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### Subsidiary Body for Implementation

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**Administrative, financial and institutional matters**

**Budget performance for the biennium 2010–2011**

### **Budget performance for the biennium 2010–2011 as at 30 June 2011**

#### **Note by the Executive Secretary**

##### *Summary*

The budget performance for the first 18 months of the biennium 2010–2011 of the trust funds administered by the secretariat is presented. The aim is to inform Parties of income and expenditure and the results achieved as at 30 June 2011. As at 30 June 2011, EUR 32.6 million or 79 per cent of the total core budget indicative contributions expected for the biennium had been received. Voluntary contributions amounted to USD 9.1 million under the Trust Fund for Participation in the UNFCCC Process and USD 23.3 million under the Trust Fund for Supplementary Activities. Approximately 66.2 per cent of the core budget had been spent on mandated activities and on achieving the expected results of the work programme for the biennium. In addition, the secretariat had spent USD 30.8 million on various projects under the Trust Fund for Supplementary Activities and USD 11 million under the Trust Fund for Participation in the UNFCCC Process to cover participation from eligible Parties at sessional meetings. This report also contains information on the status of the Trust Fund for the Clean Development Mechanism, the Trust Fund for the International Transaction Log, the Trust Fund for the Special Annual Contribution from the Government of Germany and programme support costs. It further provides information on human resources and contains a detailed report on programme delivery.

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## I. Introduction

### A. Mandate

1. The Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), by their decisions 12/CP.15 and 10/CMP.5, approved the programme budget for the biennium 2010–2011 and requested the Executive Secretary to report to the COP on income and budget performance and to propose any adjustments that might be needed in the budget.

### B. Scope of the note

2. This document reports income and budget performance of the trust funds administered by the secretariat as at 30 June 2011. It should be read in conjunction with document FCCC/SBI/2009/2/Add.1, which contains the biennial work programme of the secretariat, and document FCCC/SBI/2011/INF.14, which provides updated information on the status of contributions as at 15 November 2011. It also provides information on human resources and programme delivery.

### C. Possible action by the Subsidiary Body for Implementation

3. The Subsidiary Body for Implementation (SBI) may wish to take note of the information presented and decide on actions that may need to be included in draft decisions on administrative and financial matters to be recommended for adoption by the COP at its seventeenth session, and the CMP at its seventh session.

## II. Income and expenditure report

### A. Trust Fund for the Core Budget of the UNFCCC

4. The COP, by its decision 12/CP.15, and the CMP, by its decision 10/CMP.5, approved a total budget of EUR 44.2 million for the biennium 2010–2011 (see table 1).

Table 1

#### Core programme budget and source of income for the biennium 2010–2011

	2010 (EUR)	2011 (EUR)	Total (EUR)
Programme expenditures	19 525 380	19 356 038	38 881 418
Programme support costs	2 538 300	2 516 285	5 054 585
Adjustment to the working capital reserve	264 096	0	264 096
<b>Total approved budget</b>	<b>22 327 776</b>	<b>21 872 323</b>	<b>44 200 099</b>
Indicative contributions	20 860 838	20 405 385	41 266 223
Unspent balance of contributions from previous financial periods (carry-over)	700 000	700 000	1 400 000
Contribution from the Host Government	766 938	766 938	1 533 876
<b>Total income</b>	<b>22 327 776</b>	<b>21 872 323</b>	<b>44 200 099</b>

5. Table 2 shows the actual income to the Trust Fund for the Core Budget of the UNFCCC for the first 18 months of the biennium amounting to EUR 43.3 million. This consists mainly of EUR 32.6 million or 79 per cent of the total indicative contributions for the biennium; an unspent balance of contributions from previous financial periods (i.e. 2008–2009 carry-over) of EUR 7.8 million; and a voluntary contribution from the Host Government of EUR 1.5 million.

Table 2  
**Core budget income as at 30 June 2011**

	<i>2010–2011(EUR)</i>
Carry-over from 2008–2009 <sup>a</sup>	7 764 451
Indicative contributions for 2010–2011 to the Convention	19 908 881
Indicative contributions for 2010–2011 to the Kyoto Protocol	12 737 154
Voluntary contribution from the Host Government	1 533 876
Outstanding contributions from previous years <sup>a</sup>	753 042
Contributions for future years received in advance	4 641
Interest, miscellaneous income and prior period savings <sup>a</sup>	581 068
<b>Total income<sup>b</sup></b>	<b>43 283 113</b>

<sup>a</sup> Where applicable the exchange rate used (USD 1 = EUR 0.699) is the official United Nations exchange rate for 30 June 2011.

<sup>b</sup> Working capital reserve amounts to EUR 1,831,285.

6. Table 3 highlights the status of outstanding contributions to the Convention for the period 1996–2009 in United States dollars and for 2010–2011 in euro. Contributions from two of the top 10, or five of the top 20 contributors<sup>1</sup> to the Convention for 2011 had not been received as at 30 June 2011. Of the 195 Parties to the Convention, 121 had not made their contributions for 2011. Eight Parties have never made contributions to the core budget of the UNFCCC since its inception in 1996.

Table 3  
**Outstanding contributions to the Convention by year as at 30 June 2011**

	<i>Number of Parties</i>	<i>Outstanding amount</i>
Outstanding in United States dollars since 1 January of:		
1996	8	4 597
1997	11	7 813
1998	12	2 733
1999	12	3 362
2000	12	3 477
2001	14	3 935
2002	14	4 840
2003	17	7 092
2004	21	15 433
2005	24	33 389

<sup>1</sup> Contributions of the top 10 contributors make up 69.0 per cent of the total indicative contributions and those of the top 20 make up 84.1 per cent.

	<i>Number of Parties</i>	<i>Outstanding amount</i>
2006	28	38 973
2007	32	55 107
2008	38	72 288
2009	51	179 290
<b>Total United States dollars</b>		<b>432 329</b>
Outstanding in euro since 1 January of:		
2010	75	376 391
2011	121	4 396 960
<b>Total euro</b>		<b>4 773 351</b>

7. Table 4 highlights the status of the outstanding contributions to the Kyoto Protocol for the period 2005–2009 in United States dollars and for 2010–2011 in euro. Contributions from one of the top 10, or three of the top 20 contributors to the Kyoto Protocol for 2011 had not been received as at 30 June 2011.

Table 4

**Outstanding contributions to the Kyoto Protocol by year as at 30 June 2011**

	<i>Number of Parties</i>	<i>Outstanding amount</i>
Outstanding in United States dollars since 1 January of:		
2005	19	2 567
2006	24	11 435
2007	30	25 065
2008	41	43 959
2009	56	160 283
<b>Total United States dollars</b>		<b>243 309</b>
Outstanding in euro since 1 January of:		
2010	84	261 500
2011	121	1 274 311
<b>Total euro</b>		<b>1 535 811</b>

8. Table 5 shows the approved core budget for 2010–2011 by programme as well as the expenditures for the first 18 months of the biennium. As at 30 June 2011, expenditure amounted to EUR 25.7 million or 66.2 per cent of the approved budget for the biennium 2010–2011.

Table 5

**Approved core budget and expenditure by programme as at 30 June 2011**

	<i>Approved budget for 2010–2011 (EUR)</i>	<i>Expenditure (EUR)</i>	<i>Expenditure as a percentage of budget</i>
<i>A. Programme</i>			
Executive Direction and	3 950 026	2 843 904	72.0

	<i>Approved budget for 2010–2011 (EUR)</i>	<i>Expenditure (EUR)</i>	<i>Expenditure as a percentage of budget</i>
Management			
Reporting, Data and Analysis	8 226 724	5 246 254	63.8
Financial and Technical Support	5 145 169	3 444 311	66.9
Adaptation, Technology and Science	4 472 443	3 095 524	69.2
Sustainable Development Mechanisms	851 510	490 916	57.7
Legal Affairs	3 115 844	1 749 598	56.2
Conference Affairs Services	2 891 258	2 287 566	79.1
Communication and Knowledge Management Services	3 251 640	2 141 210	65.9
Information Technology Services	4 200 312	2 647 309	63.0
<i>B. Secretariat-wide operating costs<sup>a</sup></i>	<i>2 776 492</i>	<i>1 797 327</i>	<i>64.7</i>
<b>Total (A+B)<sup>b</sup></b>	<b>38 881 418</b>	<b>25 743 919</b>	<b>66.2</b>

<sup>a</sup> Secretariat-wide operating costs are managed by the Administrative Services programme.

<sup>b</sup> Excludes programme support costs and adjustment to the working capital reserve

9. Table 6 presents the approved core budget for 2010–2011 by object of expenditure as well as the expenditure to the end of June 2011. “Staff costs” include salaries and common staff costs of staff members appointed to approved posts, salaries of short-term staff, temporary assistance and overtime. Other external expertise, both individual and institutional, is included under “Consultants”. Travel of staff on official missions is shown separately from travel of experts to workshops and informal consultations. Payments to suppliers for goods and services and other running costs such as telecommunication charges are combined under “General operating expenses”. “Grants and contributions” include payments to the United Nations Common Services Unit in Bonn, Germany, for premises management, which provides logistical and administrative services to the secretariat, and the annual contribution to the Intergovernmental Panel on Climate Change (IPCC).

