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### **Subsidiary Body for Implementation**

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Item 21(a) of the provisional agenda Administrative, financial and institutional matters Budget performance for the biennium 2016–2017

# Budget performance for the biennium 2016–2017 as at 30 June 2017

**Note by the Executive Secretary** 

### **Summary**

The budget performance for the first 18 months of the biennium 2016–2017 of the trust funds administered by the secretariat is presented in this report. The aim is to inform Parties of the results achieved and income and expenditure as at 30 June 2017. In the period under consideration, programme highlights include: organizing, in parallel with the sessions of the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, the first part of the first session of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement, following the entry into force of the Paris Agreement in November 2016; providing strategic advice as well as technical and logistical support to negotiations and 129 meetings and/or workshops of constituted bodies, technical experts and regional groups; coordinating the international assessment and review process for Parties included in Annex I to the Convention; and supporting the work of all constituted bodies. As at 30 June 2017 the secretariat had received EUR 42.6 million, equivalent to 80.1 per cent of the total core budget indicative contributions expected for the 2016-2017 biennium. The high level of outstanding contributions to the core budget for the current and previous bienniums poses a risk to the effective implementation of the UNFCCC work programme. Voluntary contributions received amounted to USD 3.2 million under the Trust Fund for Participation in the UNFCCC Process and USD 21.6 million under the Trust Fund for Supplementary Activities. Core budget expenditure was at 72.6 per cent and USD 22.1 million had been spent on various projects under the Trust Fund for Supplementary Activities. 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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## FCCC/SBI/2017/13

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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 decisions 22/CP.21 and 12/CMP.11, approved the programme budget for the biennium 2016–2017. The COP requested the Executive Secretary to report on income and budget performance and to propose any adjustments that might be needed in the programme budget.

### B. Scope of the note

2. This document reports the income and budget performance of the trust funds administered by the secretariat as at 30 June 2017. It should be read in conjunction with document FCCC/SBI/2015/3/Add.1, which contains the 2016–2017 biennial work programme of the secretariat, and document FCCC/SBI/2017/INF.14, which, when published, will provide information on the status of contributions as at 15 October 2017. The document 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 to decide on actions that may need to be included in draft decisions on administrative and financial matters to be recommended for adoption at COP 23 and CMP 13.

### II. Executive summary

### A. Programme delivery highlights

- 4. In December 2015 the COP reached an ambitious agreement at the United Nations Climate Change Conference in Paris. With the Paris Agreement entering into force on 4 November 2016, the secretariat arranged for the first part of the first session of the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) to take place in November 2016, in conjunction with the sessions of the COP, the CMP, the SBI, the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Ad Hoc Working Group on the Paris Agreement (APA). During the reporting period, the secretariat supported Parties' efforts to accelerate work under the APA to ensure the conclusion of the Paris Agreement work programme as soon as possible, and provided continued support for the implementation of the Convention and the Kyoto Protocol.
- 5. In addition, the secretariat provided strategic guidance as well as technical and logistical support to negotiations and 129 meetings and/or workshops of constituted bodies, technical experts and regional groups. In the same period, the secretariat organized nine sessions of the subsidiary bodies. Moreover, the secretariat prepared and made available a total of 682 official and 212 informal documents in the reporting period.
- 6. The secretariat coordinated the measurement, reporting and verification (MRV) processes, such as: the international assessment and review (IAR) process for Parties included in Annex I to the Convention (Annex I Parties), including technical reviews of 43 biennial reports (BRs) and the related multilateral assessment; the international consultation and analysis (ICA) process for Parties not included in Annex I to the Convention (non-Annex I Parties), including the technical analysis of 22 biennial update reports (BURs) and the facilitative sharing of views (FSV) for 30 Parties; the reviews of greenhouse gas (GHG) inventories from Annex I Parties submitted in 2015 (37 Parties) and 2016 (43 Parties); and

the reports to facilitate the calculation of the assigned amount for the second commitment period of the Kyoto Protocol (36 Parties).

- 7. Support was provided for the implementation of the Cancun Adaptation Framework, the work of the Adaptation Committee, the work related to approaches to address loss and damage associated with climate change impacts in developing countries, the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts and the formulation and implementation of national adaptation plans (NAPs).
- 8. The secretariat organized the first meeting of the Paris Committee on Capacity-building (PCCB), which was held in May 2017, including a technical exchange on capacity-building activities for the implementation of nationally determined contributions (NDCs) in the context of the Paris Agreement.
- 9. The secretariat continued to strengthen its collaboration with the Executive Office of the Secretary-General and key actors in the United Nations system as well as a broad range of other stakeholders, with a view to ensuring a coherent and comprehensive alignment of the implementation of the Paris Agreement and the 2030 Agenda for Sustainable Development. Over 50 partnerships were concluded in the reporting period with United Nations organizations, non-governmental organizations and other stakeholders contributing to the implementation of the Convention and its outcomes.
- 10. During the reporting period, the secretariat presented a proposed budget for the biennium 2018–2019 for consideration at SBI 46 and agreement among Parties. The budget is built upon a prioritization of activities, the efficient organization of work and the deployment of limited resources to achieve maximum impact.

### **B.** Financial summary

- 11. As at 30 June 2017, EUR 42.6 million, or 80.1 per cent of the total core budget indicative contributions expected for the biennium 2016–2017, had been received. The high level of outstanding contributions to the core budget for the current and previous bienniums poses a risk to the effective implementation of the UNFCCC work programme.
- 12. Voluntary contributions received amounted to USD 3.2 million under the Trust Fund for Participation in the UNFCCC Process and USD 21.6 million under the Trust Fund for Supplementary Activities. Pledges and outstanding payments amounted to USD 3.9 million as at 30 June 2017.
- 13. EUR 35.1 million, or 72.6 per cent of the 2016–2017 core budget appropriations, had been spent as at 30 June 2017. USD 22.1 million had been spent on various projects under the Trust Fund for Supplementary Activities and USD 3.74 million had been spent under the Trust Fund for Participation in the UNFCCC Process to cover the participation of representatives of eligible Parties in sessional meetings.

### C. Management issues

- 14. The secretariat is taking all measures within its capacity to increase the rate of collection of outstanding indicative contributions from Parties. The financial risk posed by the non-payment of indicative contributions remains a matter of serious concern to the secretariat in view of the potential negative impact on the sustainability and capacity of the secretariat to deliver the UNFCCC work programme.
- 15. The expenditure for programme support costs exceeded the income by USD 5.8 million. The deficit was covered by savings from previous bienniums. The secretariat is undertaking a review of the Administrative Services (AS) programme to bring costs in line with available income. The review seeks to streamline processes and achieve efficiencies without negatively affecting programme delivery.

