on the website as soon as the plenary decided to make the document publicly available. In the second case, the decision, on preliminary examination with respect to Ukraine (document CC-2011-2-2/Ukraine/EB), was posted on the UNFCCC website one day after the deadline provided for in the secretariat’s internal working arrangements, which is the next business day. This slight delay was due to pressure of work</p>

Table 26

Objectives, expected results, ^a performance indicators and performance data for the Conference Affairs Services programme

Objective 1: To advance the climate change intergovernmental process as a result of the attendance at, active participation in, and collaboration by, Parties and benefits from inputs from observer organizations

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat's relations with Parties are strengthened through networking, the provision of information, in-depth insight and analysis, problem solving and the appropriate treatment of delegates according to protocol	Number of responses to communications from official sources	A total of 19,040 responses to communications were provided
	Proportion of communications responded to	All communications from official sources were responded to
	Average response time	The average response time was between 60 and 90 minutes
Representatives from eligible Parties, including those eligible for funding through the Trust Fund for Participation in the UNFCCC Process, can attend all relevant meetings and actively participate in this process	Share of required funds that are actually available	One hundred per cent of the required funds were actually available
	Proportion of eligible participants actually funded	An average of 95 per cent of eligible participants were actually funded during the reporting period. Five per cent did not attend the relevant meetings for reasons beyond the secretariat's control
	Efficiency of admission process (waiting and processing time)	The average waiting time was five minutes The average processing time was two to three minutes
Eligible members of civil society and intergovernmental organizations are admitted and increasingly participate in the sessions	Proportion of observers out of the total number of participants	An average of 43 per cent of observers were admitted out of the total number of participants during the indicated period
Parties receive inputs from observers and have opportunities for exchanges	Proportion of representatives from Parties that attend side events	Data for this performance indicator is not available due to resource constraints
	Number of side events per session	On average, 92 side events per session were held during the reporting period

Objective 2: To facilitate the work of delegates and assist in the intergovernmental process by maintaining the quality, clarity and readability of documents and ensuring their timely availability

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Documents are of high quality		

Official documents are available on time	Percentage of documents, including versions in the six official languages of the United Nations, available to Parties within United Nations deadlines (sessional documents) and deadlines mandated by Convention and/or Kyoto Protocol bodies (other documents)	A total of 302 documents were mandated to be made available during the reporting period. All documents were actually made available and 25 per cent of the documents were made available on time. Delays in the availability of the remaining 75 per cent of the documents were mainly due to the full meeting schedule resulting from additional negotiating sessions
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Objective 3: To provide suitable surroundings and comprehensive, state-of-the-art logistical and technical support in order that meetings proceed smoothly and productively

<i>Expected result(s)</i>	<i>Performance indicator</i>	<i>Performance data</i>
Comprehensive and functional conference facilities for participants in the climate change negotiation process are planned and provided for during the sessions, workshops and meetings		
Comprehensive and functional working conditions for staff are planned and provided for during the sessions, workshops and meetings	Number of reports of technical failures for sound, projectors, electricity, and so on, relative to the size, duration and frequency of workshops and meetings	A total of 218 workshops and meetings were held during the reporting period. No technical failure was reported. Feedback received from staff on technical arrangements made by the programme, including for sound, projectors and electricity, was positive

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 27

Objectives, expected results, ^a performance indicators and performance data for the Information Services programme

Objective 1: To make available to all Parties, the global public and other stakeholders authoritative and up-to-date information relating to the UNFCCC process in a user-friendly and cost-efficient manner (Article 6(b) and Article 8, para. 2, of the Convention, Article 10(e) and Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Journalists in developed and developing countries consistently attend intersessional and sessional meetings	Frequency of reference in the media to the UNFCCC messages issued during the sessions of the Conference of the Parties (COP)	Twenty-six per cent of the media items relating to COP 16 referenced the top message of the UNFCCC, as compared with 23 per cent relating to COP 15
External communication efforts regarding the UNFCCC are coordinated across the United Nations system		

<p>The UNFCCC website is recognized as the central location for authoritative, up-to-date, comprehensive and user-friendly information on the UNFCCC process</p>	<p>Number of users accessing website content</p>	<p>A total of 15.6 million users accessed the website <http://unfccc.int> and downloaded 11.2 terabytes of data, mostly portable document files. The webcast service was used by some 733,445 people</p>
	<p>Level of satisfaction of Parties with the UNFCCC website</p>	<p>Eighty-one per cent of the respondents of a recently conducted Web survey indicated that they were satisfied with the official document publishing service on the UNFCCC website. Ninety per cent indicated that the UNFCCC website was their main source of information prior and during UNFCCC meetings</p>

Objective 2: To ensure the reliable, secure, sustainable and cost-efficient operation of the secretariat’s information and communication technology infrastructure and systems (Article 8, para. 2, of the Convention, Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>The secretariat’s information and communication technology (ICT) architecture facilitates the implementation of mandated activities. The secretariat’s information systems are adequately supported</p>	<p>ICT network availability in support of information systems mandated by Parties ICT resolutions of incidents are in accordance with the service-level agreements</p>	<p>The secretariat’s network and systems infrastructure and associated operations teams supported more than 20 systems directly related to mandates provided by the Parties, the Convention or the Protocol Taking into account further supporting and supplementary systems more than 80 systems and platforms have been supported On average, systems availability was above 99.5 per cent for the monitored systems</p>
<p>Business continuity management of mission-critical information systems is in place</p>	<p>ICT solutions for identified mission-critical information systems are established</p>	<p>Negotiations with an external service provider for data centre services, which include disaster recovery and continuity service for business-critical information systems are ongoing</p>