Table 6  
**Approved core budget and expenditure by object as at 30 June 2011**

<i>Object of expenditure</i>	<i>Approved budget for 2010–2011 (EUR)</i>	<i>Expenditure (EUR)</i>	<i>Expenditure as a percentage of budget</i>
Staff costs	28 924 233	19 363 727	66.9
Consultants	1 279 025	1 019 938	79.7
Expert groups	1 811 887	938 198	51.8
Travel of staff	1 327 070	1 046 645	78.9
General operating expenses	4 008 225	2 266 363	56.5
Grants and contributions	1 530 987	1 109 048	72.4
<b>Total<sup>a</sup></b>	<b>38 881 418</b>	<b>25 743 919</b>	<b>66.2</b>

<sup>a</sup> Excludes programme support costs and adjustment to the working capital reserve.

10. Some of the objects of expenditure remain under the ideal implementation rate of 75 per cent as at 30 June 2011. For example, the cost of expert groups remains low in the first 18 months of the biennium mainly because fewer Compliance Committee meetings took place than planned. This was in part due to the extensive use of electronic means of decision-making, which reduced the number of face-to-face meetings that needed to be organized for the Compliance Committee, as well as the delay in the publication of reports of the expert review teams that formed the basis of the consideration of questions of implementation by the enforcement branch. Anticipated savings under this object of expenditure will be reallocated to other unfunded priority projects and/or activities.<sup>2</sup>

11. Although the performance of other objects of expenditure is lower than expected, certain payments that are processed annually or semi-annually should increase the expenditure rate. For instance, the payments for some services are invoiced only once or twice a year by the United Nations Volunteers programme, that is common premises, languages classes, communication charges, mailing, etc. In addition, the expenditure for staff costs is anticipated to increase in the next six months to reflect the settlement of education grants for the academic year 2010–2011.

## **B. Trust Fund for Participation in the UNFCCC Process**

12. The Trust Fund for Participation in the UNFCCC Process supports the participation of representatives of eligible developing country Parties and Parties with economies in transition, in the sessions of the COP and its subsidiary bodies, using voluntary contributions. Parties are eligible for funding if their per capita gross domestic product (GDP) did not exceed USD 7,500 in 2008 according to the statistics published by the United Nations Conference on Trade and Development. This ceiling is raised to USD 14,000 in the case of small island developing States (SIDs).

13. Table 7 shows the income as well as the expenditure under the Trust Fund for Participation in the UNFCCC Process as at 30 June 2011. During this reporting period, voluntary contributions received by the secretariat amounted to USD 9.1 million. The table clearly highlights the low level of contributions received in 2011 (USD 1.5 million) compared with USD 7.6 million received in 2010. The contributions received to date, added to the carry-over balance from 2008–2009, interest, miscellaneous income and adjustments, resulted in a total income of USD 14.6 million.

14. Expenditure incurred during the first 18 months of the biennium 2010–2011 amounted to USD 11 million, which covered the participation of representatives of eligible Parties at seven sessions, leaving a balance of income over expenditure of USD 3.6 million excluding the operating reserve of USD 814,215. This balance, together with any further voluntary contributions to the trust fund, will be used to cover the participation of representatives of eligible Parties at the sessions of the ad hoc working groups scheduled to be held in Panama City, Panama, in October 2011 and to cover the participation of representatives of eligible Parties at COP 17 and CMP 7, to be held in Durban, South Africa, at the end of the year.

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<sup>2</sup> Any reallocation of funds is subject to the authority given to the Executive Secretary as per decision 12/CP.15, paragraph 12, which “Authorizes the Executive Secretary to make transfers between each of the main appropriation lines set out in table 1, up to an aggregate limit of 15 per cent of total estimated expenditure for those appropriation lines, provided that a further limitation of up to minus 25 per cent of each such appropriation line shall apply”.

Table 7  
**Status of the Trust Fund for Participation in the UNFCCC Process as at 30 June 2011**  
 (United States dollars)

<i>Income</i>	
Carry-over from 2008–2009	3 596 966
Savings on prior period obligations	242 052
Voluntary contributions received in 2010	7 608 005
Voluntary contributions received in 2011	1 476 764
CDM prompt start adjustment	1 283 763
Interest	112 110
Miscellaneous income	288 246
<b>Total income</b>	<b>14 607 906</b>
<i>Expenditure</i>	
Travel of 192 participants to AWG-KP 11 and AWG-LCA 9	651 019
Travel of 204 participants to the thirty-second sessions of the SBI and the SBSTA, AWG-KP 12 and AWG-LCA 10	1 302 363
Travel of 202 participants to AWG-KP 13 and AWG-LCA 11	1 021 747
Travel of 254 participants to AWG KP 14, AWG LCA 12	1 069 999
Travel of 349 participants to COP 16, CMP 6, thirty-third sessions of the SBI and SBSTA, AWG-KP 15, AWG-LCA 13	3 242 724
Travel of 198 participants to AWG KP 16, AWG LCA 14	935 362
Travel of 209 participants to the thirty-fourth sessions of the SBI and the SBSTA and the second part of the AWG-KP 16 and AWG-LCA 14	1 492 591
Other travel-related costs	26 959
Subtotal	9 742 764
Programme support costs	1 266 559
<b>Total expenditure</b>	<b>11 009 323</b>
<b>Balance<sup>a</sup></b>	<b>3 598 583</b>

*Abbreviations:* AWG-KP = Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol, AWG-LCA = Ad Hoc Working Group on Long-term Cooperative Action under the Convention, CDM = clean development mechanism; COP = Conference of the Parties; CMP = Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol; SBI = Subsidiary Body for Implementation, SBSTA = Subsidiary Body for Scientific and Technological Advice.

<sup>a</sup> Excludes the operating reserve of USD 814,215.

### C. Trust Fund for Supplementary Activities

15. A number of mandated core activities continue to be funded from the Trust Fund for Supplementary Activities through voluntary contributions made by Parties, enabling the secretariat to implement the work programme for this biennium more effectively including support of the negotiations under the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (AWG-KP) and the Ad Hoc Working Group on Long-term Cooperative Action under the Convention (AWG-LCA).



16. Table 8 lists the income as well as the expenditure under the Trust Fund for Supplementary Activities as at 30 June 2011.

17. Voluntary contributions amounting to USD 23.3 million were received during the reporting period. However, voluntary contributions received in 2011 amounted to only USD 4.1 million compared with USD 19.2 in 2010 and USD 24.2 million in 2009. Should this downward trend in contribution to the Trust Fund for Supplementary Activities continue, it will have a significant impact on the ability of the secretariat to deliver on all of its mandated activities.

18. Other sources of income to the Trust Fund for Supplementary Activities include the fund balance of USD 20.6 million carried over from the biennium 2008–2009, interest income, joint implementation (JI) fees and miscellaneous income, savings on obligations from prior periods and a reallocation from the clean development mechanism (CDM) prompt start to the joint implementation project, totalling USD 49.2 million as at 30 June 2011.

19. Expenditures under the Trust Fund for Supplementary Activities amounted to USD 30.8 million as at 30 June 2011. The unspent balance of USD 18.5 million together with any further voluntary contributions received will be used to finance ongoing activities for the remainder of this biennium. Unspent funds will be carried over to the next biennium.

Table 8

**Status of the Trust Fund for Supplementary Activities as at 30 June 2011**

(United States dollars)

<i>Income</i>	
Carry-over from 2008–2009	20 564 379
Savings on prior period obligations and refunds to donors	1 227 969
Voluntary contributions received in 2010	19 197 726
Voluntary contributions received in 2011	4 115 557
Clean development mechanism (CDM) prompt start adjustment	2 218 160
Joint implementation fees and miscellaneous income	1 417 281
Interest	474 624
<b>Total income</b>	<b>49 215 696</b>
<i>Expenditure</i>	
Expenditures and commitments	27 265 124
Programme support costs	3 499 055
<b>Total expenditure</b>	<b>30 764 179</b>
<b>Balance<sup>a</sup></b>	<b>18 451 517</b>

<sup>a</sup> Excludes the operating reserve of USD 2,653,847.

#### D. Trust Fund for the Clean Development Mechanism

20. Table 9 highlights the income and expenditure for the Trust Fund for the Clean Development Mechanism as at 30 June 2011. Income received in the biennium 2010–2011 amounts to USD 152.3 million and consists mainly of funds carried over from the previous biennium of USD 82 million, and CDM fees of USD 71.7 million.

21. Expenditure as at 30 June 2011 amounted to USD 47.6 million, leaving an unspent balance of USD 59.6 million after accounting for the operating reserve of USD 45 million.

22. For detailed information on the budget performance of the CDM, see the annual report of the CDM Executive Board to the CMP (FCCC/KP/CMP/2011/3).