### III. Income and expenditure report

- 16. The income and expenditure amounts included in this document are provisional and based on the available data in the accounting system at the time the document was prepared.
- 17. Owing to rounding, numbers presented throughout this document may not add up precisely to the totals specified.

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

18. The COP and the CMP, by the decisions referred to in paragraph 1 above, approved a total budget of EUR 54.6 million for the biennium 2016–2017 (see table 1).

Table 1
Approved core programme budget and income for the biennium 2016–2017

	2016 (EUR)	2017 (EUR)	Total (EUR)
Programme expenditures	24 200 679	24 197 867	48 398 546
Programme support costs	3 146 088	3 145 723	6 291 811
Adjustment to the working capital reserve	(41 609)	(264)	(41 873)
Total approved core programme budget	27 305 158	27 343 326	54 648 484
Indicative contributions	26 538 220	26 576 388	53 114 608
Contributions from the Host Government	766 938	766 938	1 533 876
Total income	27 305 158	27 343 326	54 648 484

- 19. Table 2 shows the income to the Trust Fund for the Core Budget of the UNFCCC received for 2016–2017 and the expenditures incurred during the first 18 months of the biennium. The income received for 2016–2017 amounts to EUR 44.1 million. This consists of EUR 41.1 million from indicative contributions received from Parties in 2016–2017, contributions received in prior bienniums for the current biennium of EUR 1.5 million, voluntary contributions from the Host Government of EUR 1.5 million and EUR 41,006 in miscellaneous income.
- 20. As at 30 June 2017, of the 197 Parties to the Convention, and of the 192 Parties to the Kyoto Protocol, 132 had not yet made their contributions for 2017, amounting to EUR 7.5 million or 27.3 per cent of the 2017 approved budget.

Table 2 Status of the core budget as at 30 June 2017

	2016–2017 (EUR)
Contributions received for 2016–2017 to the Convention <sup>a, b</sup>	30 902 534
Contributions received for 2016–2017 to the Kyoto Protocol <sup>a, b</sup>	11 652 085
Voluntary contributions from the Host Government	1 533 876
Miscellaneous income <sup>b</sup>	41 006
Total income	44 129 501
Expenditure	
Expenditure	35 140 625
Programme support costs	3 121 029

The amounts for the Trust Fund for the Core Budget of the UNFCCC, the Trust Fund for the International Transaction Log and the Trust Fund for the Special Annual Contribution from the Government of Germany are presented in EUR. The amounts for the Trust Fund for Participation in the UNFCCC Process, the Trust Fund for Supplementary Activities, the Trust Fund for the Clean Development Mechanism and the special account for programme support costs are presented in USD.

	2016–2017 (EUR)
Total expenditure	38 261 654
Balance	5 867 847

<sup>&</sup>lt;sup>a</sup> Includes contributions received in previous bienniums for 2016–2017.

21. Table 3 shows the approved core budget for 2016–2017 by programme, as well as the programmes' expenditures for the first 18 months of the biennium. As at 30 June 2017, expenditure amounted to EUR 35.1 million, or 72.6 per cent of the approved core budget for 2016–2017.

Table 3
Approved 2016–2017 core budget and expenditure by programme as at 30 June 2017

	Budget (EUR)	Expenditure (EUR)
A. Programme		
Executive Direction and Management	4 461 724	3 438 386
Mitigation, Data and Analysis	15 223 376	11 010 295
Finance, Technology and Capacity-building	5 464 887	3 619 942
Adaptation	4 671 964	3 566 438
Sustainable Development Mechanisms	776 240	583 160
Legal Affairs	2 608 910	1 563 943
Conference Affairs Services	3 324 279	2 486 406
Communications and Outreach	3 069 899	2 477 628
Information and Communication Technology <sup>a</sup>	5 565 551	4 009 674
B. Secretariat-wide operating costs <sup>b</sup>	3 231 716	2 384 754
Total <sup>c</sup>	48 398 546	35 140 626

<sup>&</sup>lt;sup>a</sup> The Information and Communication Technology programme was called the Information and Technology Services programme until its restructuring on 1 April 2016.

22. Table 4 presents the approved core budget for 2016–2017 and expenditure as at 30 June 2017 by object of expenditure. "Staff costs" include salaries and common staff costs, salaries of short-term staff, temporary assistance and overtime. External expertise, both individual and institutional, is included under "Consultants". "Travel" includes travel of staff, experts and government representatives on official missions. Payments to suppliers for goods and services and other running costs such as telecommunication charges are combined under "General operating expenses".

Table 4
Approved 2016–2017 core budget and expenditure by object of expenditure as at 30 June 2017

Object of expenditure	Expenditure (EUR)
Staff costs	27 809 667
Consultants	441 144
Travel	1 710 971
Training	272 724
General operating expenses	3 292 557
Supplies and materials/equipment	380 858
Contributions to common services	787 251

 $<sup>^</sup>b$  Where applicable, the exchange rate used (USD 1 = EUR 0.879) is the official United Nations exchange rate for 30 June 2017.

<sup>&</sup>lt;sup>b</sup> Secretariat-wide operating costs are managed by the Administrative Services programme.

<sup>&</sup>lt;sup>c</sup> Excludes programme support costs and adjustment to the working capital reserve.

Object of expenditure	Expenditure (EUR)
Grants and contributions	445 454
$\mathbf{Total}^a$	35 140 626

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

23. As at 30 June 2017, expenditure amounted to EUR 35.1 million. The expenditure rate for staff costs is expected to increase in the next six months, reflecting the settlement of education grants for the academic year 2016–2017.

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

- 24. 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, the CMP, the CMA and their subsidiary bodies, using voluntary contributions.
- 25. Table 5 shows the income and expenditure under the Trust Fund for Participation in the UNFCCC Process as at 30 June 2017. Voluntary contributions received by the secretariat during the reporting period amounted to USD 3.2 million. The contributions received to date, added to the balance carried over from 2014–2015, interest and miscellaneous income, result in a total of USD 6.5 million.
- 26. Expenditure incurred during the first 18 months of the biennium 2016–2017 amounted to USD 3.7 million, which covered the participation of representatives of eligible Parties in UNFCCC sessional meetings, leaving a balance of income over expenditure of USD 2.8 million, excluding the operating reserve of USD 0.5 million. This balance, together with any further voluntary contributions to this trust fund, will be used to cover the participation of representatives of eligible Parties in the United Nations Climate Change Conference to be held in November 2017 in Bonn. Voluntary contributions received in the biennium 2014–2015 amounted to USD 5.3 million as at 30 June 2015 compared with USD 3.2 million received in 2016–2017 as at 30 June 2017. Additional contributions will be required to fund the participation of representatives of eligible Parties in 2017. Parties eligible for funding that are in a position to do so have the opportunity to voluntarily refrain from seeking financial support from the Trust Fund for Participation in the UNFCCC Process. This would allow available funds to be allocated to Parties in most need of support.