Objective 3: To facilitate the search for, and retrieval of, UNFCCC documents (Article 6(b) and Article 8, para. 2, of the Convention, Article 10(e) and Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Parties, observers, staff and the general public have ready access to well-organized and comprehensive official documentation of the climate change negotiating process</p>	<p>Number of official documents published on the UNFCCC website within the agreed time frames Level of satisfaction of internal and external users with the official document publishing service</p>	<p>A total of 474 official documents including language versions were published by the UNFCCC secretariat during the reporting period, and all were available on the UNFCCC website within the agreed time frames The secretariat received oral and written feedback from internal and external users on the official document publishing system. This feedback suggests that the level of satisfaction of all users remained high during the reporting period. The secretariat will systematically gauge the level of satisfaction of internal and external users through surveys and interviews to be conducted in 2011</p>

Records are archived or disposed of in accordance with secretariat policy and guidelines	Volume of records deposited in permanent archives or disposed of	A total of 9,170 electronic records were captured into the electronic records management system An archive of physical records was opened in June 2010
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Objective 4: To improve communication, collaboration and knowledge sharing within the secretariat and with Parties and other stakeholders through the implementation of knowledge management systems (Article 8, para. 2, of the Convention, Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Availability of an extranet for secretariat staff and external users to support collaboration between the secretariat and Parties, as well as with other external stakeholders	Number of projects supported by the collaborative system	An evaluation of SharePoint for collaboration will begin in the third quarter of 2011
Personal computer and laptop users have ready access to collaborative workplaces and can identify the expertise needed to complete tasks		A new collaboration platform was introduced in 2009. A total of 10 pilot projects are being implemented in order to facilitate collaboration by secretariat staff. Functional requirements for collaboration, document management and a revised secretariat Intranet will be assessed in the second half of 2011
Knowledge sharing and information distribution mechanisms are established and communication, collaboration and knowledge sharing is subsequently improved		A knowledge management strategy framework was adopted in March 2010 and is being implemented

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 28

Objectives, expected results,^a performance indicators and performance data for the Administrative Services programme

Objective 1: To facilitate the mobilization, allocation and utilization of resources (Article 8, para. 2(f), of the Convention, Article 14, para. 2, of the Kyoto Protocol, decision 15/CP.1)

<i>Expected result(s)</i>	<i>Performance indicator</i>	<i>Performance data</i>
Parties are kept fully informed on the receipt and use of financial resources	Financial statements are made available to Parties in a timely manner	The audited financial statements for the biennium 2008–2009 were made available to the Subsidiary Body for Implementation (SBI) in a timely manner for consideration at its thirty-third sessions. The interim statements for 2010 (unaudited) were made available to the SBI with slight delays for consideration at its thirty-fourth sessions
Coherence and transparency in fund-raising and use of funds	Proportion of donor reports sent on time	A total of 19 reports were due during the reporting period. Sixteen were sent on time

Optimal budget implementation rate	Proportion of actual expenditure compared with the approved budget	The core budget as at 30 June 2011 had a budget implementation rate of 66.2 per cent for the biennium 2010–2011, which is below the ideal implementation rate of 75 per cent
Compliance with United Nations financial rules and regulations, and with UNFCCC financial procedures	Implementation rate of audit recommendations relating to financial and administrative matters	Of the 10 open audit recommendations from the 2008–2009 biennium, four were fully implemented. The remaining ones are under implementation, some of which are of an ongoing nature. The United Nations Board of Auditors issued 6 new audit recommendations as a result of the interim audit for 2010

Objective 2: To facilitate the timely recruitment and retention of staff who meet the highest standards of efficiency, competence and integrity in order to support mandated activities to the largest extent possible (Article 8, para. 2(f), of the Convention, Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicators(s)</i>	<i>Performance data</i>
Competent and motivated staff reflecting a broad geographic spectrum and gender balance are recruited and retained	Percentage of staff from non-Annex I Parties and women in posts at the Professional and higher levels	A total of 51.5 per cent of staff in the Professional and higher levels are from non-Annex I Parties. Forty per cent of staff in the Professional and higher levels are women
	Rate of staff turnover	The rate of voluntary staff turnover during the first half of 2011 was 2 per cent. The annual voluntary staff turnover rates for 2010 and 2009 were 8 per cent and 1 per cent, respectively

Objective 3: To provide travel and procurement services that respond adequately to the needs of Parties (Article 8, para. 2(f), of the Convention, Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator</i>	<i>Performance data</i>
Travel of delegates and staff to official meetings is arranged effectively and efficiently	Proportion of participants attending meetings versus nominations	Eighty-six per cent of nominated participants attended meetings (3,944 out of 4,589)
		No journey was cancelled because of the secretariat's inability to provide a ticket on time. However, a few meetings (affecting 105 or 2.2 per cent of all nominees) had to be cancelled by the secretariat because of force majeure, such as disruptions in air traffic over Europe. In all remaining cases, nominees cancelled their participation, mainly due to other commitments, illness or immigration problems
Procurement of goods and services is carried out in a timely manner in accordance with United Nations rules and regulations, and with UNFCCC policies	Percentage of procurement cases processed within established time frames	Ninety-nine-and-a-half per cent of the cases were processed within the established time frames (994 out of 999) Sixty-nine per cent of purchase orders were processed in even less than the minimum time required for a solicitation process, as they were placed under long-term agreements or were of low value. Of the remaining 307 that required solicitation, only five took more than the maximum benchmarked time. The programme is moving towards more long-term agreements and establishing more ambitious time frames

^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.