Table 9

**Status of the Trust Fund for the Clean Development Mechanism as at 30 June 2011**

(United States dollars)

<i>Income</i>	
Carry-over from 2008–2009	81 954 684
Voluntary contributions received in 2010	31 880
Clean development mechanism (CDM) fees	71 695 245
CDM prompt start adjustment	–3 501 923
Savings on prior period obligations and refunds to donors	87 933
Interest and miscellaneous income	1 995 366
<b>Total income</b>	<b>152 263 185</b>
<i>Object of expenditure</i>	
Staff	24 739 268
Consultants and experts	7 393 659
Travel of staff	1 574 648
Travel of representatives	2 909 429
Operational expenses	3 934 364
Fellowships, grants and contributions	598 000
Other expenditures	1 113 944
Programme support costs	5 360 831
<b>Total expenditure</b>	<b>47 624 143</b>
<i>Less: Operating reserve</i>	45 000 000
<b>Balance</b>	<b>59 639 042</b>

## E. Trust Fund for the International Transaction Log

23. Table 10 provides the income to the Trust Fund for the International Transaction Log as at 30 June 2011. Income received in the biennium 2010–2011 amounted to EUR 7.8 million and consisted of fees collected of EUR 5.4 million (90 per cent of fees for the biennium), funds carried over from the previous biennium of EUR 2 million, and interest and miscellaneous income of EUR 0.35 million.

Table 10  
**Income to the Trust Fund for the International Transaction Log as at 30 June 2011**  
 (Euros)

<i>Income</i>	
Carry-over from 2008–2009 <sup>a</sup>	2 004 247
International transaction log fees collected in 2010–2011	5 447 327
Interest and miscellaneous income <sup>a</sup>	347 787
<b>Total income<sup>b</sup></b>	<b>7 799 361</b>

<sup>a</sup> Where applicable, the exchange rate used (USD 1 = EUR 0.699) is the official United Nations exchange rate for 30 June 2011.

<sup>b</sup> Operating reserve amounts to EUR 245,080.

24. Table 11 shows the approved budget for 2010–2011 by object of expenditure, as well as the expenditure under the Trust Fund for the International Transaction Log as at 30 June 2011. After accounting for total expenditure and the operating reserve, the unspent balance of the fund was EUR 3.4 million. For detailed information on the budget performance of the international transaction log (ITL), see the annual report of the administrator of the ITL under the Kyoto Protocol (FCCC/KP/CMP/2011/7).

Table 11  
**Approved budget and expenditure under the Trust Fund for the International Transaction Log by object of expenditure as at 30 June 2011**

<i>Object of expenditure</i>	<i>Approved budget for 2010–2011 (EUR)</i>	<i>Expenditure as at 30 June 2011 (EUR)</i>	<i>Expenditure as a percentage of budget</i>
Staff costs	1 481 930	1 076 896	72.7
Contractors and consultants	3 406 184	2 400 668	70.5
Expert groups	48 951	12 896	26.3
Travel of staff	27 972	12 807	45.8
General operating expenses and contributions to common services	261 102	132 377	50.7
Programme support costs	679 398	475 504	70.0
<b>Total expenditure</b>	<b>5 905 537</b>	<b>4 111 148</b>	<b>69.6</b>

## F. Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund)

25. As part of its offer to host the UNFCCC secretariat in Bonn, the Government of Germany makes a special annual contribution to the secretariat of EUR 1.8 million. As at 30 June 2011, the contribution for 2010–2011 had been received in full. The contribution to the Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund) was used to pay for the logistical arrangements of sessions held in Bonn during the reporting period.

26. Table 12 shows income and expenditure under the Bonn Fund in 2010–2011 as at 30 June 2011. After accounting for the total expenditure of EUR 3.5 million and the

operating reserve of EUR 209,700, the unspent balance of the fund amounts to EUR 154,970.

Table 12

**Status of the Bonn Fund as at 30 June 2011**

(Euros)

<i>Income</i>	
Carry-over from 2008–2009 <sup>a</sup>	282 139
Contributions	3 579 044
Interest, miscellaneous income and prior period adjustments	24 378
<b>Total income</b>	<b>3 885 561</b>
<i>Expenditure</i>	
Conference support	2 723 032
Conference information support	388 716
Share of costs for common services	6 980
Programme support costs	402 163
<b>Total expenditure</b>	<b>3 520 891</b>
<b>Balance<sup>b</sup></b>	<b>364 670</b>

<sup>a</sup> Where applicable, the exchange rate used (USD 1 = EUR 0.699) is the official United Nations exchange rate for 30 June 2011.

<sup>b</sup> Excludes the operating reserve of EUR 209,700.

**G. Programme support costs**

27. In accordance with the financial procedures of the United Nations, 13 per cent overhead charges are payable on all trust funds of the UNFCCC to cover administrative services. Most of these services are provided within the secretariat by the Administrative Services programme. Central services such as audit, payroll, investment and treasury services are provided by the United Nations on a reimbursable basis.

28. Table 13 shows the status of the programme support costs for the first 18 months of the biennium 2010–2011. As at 30 June 2011, income amounted to USD 26.7 million and consisted of funds carried over from the previous biennium of USD 10.7 million, programme support cost income of USD 15.3 million, and interest and miscellaneous income of USD 0.67 million.

29. During the same period, USD 12.9 million was used to cover staff and non-staff costs and charges for services rendered by the United Nations Office at Geneva (UNOG) were USD 0.7 million as at 30 June 2011. After accounting for the operating reserve of USD 4.5 million, the unspent balance of the special account for programme support costs amounts to USD 8.6 million.

Table 13  
**Status of the special account for programme support costs as at 30 June 2011**  
 (United States dollars)

<i>Income</i>	
Carry-over from 2008–2009	10 731 938
Programme support costs income from trust funds	15 290 032
Interest and miscellaneous income	668 560
<b>Total income</b>	<b>26 690 530</b>
<i>Expenditure</i>	
Secretariat staff costs	10 356 676
Secretariat non-staff costs	2 562 474
Services rendered by the United Nations	714 143
<b>Total expenditure</b>	<b>13 633 293</b>
<i>Less: Operating reserve</i>	4 480 748
<b>Balance</b>	<b>8 576 489</b>

### III. Programme delivery

30. Programme delivery is based on the work programme for the biennium 2010–2011 and on mandates given to the secretariat after the presentation of the work programme. This section should therefore be read in conjunction with document FCCC/SBI/2009/2/Add.1, which outlines the work programme.

31. The following sections provide a brief overview of each programme's responsibilities, indicate whether the expected results of the work programme for the biennium are being achieved and summarize the activities that have contributed to the secretariat's achievements. Additional performance data for each programme is contained in annex III.

#### A. Executive Direction and Management

32. The overall purpose of the Executive Direction and Management (EDM) programme is to ensure the secretariat's responsiveness to the needs of the Convention and Kyoto Protocol bodies and the overall coherence of the work of the secretariat. EDM also coordinates outreach and cooperation activities within the United Nations system and with other key stakeholders, supports the President and Bureaux of the COP and the CMP, and directs the secretariat-wide support to the intergovernmental process.

33. In the reporting period, EDM focused on supporting concerted efforts by Parties to build on the results of the most recent COP and CMP decisions. Following the landmark decisions included in the Cancun Agreements, EDM made it a priority, in the first half of 2011, to realign secretariat resources in order to effectively assist Parties with the immediate implementation of these decisions. These efforts included a reorganization of workstreams with a view to eliminating duplication, optimizing available skill sets and creating an enhanced framework for collaboration on cross-cutting issues. Furthermore, coordination and oversight of the implementation of the Cancun Agreements were enhanced through the establishment in EDM of the Implementation Strategy unit.

34. EDM continued supporting the Presidents of the COP and the CMP and coordinating secretariat support for the work of the AWG-LCA and the AWG-KP. The Executive Secretary carried out extensive fund-raising activities to ensure the availability of appropriate resources. However, contributions made towards the United Nations Climate Change Conference held in Bangkok, Thailand, in April 2011 were insufficient and critical funding gaps remain.

35. The Executive Secretary ensured timely issuance of the reports on the sessions of the COP, the CMP, the AWG-LCA and AWG-KP, as well as compilation and publication on the UNFCCC website of information communicated by Parties in relation to the Cancun Agreements.

36. The EDM programme strengthened its coordination role within the secretariat in regard to cooperation with the United Nations Secretariat, specialized agencies and international organizations in support of the UNFCCC process and the implementation of COP and CMP decisions. To this end, the Executive Secretary seconded one senior secretariat staff member to work with the Office of the Secretary-General. Outreach to a broad range of stakeholders including the Office of the Secretary-General and other agencies is a priority of the Chief of Staff appointed in the first half of 2011.

37. Fully aware of the budgetary constraints on national governments and of the need to seek efficiencies and to “work smarter”, the Executive Secretary in 2011 launched a series of initiatives aimed at rationalizing the use of resources at the secretariat. Efforts under way in this regard include inter alia: reviews of secretariat business processes (e.g. in administration and document production) with a view to increasing automation and reducing transaction costs; deploying a platform for internal collaboration; and exploring options for increased e-conferencing capacity to make more efficient use of staff time. A report on planned efficiency gains in the biennium 2012–2013 is contained in document FCCC/SBI/2011/Inf.15.