Table 5
Status of the Trust Fund for Participation in the UNFCCC Process as at 30 June 2017
(United States dollars)

Total expenditure	3 743 696
Programme support costs	411 960
Expenditure	3 331 736
Expenditure	
Total income	6 524 289
Miscellaneous income and transfers <sup>a</sup>	972 618
Interest	56 102
Voluntary contributions received in 2016–2017	3 202 316
Carry-over from 2014–2015	2 293 253
Income	

Total	2 780 593
Less: operating reserve	520 886
Balance	2 259 707

<sup>&</sup>lt;sup>a</sup> Includes gains on exchange rate fluctuations and transfers from the Trust Fund for Supplementary Activities at the request of contributing Parties.

### C. Trust Fund for Supplementary Activities

- 27. Many 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.
- 28. Table 6 shows the income and expenditure under the Trust Fund for Supplementary Activities as at 30 June 2017.
- 29. Voluntary contributions amounting to USD 21.6 million were received during the reporting period. Other sources of income to the Trust Fund for Supplementary Activities include the carry-over from the biennium 2014–2015, interest income and miscellaneous income, totalling USD 43.5 million as at 30 June 2017.
- 30. Expenditure under the Trust Fund for Supplementary Activities amounted to USD 22.1 million as at 30 June 2017. The fund balance of USD 20.4 million, together with any further voluntary contributions received, will be used to finance the financial obligations and future financial costs of ongoing projects and events, as shown in table 16. These projects are undertaken in different areas of work under the Convention, the Kyoto Protocol and the Paris Agreement, such as adaptation, climate finance, reporting, supporting negotiations and technology. An amount of USD 0.6 million in cash received under the Trust Fund for Supplementary Activities is pending further instruction from the contributing Parties on its distribution.

Table 6 **Status of the Trust Fund for Supplementary Activities as at 30 June 2017**(United States dollars)

Income	
Carry-over from 2014–2015	26 624 104
Voluntary contributions received in 2016–2017	21 600 375
Joint implementation fees	-
Interest	281 408
Miscellaneous income and transfers <sup>a</sup>	(5 009 336)
Total income	43 496 551
Expenditure	
Expenditure	19 756 103
Programme support costs	2 393 613
Total expenditure	22 149 716
Total	21 346 835
Less: operating reserve	921 907
Balance	20 424 928

<sup>&</sup>lt;sup>a</sup> Includes gains on exchange rate fluctuation and transfers to other UNFCCC trust funds. A significant portion of the amount comprises transfers, at the request of Parties, from the Trust Fund for Supplementary Activities to other trust funds: USD 4.2 million to the Trust Fund for the Core

Budget of the UNFCCC and USD 972,000 to the Trust Fund for Participation in the UNFCCC Process.

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

- 31. Table 7 highlights the income and expenditure under the Trust Fund for the Clean Development Mechanism as at 30 June 2017. The total income for the biennium 2016–2017 amounted to USD 165.1 million, consisting mainly of funds carried over from the previous biennium of USD 148.5 million and clean development mechanism (CDM) fees received for the first 18 months of the current biennium of USD 14.9 million.
- 32. Expenditure as at 30 June 2017 amounted to USD 26.8 million, leaving an unspent balance of USD 138.3 million, or USD 93.3 million after accounting for the operating reserve of USD 45 million.

Table 7 **Status of the Trust Fund for the Clean Development Mechanism as at 30 June 2017**(United States dollars)

Income	
Carry-over from 2014–2015	148 526 586
Clean development mechanism fees	14 937 024
Interest	1 651 338
Refunds of fees	(10 960)
Total income	165 103 988
Expenditure	
Expenditure	23 685 994
Programme support costs	3 075 636
Total expenditure	26 761 630
Total	138 342 358
Less: operating reserve	45 000 000
Balance	93 342 358

### E. Trust Fund for the International Transaction Log

33. Table 8 shows the income to the Trust Fund for the International Transaction Log as at 30 June 2017. Income for 2016–2017 amounted to EUR 5.1 million, consisting of fees received for 2016–2017 and miscellaneous income. The operating reserve amounts to EUR 222,316.

Table 8

**Income to the Trust Fund for the International Transaction Log as at 30 June 2017** (Euros)

Income	
International transaction log fees received for 2016-2017	4 989 685
Miscellaneous income <sup>a</sup>	75 991
Total income	5 065 676

 $<sup>^{</sup>a}$  Where applicable, the exchange rate used (USD 1 = EUR~0.879) is the official United Nations exchange rate for 30 June 2017.

34. Table 9 shows the approved budget for 2016–2017 by object of expenditure as well as the expenditure under the Trust Fund for the International Transaction Log as at 30 June 2017. For detailed information on the budget performance of the international transaction log (ITL), see the annual report<sup>2</sup> of the administrator of the ITL under the Kyoto Protocol.

Table 9
Approved 2017 budget and expenditure under the Trust Fund for the International Transaction Log by object of expenditure as at 30 June 2017

Object of expenditure	Budget (EUR)	Expenditure (EUR)
Staff costs	1 567 420	1 106 580
Contractors and consultants	2 822 296	1 517 120
Expert groups	20 000	3 663
Travel of staff	40 000	19 384
General operating expenses and contributions to common services	291 000	182 079
Total <sup>a</sup>	4 740 716	2 828 826

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

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

- 35. As part of its offer to host the secretariat in Bonn, the Government of Germany makes a special annual contribution to the secretariat of EUR 1.8 million. As at 30 June 2017, the contributions for 2016–2017 had been received in full and an additional voluntary contribution of EUR 50,000 had been received in 2016. The contributions to the Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund) were used to pay for the logistical arrangements for the sessions held in Bonn during the reporting period.
- 36. Table 10 shows the income and expenditure under the Bonn Fund in 2016–2017 as at 30 June 2017.