38. Lastly, the Executive Secretary made a particular effort to ensure staff well-being and health. Initiatives in this regard included a staff satisfaction survey and a number of measures aimed at increasing the physical area of the work environment and improving staff support services and staff–management relations.

## **B. Reporting, Data and Analysis**

39. The Reporting, Data and Analysis (RDA) programme provides organizational support to the entire reporting and review system for Parties included in Annex I to the Convention (Annex I Parties). In the reporting period, RDA continued to support a robust reporting and review process under both the Convention and its Kyoto Protocol by conducting the 2010 cycle of annual reviews of national greenhouse gas (GHG) inventories of Annex I Parties, continuing the review of the fifth national communication (NC5) submissions by Annex I Parties, and initiating the 2011 cycle of inventory reviews for these Parties. For those Annex I Parties that are also Parties to the Kyoto Protocol, RDA implemented relevant additional reporting and review procedures in 2010 and 2011, which are the first and second years of mandatory reporting of supplementary information under the Kyoto Protocol.

40. In accordance with the existing mandates under the Convention and the Kyoto Protocol, NC5s from 40 out of 42 Annex I Parties were received. The secretariat coordinated 24 in-country reviews and two centralized reviews covering submissions by four Parties each by international expert review teams in 2010 and in the first half of 2011, and it plans to complete the remaining reviews of the national communications from the Annex I Parties at the beginning of 2012. Based on the information submitted in the NC5,

the secretariat prepared a compilation and synthesis report for consideration by the COP and the CMP that covers all aspects of the implementation of the Convention and its Kyoto Protocol by Annex I Parties. For Annex I Parties to the Kyoto Protocol, the fifth national communication under the Convention contains supplementary information that is reported under Article 7, paragraph 2, of the Kyoto Protocol to demonstrate compliance.

41. As part of the 2010 and 2011 reporting and review cycles, RDA received and processed annual GHG inventory submissions from all Annex I Parties, including submission of supplementary information under Article 7, paragraph 1, of the Kyoto Protocol for those Annex I Parties that are also Parties to the Kyoto Protocol.<sup>3</sup> Strengthening of the review process was required to assess this supplemental information, which is essential for the implementation of the Kyoto Protocol. Overall, 85 sets of inventory data and relevant explanatory information were received, processed and stored, including the processing of multiple cases of complete or partial resubmissions.

42. Two meetings of the lead reviewers were organized in the reporting period, aiming to ensure the quality and consistency of the review process, and, for the reviews under the Kyoto Protocol, to prepare for and take on board lessons learned from the reporting and review of GHG data and supplementary information for the first year of the commitment period.

43. To maintain and enhance the effectiveness of the review process, the secretariat developed new training courses for reviews under the Kyoto Protocol in the area of review of information on land use, land-use change and forestry activities reported under Article 3, paragraphs 3 and 4, and in support of the review of inventory estimates obtained using complex methods and models. The secretariat intensified its work in supporting the training of experts for reviews under both the Convention and the Kyoto Protocol to meet the demands of a rigorous review process, and organized two seminars per year to complete the training of experts and to conduct examinations. More than 120 experts from both developed and developing countries, received training and passed these examinations.

44. The secretariat continued to support the work of the Subsidiary Body for Scientific and Technological Advice (SBSTA) on the work programme to revise the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories” by preparing relevant materials, organizing three workshops<sup>4</sup> and providing support during the SBSTA sessions.

45. RDA continued to make the GHG data reported by Parties available through the GHG data interface<sup>5</sup> on the UNFCCC website. Such data from GHG inventories of Annex I Parties and from the national communications of Parties not included in Annex I to the Convention (non-Annex I Parties) are included in the interface. To improve the quality of data, since 2010, three updates of the interface are implemented annually, compared with only one regular update in previous years, thus ensuring that Parties and the general public have access to the most recent data available. Following the updates made in March and June 2011, preparations are being made for the release of the third update in November 2011. RDA further enhanced the GHG data interface by developing and releasing a new module,<sup>6</sup> which allows an online calculation of GHG-related indicators, such as GHG

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<sup>3</sup> All GHG inventory submissions from Annex I Parties for 2011 are available at <[http://unfccc.int/national\\_reports/annex\\_i\\_ghg\\_inventories/national\\_inventories\\_submissions/items/5888.php](http://unfccc.int/national_reports/annex_i_ghg_inventories/national_inventories_submissions/items/5888.php)>.

<sup>4</sup> Documentation from the three workshops is available at <[http://unfccc.int/national\\_reports/annex\\_i\\_ghg\\_inventories/reporting\\_requirements/items/5333.php](http://unfccc.int/national_reports/annex_i_ghg_inventories/reporting_requirements/items/5333.php)>.

<sup>5</sup> Available at <[http://unfccc.int/ghg\\_data/items/3800.php](http://unfccc.int/ghg_data/items/3800.php)>.

<sup>6</sup> Available at <<http://unfccc.int/di/Indicators.do>>.

emissions per capita or per GDP unit; preparations are ongoing for another major enhancement of the interface by adding flexible access to compilation and accounting data reported by Parties to the Convention with commitments inscribed in Annex B to the Kyoto Protocol (Annex B Parties).

46. RDA continues informing the COP and CMP on key GHG data reported by Annex I Parties under the Convention and its Kyoto Protocol through the two major annual data reports: the GHG data report containing GHG inventory data from Annex I Parties and the compilation and accounting report containing accounting data for Annex B Parties. One GHG data report<sup>7</sup> and one compilation and accounting report<sup>8</sup> were published during the reporting period.

47. During the reporting period, RDA responded to about 250 requests for GHG data or related explanatory information from Parties, national and international organizations, the media and individuals.

48. As part of data-related cooperation within the United Nations system, RDA provided key GHG data for Annex I Parties to the United Nations data portal<sup>9</sup> and to the expert group responsible for the preparation of the Millennium Development Goals reports.<sup>10</sup>

49. RDA continued to develop and improve the systems for supporting the reporting and review of GHG inventory data from Annex I Parties. This included the ongoing improvement of the common reporting format (CRF) Reporter software, continuous support for Parties using the CRF Reporter software and timely release of the inventory review tools and documents. Preparations have started for the changes in the CRF Reporter, which may be required upon the completion of Parties' negotiations on the revision of the guidelines for reporting GHG inventories by Annex I Parties.

50. Further progress was made in the support of the operations of the ITL. The focus of activities performed on the ITL has shifted from implementing registry systems to ensuring that these systems continue to operate reliably. More detailed information on the ITL will be provided in the annual report of the ITL administrator for consideration by the CMP at its seventh session.<sup>11</sup>

51. RDA continues to play a key role in supporting negotiations on matters relating to possible future commitments of Annex I Parties under the Convention and its Kyoto Protocol, including emission targets and methodological issues related to GHG inventories, industrial gases included in the IPCC Fourth Assessment Report but not regulated in the first commitment period under the Kyoto Protocol, also known as 'new gases', and common metrics. In addition, RDA supported negotiations relating to possible future reporting and review requirements emerging as part of the measurement, reporting and verification framework, which is being negotiated by Parties under the mandate of the Bali Action Plan. In this context, RDA organized six workshops and technical meetings, and prepared a number of documents that served as an input to the negotiating process.

52. Following the completion of COP 16 and CMP 6 in Cancun, Mexico, work has been ongoing to incorporate the additional measurement, reporting and verification related tasks, defined in the Cancun Agreements, in programme planning and ongoing activities. RDA participated actively in the fulfilment of the relevant mandates defined in the Cancun

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<sup>7</sup> FCCC/SBI/2010/18.

<sup>8</sup> FCCC/KP/CMP/2010/5 and Add.1.

<sup>9</sup> Available at <<http://data.un.org/>>.

<sup>10</sup> Available at <<http://mdgs.un.org/>>.

<sup>11</sup> Information on the ITL and the registry systems is also available on the UNFCCC website at <[http://unfccc.int/kyoto\\_protocol/registry\\_systems/items/2723.php](http://unfccc.int/kyoto_protocol/registry_systems/items/2723.php)>.



Agreements, such as the preparation of documents relating to quantified emission reduction targets of developed countries and the organization of workshops.<sup>12</sup>

### C. Financial and Technical Support

53. The Financial and Technical Support (FTS) programme provides support to Parties, especially non-Annex I Parties, in the implementation of the Convention and its Kyoto Protocol, including in negotiations under the SBI, the COP, the CMP and the AWG-LCA, in the following areas: the facilitation of the mobilization of financial resources under the Convention and its Kyoto Protocol; national communications from non-Annex I Parties; national adaptation programmes of action (NAPAs); capacity-building; and education, training and public awareness.