Table 10 **Status of the Bonn Fund as at 30 June 2017**(Euros)

	2016–2017(EUR)
Income	
Contributions	3 629 044
Miscellaneous income <sup>a</sup>	86 802
Total income	3 715 846
Expenditure	
Conference support	2 437 413
Programme support costs	201 251
Total expenditure	2 638 664
Total	1 077 182
Less: operating reserve	268 428
Balance	808 754

 $<sup>^{</sup>a}$  Where applicable, the exchange rate used (USD 1 = EUR 0.879) is the official United Nations exchange rate for 30 June 2017.

<sup>&</sup>lt;sup>2</sup> FCCC/SBI/2017/INF.11.

### G. Programme support costs

- 37. In accordance with the financial procedures of the United Nations, a 13 per cent overhead is charged on the actual expenditure of all funds managed by the UNFCCC. The resulting income is used to cover administrative services needed to manage the secretariat and its programmes. Most of these services are provided within the secretariat by the AS programme. Some specific services, such as audit, payroll, investment, treasury and services related to the administration of justice, are provided by the United Nations Office at Geneva and the United Nations Headquarters in New York on a reimbursable basis.
- 38. Table 11 shows the status of the programme support costs. As at 30 June 2017, income consisted of programme support cost income of USD 9.1 million and other income of USD 164,273.
- 39. During the reporting period, USD 15.04 million was spent to cover the staff and non-staff costs of the secretariat and the charges for services rendered by the United Nations Office at Geneva and the United Nations Headquarters in New York. The negative balance for programme support costs amounts to USD 5.8 million, which was covered from savings from previous bienniums.
- 40. The secretariat is undertaking a review of the AS programme to bring costs in line with available income. The review seeks to streamline processes and achieve efficiencies without negatively affecting programme delivery.

Table 11

Status of the special account for programme support costs as at 30 June 2017
(United States dollars)

10 805 735 3 395 102 842 949 15 043 786
3 395 102
10 805 735
9 259 864
164 273
9 095 591
2016–2017

## IV. Programme delivery

- 41. Programme delivery is based on the work programme of the secretariat for the biennium 2016–2017 and on mandates given to the secretariat after the presentation of the work programme. This chapter should therefore be read in conjunction with document FCCC/SBI/2015/3/Add.1, which outlines the work programme.
- 42. 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.

### A. Executive Direction and Management

43. The Executive Direction and Management (EDM) programme provides strategic guidance, ensures overall coherence of the secretariat's work and maintains strategic

cooperation and partnerships with other organizations, including within the United Nations system, and key stakeholders in the climate change process.

- In the reporting period, EDM focused its attention on providing support to Parties in enabling the swift operationalization of the Paris Agreement, following its formal entry into force on 4 November 2016. As part of this effort, EDM coordinated secretariat support for the following:
- CMA 1.1, held in Marrakech from 7 to 18 November 2016 in conjunction (a) with COP 22, CMP 12, SBI 45, SBSTA 45 and APA 1.2;
  - SBI 46, SBSTA 46 and APA 1.3, held in Bonn from 8 to 18 May 2017;
- Preparations for COP 23, CMP 13, CMA 1.2, SBI 47, SBSTA 47 and APA (c) 1.4, to be held in Bonn from 6 to 17 November 2017.
- With the United Nations Climate Change Conference in November 2017 being held at the seat of the secretariat, without the standard operational support provided by a host country, EDM has made special provisions to ensure optimal coordination of preparations with the Government of Germany, the authorities of the City of Bonn and the incoming Fijian COP Presidency.
- In terms of progress in relation to the work programme resulting from relevant requests contained in decision 1/CP.21, EDM continued to coordinate the provision of secretariat substantive support to Parties and related regular updates through the progress tracker,3 as requested by the SBI.4
- In the reporting period, EDM also continued to strengthen its collaboration with the Executive Office of the Secretary-General and key actors in the United Nations system, with a view to ensuring a coherent and comprehensive alignment of the implementation of the Paris Agreement and the 2030 Agenda for Sustainable Development. As part of that effort, the Executive Secretary coordinates relevant secretariat work with that of UN Environment (UNEP), the United Nations Development Programme (UNDP) and other partners in the United Nations system in the context of the United Nations System Strategic Approach on Climate Change Action, adopted by the United Nations System Chief Executives Board for Coordination, as well as through other United Nations system coordination mechanisms.5
- In terms of organizational development, EDM has focused on efforts to further streamline secretariat operations, including through continued implementation of the results of the 2015 streamlining of its information and communication technology operations, as well as the launch of a review, undertaken in 2016-2017, of the effectiveness and efficiency of activities funded by programme support costs. The outcomes of this review are expected to be implemented in the biennium 2018–2019.

#### В. Mitigation, Data and Analysis

- The Mitigation, Data and Analysis (MDA) programme facilitates MRV processes under the Convention (in the context of national communications (NCs), BRs or BURs, and GHG inventories), including training for experts, assistance to non-Annex I Parties and support for intergovernmental negotiations. In the reporting period, MDA:
- (a) Coordinated the IAR process for Annex I Parties, including technical reviews of 43 BRs and their multilateral assessment; and the ICA process for non-Annex I Parties, including the technical analysis of 22 BURs and the FSV for 30 Parties (after the launch of the first-ever FSV at SBI 44);

http://unfccc.int/files/paris agreement/application/pdf/pa progress tracker 200617.pdf.

FCCC/SBI/2017/7, paragraph 113.

https://www.unsceb.org/CEBPublicFiles/UN%20system%20strategic%20approach%20to%20 climate%20change%20action-FINAL-18%20April%202017.pdf.

- (b) Coordinated the technical assessment of 20 submissions from developing countries on proposed REDD-plus<sup>6</sup> forest reference emission levels and/or forest reference levels, and the technical analysis of REDD-plus results submitted in three BURs;
- (c) Coordinated the reviews of GHG inventories from Annex I Parties submitted in 2015 (37 Parties) and 2016 (43 Parties), the reports upon expiration of the additional period for fulfilling commitments for the first commitment period of the Kyoto Protocol (37 Parties), and the reports to facilitate the calculation of the assigned amount for the second commitment period of the Kyoto Protocol (36 Parties); and started preparations for the reviews of GHG inventories submitted in 2017 (22 Parties);
- (d) Maintained and enhanced MRV-related training for experts engaged in the implementation of IAR, ICA and the second commitment period of the Kyoto Protocol;
- (e) Delivered two rounds of the pre-2020 technical examination process on mitigation, supported by technical papers, one summary for policymakers and a portal compiling the pre-2020 policies and actions of Parties;
- (f) Organized capacity-building workshops on nationally appropriate mitigation actions (NAMAs) and enhanced functionalities of the NAMA registry;
- (g) Supported work by the SBSTA on agriculture and land use, land-use change and forestry, and supported developing country Parties in implementing the Warsaw Framework for REDD-plus;
- (h) Supported the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), including by providing a platform (CGE eNetwork) for experts involved in the preparation of NCs;
- (i) Organized capacity-building workshops and developed training materials for non-Annex I Parties on NCs, BURs and the Intergovernmental Panel on Climate Change (IPCC) 2006 IPCC Guidelines for National Greenhouse Gas Inventories;
- (j) Organized the ad hoc technical expert group meeting and supported the work of the improved forum on the impact of the implementation of response measures, including through the preparation of technical papers and the organization of a workshop on economic diversification and just transition of the workforce and the creation of decent work and quality jobs in the context of sustainable development.
- 50. Within the framework of the Paris Agreement, MDA:
- (a) Provided support to the negotiations under the SBI, the SBSTA and the APA, in particular on NDCs, transparency, the global stocktake, the NDC registry and the forum on the impact of the implementation of response measures;
- (b) Updated the synthesis report on the aggregate effect of the intended nationally determined contributions (INDCs),<sup>7</sup> and other papers, such as the compilation and synthesis report for developed country Parties:<sup>8</sup>
- (c) Made available and operated an interim version of the NDC registry and enhanced its functionality and design on the basis of the feedback received;
- (d) Assisted countries with NDC-related requirements, including with respect to NDC/INDC updates and long-term low-emission development strategies;

In decision 1/CP.16, paragraph 70, the COP encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks.

FCCC/CP/2016/2.

See examples at <a href="http://unfccc.int/national reports/national communications and biennial reports/submissions/items/2736.php">http://unfccc.int/national reports/national communications and biennial reports/submissions/items/2736.php</a>.

- (e) Cooperated with UNDP and other organizations to conduct five regional NDC dialogues, with United Nations and bilateral agencies to set up the NDC Partnership, and with the Food and Agriculture Organization of the United Nations, the International Civil Aviation Organization, the International Maritime Organization, UNEP and other United Nations organizations in advancing the implementation of the Convention in relevant areas;
- (f) Supported the United Nations Secretary-General's Climate Change Support Team in preparing a report on South-South cooperation and assisting developing countries in enhancing their mutual cooperation.

### C. Finance, Technology and Capacity-building

- 51. The Finance, Technology and Capacity-building programme provides support to Parties, especially non-Annex I Parties, in the implementation of the Convention, the Kyoto Protocol and the Paris Agreement, including in international negotiations. The programme also coordinates the secretariat's support for the SBSTA.
- 52. In the reporting period, the programme:
- (a) Organized four meetings of the Standing Committee on Finance (SCF) and facilitated the implementation of its workplan, including organizing the forum of the SCF on financial instruments that address the risk associated with loss and damage, producing the 2016 biennial assessment and overview of climate finance flows, drafting recommendations to the COP on the guidance to the Global Environment Facility and the Green Climate Fund, and organizing two in-session workshops on long-term finance focusing on adaptation finance;
- (b) Supported the work of the Technology Executive Committee (TEC) by organizing its three meetings and facilitating the implementation of its workplan, including:
  - (i) Organizing two thematic dialogues, an in-session workshop on linkages between the Technology Mechanism and the Financial Mechanism, and a special event on innovation and climate change, and facilitating the engagement of observer organizations in its work;
  - (ii) Preparing the *Guidance for Preparing a Technology Action Plan*<sup>9</sup> and a methodology for monitoring the implementation of technology action plans;
- (c) Collaborated with UNEP as host of the Climate Technology Centre and Network (CTCN), including through participation in the meetings of the CTCN Advisory Board and regional forums for national designated entities;
- (d) Commissioned an independent review of the effective implementation of the CTCN;
- (e) Updated and maintained the technology information clearing house TT:CLEAR;
- (f) Organized the first meeting of the PCCB, held in Bonn in May 2017, including a one-day technical exchange on capacity-building activities for the implementation of NDCs in the context of the Paris Agreement. The programme also organized the 5<sup>th</sup> and 6<sup>th</sup> meetings of the Durban Forum on capacity-building, focusing on enhancing capacities for implementing the Paris Agreement and on adaptation in the context of NAPs and NDCs, respectively;
- (g) Supported the implementation of tasks arising from decision 1/CP.21 and the Paris Agreement, such as consideration of the Adaptation Fund, the transparency framework and the global stocktake under the APA, accounting of public financial

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<sup>9</sup> See

resources and elaboration of the technology framework (Article 10 of the Paris Agreement) under the SBSTA, and elaborating the scope and modalities for the periodic assessment of the Technology Mechanism in supporting the implementation of the Paris Agreement under the SBI.

### D. Adaptation

- 53. The Adaptation programme supports Parties, in particular developing country Parties, in assessing, developing and implementing adaptation plans, policies and actions, and in improving the scientific basis for international climate policy and action. In the reporting period, the programme facilitated:
  - (a) The implementation of the Cancun Adaptation Framework, by supporting:
  - (i) The work of the Adaptation Committee; 10
  - (ii) The work related to 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, including supporting the work of the Executive Committee of the Warsaw International Mechanism;<sup>11</sup>
  - (iii) The process to formulate and implement NAPs; 12
  - (b) The work of the Least Developed Countries Expert Group (LEG);<sup>13</sup>
- (c) The implementation of activities under the Nairobi work programme on impacts, vulnerability and adaptation to climate change (NWP);<sup>14</sup>
- (d) The preparations for the next periodic review of the adequacy of the long-term global goal and the overall progress made towards reaching this goal.<sup>15</sup>
- 54. Furthermore, the Adaptation programme supported the implementation of adaptation-related requests stemming from decision 1/CP.21 and the Paris Agreement, including by:
- Supporting the work of the APA on developing modalities and procedures for adaptation communications and for adaptation aspects of the transparency framework and the global stocktake;
- (b) Responding to adaptation-related tasks in the context of INDCs/NDCs, including the preparation of the adaptation section of the synthesis report on the aggregate effect of the INDCs;
  - (c) Supporting the technical examination process on adaptation. <sup>16</sup>
- 55. Finally, the Adaptation programme supported cross-cutting work, including by:
  - (a) Facilitating and supporting preparatory work for the global stocktake;
- (b) Implementing the operationalization of the local communities and indigenous peoples platform;
- (c) Coordinating the secretariat's input to the Sustainable Development Goals process, in its role as the custodian agency for climate indicators;
- (d) Facilitating the flow of information on climate research, the enhancement of systematic observation and cooperation with the IPCC.