54. The programme supported the establishment of the Technical Support unit of the Transitional Committee for the Green Climate Fund and the organization of two meetings of the Committee.<sup>13</sup> It continued to strengthen its collaboration with the Global Environment Facility (GEF) through the convening of a joint retreat via videoconference to ensure effectiveness and efficiency in the provision of resources to support developing countries. It has also closely collaborated with the secretariat of the Adaptation Fund Board in preparation for the workshop on national implementing entities for the Africa region<sup>14</sup> and with the United Nations Development Programme in supporting countries to identify their financial needs on climate change.<sup>15</sup> In accordance with decision 1/CP.16, the programme has compiled information submitted by Parties on the provision of fast-start finance and posted them on the UNFCCC website.<sup>16</sup> It has also launched the Finance Portal for Climate Change on the UNFCCC website<sup>17</sup> initially posting the national communications and fast-start finance modules.

55. FTS continued disseminating information on financial and technical support available to non-Annex I Parties for the preparation of national communications. A newsletter was produced in 2010 and disseminated to national focal points, national communication coordinators and experts from developing countries.<sup>18</sup> The programme provided support for four meetings of the reconstituted Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention.<sup>19</sup> Following requests by non-Annex I Parties from South-East Asia, as well as Eastern and Southern Africa, on preparation of national GHG inventories, with a focus on the agricultural, and land use, land-use change and forestry (LULUCF) sectors, FTS continued coordinating regional projects aimed at addressing these needs.<sup>20</sup>

56. In the reporting period, FTS facilitated meetings of the Least Developed Countries Expert Group (LEG)<sup>21</sup> and assisted in providing support for the implementation of the work programme for the implementation of Article 4, paragraph 9, of the Convention. Two least

<sup>12</sup> FCCC/AWGLCA/2011/7.

<sup>13</sup> Information on the Transitional Committee meetings is available at the UNFCCC website at <[http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/green\\_climate\\_fund/items/5869.php](http://unfccc.int/cooperation_and_support/financial_mechanism/green_climate_fund/items/5869.php)>.

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

<sup>15</sup> <[http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/items/5630.php](http://unfccc.int/cooperation_and_support/financial_mechanism/items/5630.php)>.

<sup>16</sup> <[http://unfccc.int/cooperation\\_support/financial\\_mechanism/fast\\_start\\_finance/items/5646.php](http://unfccc.int/cooperation_support/financial_mechanism/fast_start_finance/items/5646.php)>.

<sup>17</sup> <[http://unfccc.int/cooperation\\_support/financial\\_mechanism/finance\\_portal/items/5824.php](http://unfccc.int/cooperation_support/financial_mechanism/finance_portal/items/5824.php)>.

<sup>18</sup> The Non-Annex I Parties (NAI) newsletter is available at <<http://unfccc.int/354.php>>.

<sup>19</sup> <[http://unfccc.int/national\\_reports/non-annex\\_i\\_natcom/cge/items/2608.php](http://unfccc.int/national_reports/non-annex_i_natcom/cge/items/2608.php)>.

<sup>20</sup> Botswana, Cambodia, Indonesia, Lao People's Democratic Republic, Malawi, Malaysia, Mauritius, Namibia, Papua New Guinea, Philippines, Rwanda, Singapore, South Africa, Thailand, United Republic of Tanzania, Viet Nam and Zambia.

<sup>21</sup> <<http://unfccc.int/6099.php>>.

developed countries (LDCs)<sup>22</sup> submitted a completed NAPA, bringing the total number of submitted NAPAs to 45.<sup>23</sup> Forty-three implementation projects had been submitted to the GEF for funding through the Least Developed Countries Fund.<sup>24</sup> Among those, 25 were endorsed by the Chief Executive Officer of the GEF. The LEG provided guidance and technical advice on matters related to NAPA preparation, revision and implementation. The LEG with support from the GEF and facilitation by the secretariat organized the last four training workshops, out of a series of five, on implementing NAPAs.<sup>25</sup>

57. In the reporting period, the programme continued to collaborate with the GEF, United Nations agencies, and intergovernmental and non-governmental organizations with a view to catalysing action and facilitating integration of capacity-building priorities in these groups respective programmes and projects. FTS launched a full-scale version of the information network clearing house, including multilingual functionality; organized four regional workshops on the implementation of Article 6 of the Convention; coordinated the secretariat-wide Fellowship Programme aimed at building capacity of young governmental officials from developing countries, in particular LDCs and SIDs; and coordinated the United Nations Joint Framework Initiative on Children, Youth and Climate Change.

#### **D. Adaptation, Technology and Science**

58. The Adaptation, Technology and Science (ATS) programme supports Parties in meeting their specific needs and concerns relating to the impacts of, and vulnerability and adaptation to climate change and relating to the impact of the implementation of response measures. ATS further supports the UNFCCC process in enhancing the development and transfer of technologies and improving the methodological and scientific basis for international climate policy and action by Parties, including actions aimed at reducing emissions from deforestation and forest degradation in developing countries (REDD). The programme also coordinates support for the SBSTA, contributing to its effective and efficient functioning.

59. In the reporting period, ATS continued supporting the intergovernmental work and negotiations on adaptation, response measures and potential consequences. Following COP 16, the programme supported the initial implementation of provisions contained in the Cancun Adaptation Framework, including those related to the Adaptation Committee and approaches to address loss and damage associated with climate change impacts in developing countries that are particularly vulnerable to the adverse effects of climate change, as well as those related to economic and social consequences of response measures, including through organizing the joint SBI/SBSTA forum on the impact of the implementation of response measures.<sup>26</sup> Continued engagement by the programme of a wide range of stakeholders in support of the Nairobi work programme on impacts, vulnerability and adaptation to climate change has resulted in a higher number of Nairobi work programme partner organizations and action pledges.<sup>27</sup> ATS facilitated knowledge sharing and learning, promoted dialogue and catalysed adaptation action by preparing numerous documents and publications,<sup>28</sup> by organizing two technical workshops,<sup>29</sup> one

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<sup>22</sup> Chad and Nepal.

<sup>23</sup> <<http://unfccc.int/4585.php>>.

<sup>24</sup> <<http://unfccc.int/5632.php>>.

<sup>25</sup> <<http://unfccc.int/6101.php>>.

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

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

<sup>28</sup> <[http://unfccc.int/adaptation/nairobi\\_work\\_programme/items/3633.php](http://unfccc.int/adaptation/nairobi_work_programme/items/3633.php)>.

<sup>29</sup> <<http://unfccc.int/4300.php>>.

informal meeting reviewing the Nairobi work programme,<sup>30</sup> meetings of Parties with Nairobi work programme partners<sup>31</sup> and a high-level event on adaptation in Cancun showcasing the United Nations system delivering as one.<sup>32</sup>

60. ATS supported Parties in advancing the intergovernmental work and negotiations on technology development and transfer under the AWG-LCA, the SBI and the SBSTA. The programme initiated activities to support the prompt implementation of the Technology Mechanism established by the COP at its sixteenth session, including the preparatory work to support the work of the Technology Executive Committee (TEC), and the redesign of the technology information clearing house<sup>33</sup> to facilitate information flow on progress of the implementation of the Technology Mechanism and of TEC and continued to maintain and update it. ATS also supported the SBI in reviewing the effectiveness of the implementation of Article 4, paragraphs 1(c) and 5, of the Convention by preparing reports for the review.<sup>34</sup> ATS facilitated the further implementation of the technology transfer framework and continued supporting the Expert Group on Technology Transfer (EGTT) in implementing its activities as contained in its work programme for 2010–2011, including elaborating on options for the operational modalities of the Technology Mechanism established at COP 16.<sup>35</sup> ATS implemented the remaining activities of the work programme of the EGTT after its mandate was terminated at COP 16, including the organization of a workshop on technology needs assessments.<sup>36</sup> It collaborated with the United Nations Development Programme (UNDP) in updating the Handbook for Conducting Technology Needs Assessments for Climate Change<sup>37</sup> and with the United Nations Environment Programme (UNEP)/GEF in implementing the Poznan Strategic Programme on Technology Transfer.<sup>38</sup> ATS continued its efforts to enhance the capacity of non-Annex I Parties in preparing technology transfer projects for financing, including through the organization of two regional training workshops<sup>39</sup> and the development of a training package.<sup>40</sup> ATS collaborated on various matters relating to technology development and transfer with the International Energy Agency, International Renewable Energy Agency, UNDP, UNEP, United Nations Industrial Organization, the European Patent Office, GEF, the World Intellectual Property Organization, the World Bank and the United Nations Institute for Training and Research.

61. ATS continued supporting negotiations on matters relating to the scientific, technical and socio-economic aspects of mitigation, REDD-plus,<sup>41</sup> LULUCF, cooperative sectoral approaches, sector-specific actions and emissions resulting from fuel used for international transport, and research and systematic observation. As part of the efforts by the secretariat to enhance the coordination of capacity-building, relating to activities on REDD-plus, the programme organized an informal expert meeting,<sup>42</sup> further developed and

<sup>30</sup> <<http://unfccc.int/5706.php>>.

<sup>31</sup> <[http://unfccc.int/files/adaptation/application/pdf/fpf\\_cancun\\_summarynote\\_online.pdf](http://unfccc.int/files/adaptation/application/pdf/fpf_cancun_summarynote_online.pdf)>.