<sup>&</sup>lt;sup>10</sup> See <a href="http://unfccc.int/6053">http://unfccc.int/6053</a>.

See http://unfccc.int/6056.

<sup>&</sup>lt;sup>12</sup> See <a href="http://unfccc.int/6057">http://unfccc.int/6057</a>.

<sup>13</sup> See <a href="http://unfccc.int/4727">http://unfccc.int/4727</a>.

<sup>14</sup> See http://unfccc.int/9201.

<sup>15</sup> See http://unfccc.int/6998.

<sup>&</sup>lt;sup>16</sup> See <a href="http://unfccc.int/9542">http://unfccc.int/9542</a> and <a href="http://tep-a.org">http://tep-a.org</a>.

### E. Sustainable Development Mechanisms

- 56. In the reporting period, the Sustainable Development Mechanisms (SDM) programme successfully organized and supported the work of seven meetings of the CDM Executive Board and 12 meetings of its panels and working groups. The programme also organized three meetings of the Joint Implementation Supervisory Committee (JISC). The annual reports<sup>17</sup> of these two regulatory bodies to CMP 12 highlight the range of issues covered at the meetings during 2016. SDM provided the CDM Executive Board and the JISC all deliverables as per the approved management plans and all activities and projects were delivered within the budgetary estimates as approved by the CDM Executive Board and the JISC.
- 57. SDM supported the CDM Executive Board in its work related to:
- (a) Registering 85 projects and programmes of activities (PoAs) and issuing 203,576,088 certified emission reductions (CERs) on the basis of the processing of 779 requests for issuance. The CDM Executive Board requested the secretariat to prioritize processing of registration and issuance submissions to decrease the waiting time for commencement. Suitable internal measures were taken by the programme and the waiting time was reduced to two weeks by mid-October 2016;
- (b) Merging the Methodologies Panel and the Small-Scale Working Group and appointing new members of panels;
- (c) Approving methodologies for improving electricity transmission and distribution in grids, expanding the biodiesel methodology to include biofuels, and solar photovoltaic electrical energy for aircrafts' at-gate operations at airports;
- (d) Approving the simplified regulatory documents and adopting the revised CDM project standard, the CDM validation and verification standard and the CDM project cycle procedure as well as stand-alone standards for PoAs;
- (e) Preparing a social media campaign for the voluntary cancellation platform. A total of 912 cancellations were completed during the reporting period and 115,962 CERs were cancelled. Approximately 70 per cent of the cancellations that were completed originated from private users and the rest from companies and organizations.
- 58. In view of the growing trend of accumulating CERs in the pending account and pending share of proceeds (SOP) payment, the CDM Executive Board agreed to collect the SOP prior to commencing the completeness check. It also agreed to allow partial payment of the SOP for issuance of a corresponding portion of CERs.
- 59. The programme supported the CDM Executive Board in its efforts to leverage the benefits of the CDM through the five Regional Collaboration Centres in Africa, Asia and Latin America and the Caribbean, which work closely with designated national authorities. This included, inter alia, helping to move projects along the CDM regulatory process, through capacity-building and provision of technical expertise, and supporting countries in preparing standardized baselines.
- 60. The programme continued to support the international negotiations under Article 6 of the Paris Agreement, the revision of the modalities and procedures of the CDM and the JI guidance, and the Climate Neutral Now initiative for voluntarily reducing emissions on the basis of the principle of measure, reduce and offset the balance.
- 61. SDM took the lead in supporting the high-level Climate Champions while engaging with Parties and non-Party stakeholders to launch and implement the Marrakech Partnership for Global Climate Action for catalysing and supporting climate action in the 2017–2020 period, giving effect to the existing arrangements as agreed by Parties at COP 21.

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<sup>&</sup>lt;sup>17</sup> FCCC/KP/CMP/2016/4 and FCCC/KP/CMP/2016/5.

### F. Legal Affairs

- 62. In the reporting period, the Legal Affairs (LA) programme provided authoritative and timely legal advice and support on matters relating to the implementation of the Convention, the Kyoto Protocol and the Paris Agreement, as well as on the administration and operations of the secretariat and the UNFCCC process. These were provided to the Executive Secretary, the Presidency of the COP, the CMP and the CMA, the chairs and co-chairs of subsidiary and constituted bodies, Parties and secretariat programmes.
- 63. LA provided up-to-date information on the status of ratification and entry into force of the Paris Agreement to Parties and the public. Legal advice and information were also provided by LA to Parties on the legal and procedural requirements for the entry into force of the Paris Agreement and the convening of the first session of the CMA. Further to the advice and support provided by LA, at CMA 1.1 Parties adopted procedural arrangements for the completion of the work programme under the Paris Agreement in the light of the rapid entry into force of the Paris Agreement in 2016.
- 64. LA provided legal advice and support on procedural and substantive aspects of the work of the governing, subsidiary and constituted bodies to the COP Presidencies, the chairs and co-chairs of those bodies and Parties. It also directly supported the consideration of various items on their respective agendas, including providing legal advice to the negotiations relating to the Paris Agreement work programme and lead support on APA agenda item 8.
- 65. Legal advice and support were provided by LA to the Adaptation Committee, the CDM Executive Board, the CGE, the JISC, the LEG, the Executive Committee of the Warsaw International Mechanism, the SCF and the TEC. LA also supported the establishment and the first meeting of the PCCB. Advice, support and information were provided to Parties and regional groups and constituencies on the UNFCCC electoral process. Further, LA provided legal support and advice on the implementation of reporting and review requirements under the Convention and its Kyoto Protocol, including the multilateral assessment process and FSV. LA also provided advice relating to preparation for compliance assessment and the completion of the first commitment period of the Kyoto Protocol, on the evaluation of the CDM Loan Scheme and the implementation of the latest CMP decision on the scheme (decision 3/CMP.12).
- 66. LA provided technical, administrative and logistical support to the Compliance Committee of the Kyoto Protocol, including in relation to the consideration of questions of implementation and during the meetings of the enforcement branch, the facilitative branch and the plenary of the committee that took place in the reporting period.
- 67. Legal advice and support were provided with respect to the administration and operations of the secretariat and the climate change regime to ensure compliance with United Nations regulations and rules, as well as relevant decisions of the COP and the CMP, and to safeguard the interests of the secretariat and the regime. In particular, LA supported the negotiation and conclusion of legal instruments to support UNFCCC meetings and workshops held away from secretariat headquarters, in particular the legal agreements for the Marrakech Conference (November 2016) and the conferences convened at the seat of the secretariat (May 2016 and 2017, and November 2017). Legal advice and support were also provided on the secretariat guidelines on and conclusion of partnership arrangements with non-Party stakeholders. LA continued to serve as a member of the joint local committee on contracts and the joint local property survey board. In addition, LA closely coordinated with other United Nations organizations in Bonn in consultation with the Host Government on the implementation of their respective Headquarters Agreements.

### **G.** Conference Affairs Services

68. The Conference Affairs Services (CAS) programme provides the full range of conference-related facilities and services expected by Parties.

- 69. In the first 18 months of the biennium 2016–2017, CAS facilitated the organization of a total of 129 meetings and/or workshops of constituted bodies, technical experts and regional groups in Bonn and elsewhere. During the reporting period, CAS organized nine sessions of the subsidiary bodies (the SBI, the SBSTA and the APA) in Bonn and Marrakech, as well as COP 22, CMP 12 and CMA 1.1 in Marrakech, supporting a total of 4,969 in-session meetings during the 12 sessions. CAS also facilitated and organized 112 pre-sessional meetings of the negotiating groups with the Chairs of the subsidiary bodies, three briefing meetings to the European Union Presidency and three briefings to the Chair of the Group of 77 and China.
- 70. CAS received and processed, in a timely manner, 178 requests for visa assistance for the participation of delegates in the above-mentioned sessions, meetings and workshops, and received and processed 810 requests for financial support for representatives of eligible Parties.
- 71. CAS provided substantive support to the negotiations on observer engagement under the SBI agenda item on arrangements for intergovernmental meetings, including the preparation of a summary report on the enhancement of non-Party stakeholder engagement, and the organization of an in-session workshop on this topic for 350 participants in May 2017. CAS also provided substantive and logistical support to the sitting and incoming Presidencies on non-Party stakeholder engagement. Regarding admissions, CAS assessed 584 applications for observer status and facilitated opportunities for 199 interventions and 337 non-Party stakeholder submissions. CAS received and processed 1,079 applications for side events, leading to 380 side events being held by 779 Parties and observers and the secretariat. CAS received and processed 347 applications for exhibits, leading to 227 individual and joint exhibits by 305 Parties and observers. CAS liaised with stakeholders on ways to engage in the UNFCCC process, involving some 170,000 emails. To enhance inclusiveness, transparency and operational efficiency, CAS implemented several innovative projects: live broadcasting of side events (piloted at the forty-fourth sessions of the subsidiary bodies and scaled up to all side events at those sessions and at COP 22); video broadcasting (successfully tested at the forty-sixth sessions of the subsidiary bodies); touch-to-collect technology at exhibits (offered at two sessions); an online collaboration platform (used to develop the in-session workshop programme and to facilitate communication with non-governmental organization constituencies); a new solution for contact management for admitted observer organizations; and video and data visualization tools. In addition, the observer web pages were relaunched, enhancing access to information for all stakeholders.
- 72. CAS edited and processed a total of 682 official and 212 unofficial documents in the reporting period. In 2016, 82 per cent of pre-sessional documents that were to be translated were submitted for publication by the deadline. In 2017, as at 30 June that number stood at 100 per cent. Enhancements to the electronic Official Documents System were implemented in collaboration with the Information and Communication Technology (ICT) programme in 2016. In collaboration with the Communications and Outreach (CO) programme and the AS programme further enhancements are being considered along with improvements to the process of publishing documents on the UNFCCC website.
- 73. Paper-use reduction measures, such as providing the Daily Programme in electronic format only and a limited print-on-demand approach, led to a 61 per cent decrease in total paper usage for official documents at SBSTA 46, SBI 46 and APA 1.3 in comparison with at the previous May sessions, continuing the trend from past sessions.
- 74. During the reporting period, preparations for COP 23, CMP 13 and CMA 1.2 were well under way.

### H. Communications and Outreach

75. The CO programme manages external communications, online public information and media relations and services, including internal knowledge management services. These functions are carried out to support the processes under the Convention, the Kyoto

Protocol and the Paris Agreement, as well as the implementation of COP decisions, in order to make as large an impact as possible by promoting positive action and policy to address climate change.

- 76. The CO programme runs the UNFCCC Newsroom web pages in three of the six official United Nations languages English, French and Spanish to showcase the successes of the Convention, the Kyoto Protocol and the Paris Agreement and the global wave of climate action by governments, business and civil society. The UNFCCC web presence is mutually supported by a suite of social media channels and is dynamically updated and structured in line with the developing audiences and progress of the global climate regime.
- 77. During the reporting period, a total of 12,528,364 pages were viewed by 3,442,440 users. The secretariat YouTube channel reached 519,138 views and has 4,150 subscribers, and the Flickr account now hosts 2,907 photos of conferences and Executive Secretary outreach activities and was viewed over 2.3 million times.
- 78. The level of interaction has increased significantly, in particular via social media channels (see data on Facebook, Twitter and Instagram in table 24). In addition to the interactive webcast sessions, new interactive tools were introduced and deployed during the reporting period, notably Facebook live.
- 79. The programme continued its implementation of the Momentum for Change initiative as a means to recognize positive climate solutions. In 2016 the secretariat received 475 applications, of which 255 were considered eligible. In 2017, 462 applications were submitted and 223 were eligible.
- 80. The programme provided webcast services to meetings held by: the JISC (three), the CDM Executive Board (seven), the Adaptation Committee (one), the Compliance Committee (four), the TEC (three), the SCF (four), the CTCN (one), the COP (one) and the subsidiary bodies (two), thereby contributing to transparency in the intergovernmental process. During the reporting period, over 477,000 visitors to the UNFCCC website viewed live and on-demand webcasts.
- 81. CO provides internal communication services to the secretariat, including via its intranet services. During the reporting period, 30 new collaboration spaces were launched and more than 450 internal news articles were published on the intranet. This represents a significant increase in knowledge-sharing over the previous biennium, when there was no mechanism for sharing daily internal news and no collaboration functionality integrated into the intranet.
- 82. CO provides records advisory services to the secretariat, facilitates the transfer of inactive records from offices and manages the inactive records centre, which includes the audiovisual archives of UNFCCC negotiation processes. During the reporting period, 452 record retrieval requests were fulfilled, both for internal staff and external clients. The enterprise taxonomy has incorporated elements from the Paris Agreement and has been updated accordingly across five major systems, including the intranet, the environment for the new collaboration platform and the official documents web portal, to provide external website users and staff with improved access to information.