<sup>32</sup> Side event held on 8 December 2010,  
<[http://regserver.unfccc.int/seors/reports/archive.html?session\\_id=COP16/CMP6](http://regserver.unfccc.int/seors/reports/archive.html?session_id=COP16/CMP6)>.

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

<sup>34</sup> FCCC/SBI/2010/INF.4, FCCC/SBI/2010/INF.6, FCCC/SBI/2010/MISC.3,  
FCCC/SBSTA/2010/INF.3.

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

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

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

<sup>38</sup> <[http://www.thegef.org/gef/TT\\_poznan\\_strategic\\_program](http://www.thegef.org/gef/TT_poznan_strategic_program)>.

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

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

<sup>41</sup> Policy approaches and positive incentives on issues relating to reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries.

<sup>42</sup> <[http://unfccc.int/methods\\_science/redd/items/5603.php](http://unfccc.int/methods_science/redd/items/5603.php)>.

maintained the REDD Web Platform<sup>43</sup> and is making available an interactive discussion forum on the platform for the purposes of promoting the sharing of information and experiences, and of building expertise on the use of the IPCC guidance and guidelines in the implementation of activities relating to REDD-plus in developing countries. The programme also organized the technical assessments of information on forest management reference levels submitted by Annex I Parties under the Kyoto Protocol<sup>44</sup> that will support the consideration of LULUCF issues by the CMP at its seventh session.

62. A workshop on research<sup>45</sup> and annual meetings<sup>46</sup> were organized under the SBSTA dialogue on developments in research activities relevant to the needs of the Convention. ATS worked in close collaboration with the IPCC, the World Meteorological Organization, relevant regional and international global change research programmes and organizations, and with the Ozone Secretariat to facilitate the flow of relevant information into the Convention process. The programme worked with the Food and Agriculture Organization of the United Nations, UNDP, UNEP and the World Bank in order to enhance the capacity of developing countries to take action on REDD and agriculture, and with the International Maritime Organization and the International Civil Aviation Organization to inform Parties on their relevant work on international aviation and maritime transport. ATS also coordinated the secretariat activities in relation to the United Nations Convention to Combat Desertification and the United Nations Convention on Biological Diversity. Since COP 16, the programme has been supporting negotiations on matters relating to shared vision and the review of the long-term global goal in the light of the ultimate objective of the Convention, as referred to in the Cancun Agreements.<sup>47</sup>

## **E. Sustainable Development Mechanisms**

63. The main role of the Sustainable Development Mechanisms (SDM) programme during the reporting period continues to be the provision of support to the two bodies constituted to supervise the implementation of the project-based mechanisms under the Kyoto Protocol, namely the CDM Executive Board and the Joint Implementation Supervisory Committee (JISC). In addition, the SDM programme continues to support the negotiations on both the existing mechanisms under the AWG-KP as well as market and non-market approaches under the AWG-LCA.

64. In order to better support the two bodies, SDM has a new structure that is tightly aligned to the processes established under the CDM and JI that address the creation and maintenance of methodologies and standards, as well as the assessment of accredited entities and projects. This also facilitates the direct resolution of the problems previously experienced by the various stakeholders of both mechanisms by giving internal focus to teams and by simplifying and extending lines of communication with stakeholders.

65. During the reporting period, in line with the CDM management plans for 2010 and 2011, SDM made arrangements for 45 meetings of the CDM Executive Board and its panels and working groups. This included the preparation and issuance of about 426 documents for the Executive Board alone. The programme continued facilitating the dialogue on the project-based mechanisms by organizing 28 stakeholder coordination and/or training workshops and 38 SDM staff training interventions in line with a request

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<sup>43</sup> <[http://unfccc.int/methods\\_science/redd/items/4531.php](http://unfccc.int/methods_science/redd/items/4531.php)>.

<sup>44</sup> <[http://unfccc.int/meetings/ad\\_hoc\\_working\\_groups/kp/items/5896.php](http://unfccc.int/meetings/ad_hoc_working_groups/kp/items/5896.php)>.

<sup>45</sup> <[http://unfccc.int/methods\\_and\\_science/research\\_and\\_systematic\\_observation/items/6032.php](http://unfccc.int/methods_and_science/research_and_systematic_observation/items/6032.php)>.

<sup>46</sup> <[http://unfccc.int/methods\\_and\\_science/research\\_and\\_systematic\\_observation/items/5609.php](http://unfccc.int/methods_and_science/research_and_systematic_observation/items/5609.php)>.

<sup>47</sup> As part of the Cancun Agreements, the COP, by its decision 1/CP.16, decided to periodically review the adequacy of the long-term global goal referred to in paragraph 4 of that decision.

from the Executive Board in this regard. Communication and transparency was enhanced by further developing the CDM website<sup>48</sup> and the CDM Catalogue of Decisions.<sup>49</sup> SDM regularly updated the CDM newsfeed page<sup>50</sup> with the latest information on the CDM.<sup>51</sup> The programme continued to manage the daily operations of the CDM registry by opening accounts and executing transactions. SDM collaborated with partners on the Nairobi Framework,<sup>52</sup> with the aim of enhancing the equitable regional distribution of CDM project activities, including by producing flyers, adverts, brochures, videos, audio files, Web animations and press kits for the African Carbon Forum and by further developing the 'CDM Bazaar'.<sup>53</sup>

66. The programme supported the registration of 1,218 CDM project activities<sup>54</sup> and the issuance of 282.9 million certified emission reductions.<sup>55</sup> It facilitated the adoption by the CDM Executive Board of the revised procedures and guidance related to the registration of CDM programmes of activities and the publishing of the first request for registration of a programme of activities<sup>56</sup> SDM also instituted measures to better manage the timeliness of completeness checks while enhancing the delivery of project evaluation information to the Executive Board. The programme has continued expanding its provision of information on registration and issuance through the CDM website,<sup>57</sup> which in effect reduces the amount of project queries related to internal process management issues. During the reporting period, all new methodologies were processed fully in accordance with the established procedures and timelines.

67. SDM made arrangements for six meetings of the JISC and six meetings of the JI Accreditation Panel. The shortage of funding for JI was a major constraint but was managed appropriately by the JISC. In order to conserve funds, the JISC continues to seek ways to reduce expenditure and to bring the committee's financial predicament to the attention of the Parties.

68. Another significant function of SDM continued to be the provision of support to the intergovernmental negotiations in relation to market-based mechanisms.

69. Key managerial challenges for SDM included maintaining the timelines related to the caseload for CDM projects. The implementation of a framework contract has now allowed external expertise to be utilized for addressing both immediate case-related backlogs and future peaks in demand in this regard. Another focus of programme management was continuing to expedite the recruitment process. During the reporting period, the number of staff members on fixed-term contracts has grown from 102 to 158.

## F. Legal Affairs

70. The Legal Affairs (LA) programme provides advice and support to Parties, Convention and Kyoto Protocol bodies and the secretariat in order to ensure that the

<sup>48</sup> The CDM website, available at <<http://cdm.unfccc.int/index.html>>, is used monthly by over 26,000 named users out of 110,000 unique visitors; approximately 1,670,000 files are downloaded every month.

<sup>49</sup> Available at <<http://cdm.unfccc.int/Reference/catalogue/search>>.

<sup>50</sup> Available at <<http://cdm.unfccc.int/CDMNews/rss.html>>.

<sup>51</sup> Over 800,000 hits to the page were recorded during the reporting period.

<sup>52</sup> Available at <[http://cdm.unfccc.int/Nairobi\\_Framework/index.html](http://cdm.unfccc.int/Nairobi_Framework/index.html)>.

<sup>53</sup> Available at <<http://www.cdmbazaar.net/>>.

<sup>54</sup> The total number of registered projects as at 28 July 2011 was 3,332.

<sup>55</sup> The total number of certified emission reductions issued as at 28 July 2011 was 668 million.

<sup>56</sup> FCCC/KP/AWG/2010/10.

<sup>57</sup> Available at <<http://cdm.unfccc.int/Registry/index.html>>; <<http://cdm.unfccc.int/Issuance/index.html>>.

Convention and its Kyoto Protocol are implemented and that the associated intergovernmental processes and operations of the secretariat are conducted in accordance with legal, procedural and institutional requirements. LA also provides advice and support to the Compliance Committee in order to ensure that the compliance mechanism operates effectively and supports the environmental integrity of the Kyoto Protocol and the credibility of the market-based mechanisms.

71. The President and Bureaux of the COP and CMP, the Chairs of the subsidiary bodies and constituted bodies, Parties, observers, the Executive Secretary and the secretariat's programmes requested and received advice from LA on a wide range of legal, procedural and institutional issues.

72. The CDM Executive Board, the JISC, the Adaptation Fund Board and the Transitional Committee for the design of the Green Climate Fund received legal advice concerning their work, thereby assisting these bodies in effectively fulfilling their mandates in accordance with the provisions of the Convention and its Kyoto Protocol, the applicable rules of procedure, UNFCCC requirements and general international law.

73. LA provided support to Parties on the ongoing negotiations for a future climate change regime, in particular on the status of Annex I Parties undergoing the process of transition to a market economy and Annex I Parties with special circumstances, legal options for an agreed outcome under the AWG-LCA and legal matters under the AWG-KP as well as the implementation of the Cancun Agreements. At the request of Parties, LA prepared a paper on the legal considerations relating to a possible gap between the first and subsequent commitment periods of the Kyoto Protocol.<sup>58</sup>

74. LA clarified a number of procedural and substantive legal issues concerning the negotiations, including advice on the legal and procedural considerations in the adoption of the agendas, the participation of observers and amendment procedures. Support was also provided to Parties on procedures for the nomination and election of officers to Convention and Kyoto Protocol bodies, in particular the Transitional Committee and the Technology Executive Committee.

75. LA provided substantive legal advice, as well as organizational support, to the plenary, enforcement and facilitative branches of the Compliance Committee. The programme produced reference materials on conflict of interest<sup>59</sup> to facilitate plenary discussions on this topic.

76. LA ensured that legal instruments concluded by the secretariat were in compliance with the rules and regulations of the United Nations and the secretariat. This included facilitating the conclusion of the Host Country Agreement for COP 16 and CMP 6 and appropriate legal instruments for the meetings of the ad hoc working groups held in Bangkok and in Tianjin, China. During the reporting period, the programme also provided legal advice, on a regular basis, on issues relating to the management and operations of the secretariat.

## **G. Conference Affairs Services**

77. Conference Affairs Services (CAS) facilitates participation by Parties and observers in the intergovernmental process, makes logistical preparations for and provides support to sessions, meetings and workshops, and edits and processes UNFCCC documents. It maintains the secretariat's database of contacts and oversees the security arrangements for

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<sup>58</sup> FCCC/KP/AWG/2010/10.

<sup>59</sup> See documents CC/7/2010/2, CC/8/2010/3 and CC/8/2010/3/Corr.1 available at [http://unfccc.int/kyoto\\_protocol/compliance/plenary/items/3788.php](http://unfccc.int/kyoto_protocol/compliance/plenary/items/3788.php).

conferences, working in close collaboration with the United Nations Department of Safety and Security.

78. In the reporting period, CAS made logistical arrangements, including security arrangements and arrangements to facilitate the participation and registration of Parties and observer organizations, and edited and processed UNFCCC documents for a total of seven sessional periods, including the sessions of the COP, the CMP, the SBI, the SBSTA, the AWG-KP and the AWG-LCA. Apart from plenary meetings, the sessions encompassed numerous in-session meetings of contact groups, regional groups, negotiating groups, delegations and observer organizations, side events and media events. In addition, 20 pre- and post-sessional meetings and 28 preparatory meetings were held during the period. Preparations for the two sessional periods in the second half of 2011 were well under way during the reporting period.

79. On average, one mandated UNFCCC meeting took place every working day in the period from January 2010 to June 2011 (excluding the in-session meetings referred to above). CAS supported 218 meetings and workshops in Bonn by pre-registering participants, facilitating visa matters and/or assisting with logistical arrangements.

80. CAS processed an average of 230 requests for financial support for representatives of eligible Parties to facilitate their attendance at each of the sessions of the bodies established under the Convention and its Kyoto Protocol, and at the workshops and events held in conjunction with these sessions.

81. During the reporting period, the new Online Registration System was developed and became operational for Parties and admitted organizations. The system has expedited the registration of participants and the issuances of conference badges. This innovation has resulted in shorter waiting times and is expected to reduce the cost of conference registration.

82. Within the reporting period, CAS processed 386 applications for observer status by intergovernmental organizations (IGOs) and non-governmental organizations (NGOs) and facilitated the posting of 173 submissions by IGOs and NGOs on the UNFCCC website. Side events and exhibits have grown ever more popular among Parties and observers. For the seven UNFCCC sessional periods within the reporting period, CAS processed 848 applications for side events and 496 applications for exhibits, of which 549 side events and 380 exhibits were selected. At six sessional periods, CAS allocated constituency offices and meeting space to observer organizations. CAS facilitated a total of 166 plenary statements by observer organizations throughout the eight sessions. In addition, CAS facilitated the participation of 132 representatives of observer organizations at nine intersessional workshops within the reporting period.

83. During the thirty-fourth session of the SBI, CAS organized a one-day workshop to further develop ways to enhance the engagement of observer organization as mandated by the SBI at its thirty-third session and made a presentation on current observer participation and a review of good practices of other United Nations processes. It also produced a report on the in-session workshop for further discussions by SBI 34.

84. CAS facilitated the enhancement of observer participation through regular meetings with the focal points of the nine recognized constituencies and the development of an online tool to enhance the processing of observer participation.<sup>60</sup>

85. Overall, 638 documents comprising 12,463 pages were edited and processed by CAS between 1 January 2010 and 30 June 2011, including parliamentary documents and other mandated documents such as review reports. CAS successfully submitted all review

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<sup>60</sup> <<https://onlinereg.unfccc.int/>>.

reports within their respective deadlines and all parliamentary documentation was available in English before each session. However, owing to the increasing frequency of meetings, translation deadlines could not always be met. As part of the preparation for the sessions in Cancun, CAS worked closely with colleagues at UNOG to meet the request by Parties that key documents, such as the negotiating texts of the AWG-KP and the AWG-LCA, be available in all languages in a timely manner.

## H. Information Services

86. The Information Services (IS) programme provides the communications backbone of the secretariat covering three service areas: communication and media relations; information and communication technology (ICT) services; and knowledge management. IS ensures that work mandated by Parties is taken forward using dependable and secure ICT supporting infrastructure and that the UNFCCC website is continuously available and that Parties have easy access to official documentation, information, data, proceedings and events. The programme ensures that the general public is kept informed of the climate change process through dissemination of information materials and media relations.

87. During the reporting period, IS facilitated production of 27,752 copies of printed publications and distributed 34,060 copies at conferences and by mail. In addition, 4,500 copies of CDs/DVDs and 1,000 copies of a Nairobi work programme calendar were produced. Webcast services provided for meetings of the subsidiary bodies, the ad hoc working groups, the CDM Executive Board, the JISC, workshops of designated national authorities, the Enforcement Branch of the Compliance Committee and for press briefings contributed to transparency in the intergovernmental process. During the reporting period, a total of 733,445 visitors to the website viewed webcasts.

88. During the reporting period, 187.5 million pages were viewed and 42.5 million portable document format files were downloaded from the UNFCCC website. The UNFCCC iPhone/iPad application Negotiator was downloaded approximately 16,000 times during the period.<sup>61</sup> The secretariat distributed six issues of its electronic newsletter, *UNFCCC News*, in English and in Spanish.<sup>62</sup> The number of subscribers to the English language newsletter rose during this period from 9,900 to 13,100, while the number of subscribers to the Spanish edition rose from 2,000 to 7,320. In the area of social media, the videos of the UNFCCC secretariat on its YouTube channel were viewed 147,000 times.<sup>63</sup> A total of 4,300 users were using the secretariat's Facebook page<sup>64</sup> actively to share information, and 5,500 people were following the secretariat's information flow via Twitter.<sup>65</sup> Since early 2011, IS maintains the official presence of the Executive Secretary of the UNFCCC on Twitter, this account is currently followed by 2,136 users.<sup>66</sup> The secretariat's photo portal on Flickr enjoys an active community that uses the platform to share photos mainly relating to climate change and the conferences supported by the secretariat.<sup>67</sup> In January 2011, a website improvement project was initiated seeking to improve the UNFCCC website's information architecture and to introduce a revised website taxonomy with a focus on conference-related functionality and retrieval of information.

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

<sup>62</sup> <[http://unfccc.int/press/news\\_room/newsletter/items/3642.php](http://unfccc.int/press/news_room/newsletter/items/3642.php)> and <[http://unfccc.int/portal\\_espanol/newsletter/items/5680.php](http://unfccc.int/portal_espanol/newsletter/items/5680.php)>.

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

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

<sup>65</sup> <[http://twitter.com/#!/UN\\_climatetalks](http://twitter.com/#!/UN_climatetalks)>.

<sup>66</sup> <<http://twitter.com/#!/Cfigueres>>.

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



89. The programme worked closely with the media to enhance understanding and accurate reporting on climate change and the intergovernmental process. IS responded to a total of 1,689 information requests from the media, prepared 87 speeches and articles for or on behalf of the Executive Secretary, issued 39 press releases and organized 407 interviews. The programme continued arranging a series of workshops for developing country journalists by organizing a further workshop in June 2010 and a workshop in December to coincide with COP 16.

90. During the reporting period, IT services have been reorganized and consolidated. Newly established engagement agreements with the different secretariat programmes set the expectations in regard to system development, deployments and operation. New functions for secretariat-wide IT projects like the collaboration/SharePoint platform and the consolidated Service Desk platform were created and the projects initiated.

91. The programme maintained a dependable and secure ICT network infrastructure and services that enabled the secretariat to meet the requirements of the intergovernmental process. ICT services were provided to 116 workshops and smaller meetings. Hosting services were provided to mandated systems such as the UNFCCC GHG database, the compilation and accounting database, the GHG data interface, the CDM and JI information systems and the CDM registry, as well as to secretariat-wide systems such as the content management system for the UNFCCC website and the records management system.

92. The programme initiated a physical records management project and continued to support the Legal Affairs programme and the Reporting, Data and Analysis programme in capturing records in the FileNet electronics records system.

## **I. Administrative Services**

93. The Administrative Services (AS) programme provides central support services in the management of the human and financial resources of the secretariat, the development of administrative policies and guidelines, procurement, premises management and travel arrangements. It also liaises with UNOG and the United Nations Secretariat on administrative issues and with the Government of Germany on matters relating to the implementation of the Headquarters Agreement.

94. During the reporting period, AS continued facilitating the mobilization, allocation and prudent utilization of financial resources. The programme supported the Executive Secretary in preparing and presenting a budget proposal for the biennium 2012–2013 and in undertaking fund-raising activities, including for sessional meetings.

95. The programme provided key services in the management of all UNFCCC trust funds, facilitated the work of the United Nations Board of Auditors in the audit of the secretariat's financial statements for the biennium ended 31 December 2009 as well as the interim audit for the year 2010. The secretariat continued implementing audit recommendations.

96. AS, in conjunction with the United Nations Office of Internal Oversight Services, participated in the conduct of an internal audit in the area of recruitment and staff entitlements and facilitated the follow-up of internal audits that were undertaken in 2008 and 2009.

97. The programme initiated overhauling administrative and financial processes to bring them into line with the International Public Sector Accounting Standards in the course of the next few years.

98. Many activities were undertaken to facilitate the timely recruitment and retention of staff who meet the highest standards of efficiency, competence and integrity. The programme initiated a review of the secretariat's staff selection system and the development of a staffing strategy. The secretariat-wide implementation of an electronic performance appraisal system and the provision of related training facilitate performance management. Several activities in the area of human resources management are being automatized to improve workflows and enhance efficiency.

99. The programme made travel arrangements for almost 4,000 nominated participants and experts who attended a total of 223 workshops, meetings and sessions, an increase of 84 and 43 per cent, respectively, compared with the period from January 2008 to June 2009. The ongoing traveller satisfaction survey shows that over 94 per cent of participants rated the travel services as "good" or "excellent", while only 2.2 per cent were not satisfied.

100. AS continued to procure goods and services in a timely manner and in accordance with United Nations rules and regulations as well as with UNFCCC policies. Almost 1,000 purchase orders worth USD 24 million were placed during the reporting period, which is 35 per cent and 20 per cent, respectively, more than during January 2008 to June 2009.

101. While the Host Government is preparing to provide additional space to accommodate the secretariat's growing workforce as reported to the SBI at its thirty-fourth session, AS continued optimizing the use of the existing premises and relocating secretariat offices to the United Nations Campus in Bonn.

#### **IV. Additional information**

102. Information on the secretariat's human resources is contained in annex I. Annex II contains information on income and expenditure for activities funded under the Trust Fund for Supplementary Activities. Annex III contains performance data for all objectives of the secretariat's programmes.

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

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

<sup>a</sup> 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			<b>1</b>
D-2	1	1			2	<b>4</b>
D-1	1	2		1	4	<b>8</b>
P-5	6	3	2	2	5	<b>18</b>
P-4	4	8	6	7	22	<b>47</b>
P-3	6	33	8	6	34	<b>87</b>
P-2	4	27	13	7	18	<b>69</b>
P-1					1	<b>1</b>
<b>Total</b>	<b>22</b>	<b>74</b>	<b>30</b>	<b>23</b>	<b>86</b>	<b>235</b>
Percentage of total	9.3	31.5	12.8	9.8	36.6	<b>100.0</b>

*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	
<b>Total</b>	<b>114</b>	<b>121</b>
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	
<b>Total</b>	<b>141</b>	<b>94</b>
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
<b>Total</b>	<b>723.6</b>	<b>5 081 447</b>

## 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)<sup>d</sup></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)<sup>d</sup></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)<sup>a</sup></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	–
<b>Total</b>	<b>38 940 129</b>	<b>30 764 179</b>	<b>8 175 950</b>

<sup>a</sup> 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,<sup>a</sup> 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

Number and duration of visits to the UNFCCC website and the volume of content downloads	A total of 15.6 million users accessed the website < <a href="http://unfccc.int">http://unfccc.int</a> > 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
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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>
Competent and motivated staff representing a broad geographic spectrum and gender balance are recruited, trained and retained	Percentage of staff from non-Annex I Parties and women in posts in 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
Internal processes function smoothly and staff are satisfied with their work and with management	Level of staff satisfaction with their job, management and development opportunities	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
The secretariat has the required financial resources to implement mandates given to it by the COP and the CMP	Percentage of mandated outputs that cannot be delivered as a result of insufficient funding	Sufficient funding was available for the delivery of more than 99 per cent of the mandated outputs
	Contribution rate to core budget (compared with the approved budget)	Seventy-nine per cent of the indicative contributions for the biennium 2010–2011 had been received by the secretariat by 30 June 2011
	Rate of contribution to the Trust Fund for Supplementary Activities	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
Financial resources are managed in a sound manner and are utilized to maximize the benefit to the UNFCCC process	Proportion of actual expenditure compared with the approved budget and available supplementary funds	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

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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 21

**Objectives, expected results,<sup>a</sup> 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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 22

**Objectives, expected results,<sup>a</sup> 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<sup>b</sup></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<sup>c</sup></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	Proportion of mandated reports made available	Three reports were mandated to be delivered during the reporting period and were made available
	Amount of training materials and CD-ROMs distributed to Parties	Specialized software and related templates for activity data collection were distributed to 360 experts
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	Two reports were mandated to be delivered during the reporting period. Both were made available on time
	Proportion of mandated outputs delivered 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	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
	Number of LEG meetings held	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

- <sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.
- <sup>b</sup> 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.
- <sup>c</sup> 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,<sup>a</sup> 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	Proportion of mandated outputs delivered and delivered on time	<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>
	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>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&amp;D; disseminating the UNFCCC publication <i>Preparing and Presenting Proposals: A Guidebook on Preparing Technology Transfer Projects for Financing</i>;<sup>b</sup> and making technology needs assessment reports available on the technology information clearing house (TT:CLEAR)</p>

	<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</p>	<p>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</p>
<p>The work of the Expert Group on Technology Transfer (EGTT) is adequately supported</p>	<p>Proportion of mandated outputs delivered and delivered on time</p> <p>Level of satisfaction of EGTT members with the secretariat's support of the work of the EGTT</p>	<p>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</p> <p>Members of the EGTT expressed their satisfaction with the quality of support provided by the secretariat in facilitating the work of the EGTT</p>
<p>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</p>	<p>Proportion of mandated outputs delivered and delivered on time</p> <p>Number of visits to TT:CLEAR</p> <p>Information contained in TT:CLEAR is updated at least before each session of the subsidiary bodies</p> <p>Number of registered and unregistered users of TT:CLEAR in different world regions</p> <p>Level of satisfaction of registered and unregistered users with TT:CLEAR</p>	<p>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</p> <p>TT:CLEAR received a total of 295,949 visits during the period from 1 January 2010 to 30 June 2011</p> <p>Information contained in TT:CLEAR was updated prior to the thirty-second, thirty-third and thirty-fourth sessions of the subsidiary bodies</p> <p>A total of 1,091 users were registered with TT:CLEAR as at 30 June 2011</p> <p>A feedback mechanism was established for TT:CLEAR in April 2011. The messages received through this feedback mechanism include suggestions for improvement</p>

**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. <sup>c</sup> 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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

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

<sup>c</sup> <[http://unfccc.int/methods\\_science/redd/items/4531.php](http://unfccc.int/methods_science/redd/items/4531.php)>.

Table 24

**Objectives, expected results,<sup>a</sup> 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 <sup>b</sup>
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 <sup>b</sup>
	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 <sup>b</sup>
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

<p>Proportion of cases prepared for consideration by the CDM Executive Board and its Accreditation Panel fully in accordance with the accreditation procedures</p>	<p>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</p>
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**Objective 2: To support and optimize the operation of joint implementation**

*Expected result(s) under the Kyoto Protocol*

*Performance indicator(s)*

*Performance data*

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<sup>b</sup> 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”



Proportion of submissions and calls for input that are processed fully in accordance with established modalities and procedures	<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.<sup>c</sup> 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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

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

<sup>c</sup> FCCC/SBI/2011/2/Add.1, page 27.

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

Table 25

**Objectives, expected results,<sup>a</sup> 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

<p>The Compliance Committee takes decisions based on the best available information</p>	<p>Level of satisfaction expressed by members of the Compliance Committee and alternate members with documents prepared by the secretariat</p>	<p>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>
<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>

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Table 26

**Objectives, expected results,<sup>a</sup> 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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 27

**Objectives, expected results,<sup>a</sup> 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 &lt;http://unfccc.int&gt; 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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 28

**Objectives, expected results,<sup>a</sup> 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

<sup>a</sup> Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.