### I. Information and Communication Technology

83. The ICT programme provides ICT infrastructure and support services and specialized information systems to support the secretariat in fulfilling its mandate. The ICT programme ensures that work mandated by Parties is enabled by implementing and operating reliable and secure ICT infrastructure and specialized applications. The programme also operates the underlying infrastructure to ensure that the UNFCCC website and various extranets are continuously available and that Parties have easy access to official documentation, information, data and submission portals, and proceedings and details of events.

- 84. In addition to its regular work in relation to operations and systems delivery, the programme made significant progress in its ICT transformation initiative started in 2014 and completed the ICT organizational restructuring at the end of June 2016. The former Information and Technology Services programme has now been renamed the Information and Communication Technology programme, effective 1 April 2016, with a new and fit-for-purpose organizational structure, enhanced ICT governance framework and capacity geared to meet future needs. In addition, the programme-level work defined under the framework programme agreements has been further improved to increase the transparency of delivery and financial reporting.
- 85. As part of its transformation and goal to bring innovative solutions to the secretariat and Parties, the ICT programme launched six major projects with the objective of laying out the infrastructure and technology platforms for future systems delivery and optimizing costs:
- (a) A data centre consolidation project to leverage cloud technologies where possible;
- (b) A mobility innovation project to allow the secretariat and Parties to collaborate (document collaboration, virtual meetings, etc.) any time and anywhere;
- (c) A virtual participation initiative for an enhanced and more effective use of virtual meeting technology within the secretariat and for additional efficiency measures for meetings of constituted bodies and conferences through use of virtual participation;
- (d) A new ICT security framework to strengthen ICT security within the secretariat;
- (e) A new customer relationship management platform to manage stakeholders and stakeholder interactions more effectively;
- (f) A new data warehouse to modernize the current solution, incorporate a revision of the 2006 IPCC Guidelines for National Greenhouse Gas Inventories and develop a new GHG data interface.
- 86. During the reporting period, the ICT programme supported the May sessions (2016 and 2017) of the subsidiary bodies, the Marrakech Conference and a total of 82 workshops and smaller meetings. Participants were provided with a highly reliable and secure information technology (IT) infrastructure, including but not limited to access to critical systems such as registration, event management, document management and collaboration, and Wi-Fi, with no service interruptions or complaints from participants.
- 87. The programme maintained a dependable and secure IT network infrastructure and services that enabled the secretariat to meet the requirements of the intergovernmental process. The programme provided services to mandated systems such as the NDC registry, the UNFCCC GHG data warehouse, the compilation and accounting database, common reporting format (CRF) Reporter, the CDM and JI information systems and the CDM registry. The programme also provided secretariat-wide systems such as the content management system for the UNFCCC website, the records management system, and various portals, including Climate Neutral Now, NAP Central, the NWP partners and pledges database, the finance portal and the technology portal, among others. In addition, the technical oversight and contract administration of the ITL were performed effectively. The service level agreement targets were met and exceeded for the 18-month period ending in June 2017.
- 88. During the reporting period, the ICT programme provided services and support to more than 100 different applications of the secretariat. ICT staff delivered various projects and enhancements to improve these capabilities for the secretariat and its stakeholders, including but not limited to the GHG data warehouse, the secretariat-wide client relationship management platform, CRF Reporter, virtual team rooms and various formal document submission portals and data processing tools.

### J. Administrative Services

- 89. The AS programme delivers many services in support of the efficient functioning of the secretariat. This includes the management of human and financial resources, procurement, travel and general services.
- 90. During the reporting period, the AS programme made travel arrangements for a total of 2,948 nominated participants in the sessions of the COP, the CMP, the CMA, the SBI, the SBSTA and the APA as well as 205 other official UNFCCC events. Of these travel arrangements, 2,754, or over 93 per cent, resulted in meeting attendance. Cases of non-attendance were due to conflicting business or personal commitments, health issues, visa problems or missed flights.
- 91. The programme's procurement of goods and services was carried out in a competitive, cost-effective manner. AS managed 644 procurement cases totalling USD 21.1 million, of which about one third under long-term agreements and a quarter through cooperative procurement with United Nations system entities. Ninety-three tenders were conducted, resulting, inter alia, in 18 new long-term agreements. An average of four offers were received in response to each new tender, with the selected bids being an average of 33 per cent less expensive than the highest bids received. About 97 per cent of all procurement cases were processed within the established time frames, but only 65 per cent of the tenders.
- 92. AS led the secretariat's efforts to achieve climate neutrality of its operations by measuring and reporting its GHG emissions and implementing reduction measures. The secretariat also assisted 24 other United Nations organizations in achieving climate neutrality by offsetting 490 kilotonnes of carbon dioxide equivalent (kt CO<sub>2</sub> eq) (including the secretariat's own 3,765 t CO<sub>2</sub> eq), or almost a quarter of the United Nations system's overall GHG emissions in 2015, through the purchase and cancellation of Adaptation Fund CERs.
- 93. The Human Resources Management Unit continues to provide services related to talent acquisition, organizational development and staff administration, with a view to supporting the strategic vision and managerial decision-making of the organization. With the stabilization of Umoja (enterprise resource planning system), the unit has concentrated on mining meaningful human resources data that may be analysed and used by decision makers to enhance efficient and effective management. This has become the basis for strategic human resources planning relating to the evolving mandates of the organization.
- 94. Maintaining the organization's financial records in accordance with the International Public Sector Accounting Standards, the programme processed around 8,400 financial transactions, which included payments of 4,100 invoice documents and processing of approximately 1,200 incoming payments. It also continued coordinating the management of voluntary contributions, including fundraising activities and reporting to contributors.
- 95. Managing the organization's 10 trust funds and special accounts in Umoja, the programme prepared several official documents during the period, including the budget proposal and work programme for the biennium 2018–2019, the 2016 budget performance report, three reports on the status of contributions and two sets of financial statements, which both received an unqualified audit opinion. During the audits, the programme provided all requested documentation and supporting documents to the full satisfaction of the audit teams. It also provided support to the SBI in its consideration of several complex budgetary matters at the three sessions of the SBI during the reporting period.
- 96. During the reporting period, the Financial Resources Management Unit arranged the disbursement of financial support to eligible participants in the negotiation process and other meetings, which resulted in about 3,400 support payments being made for participation in the sessions of the COP, the CMP, the CMA and the subsidiary bodies and other major meetings.

## V. Additional information

97. 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 on all objectives of the secretariat's programmes as presented in the work programme of the secretariat for the biennium 2016–2017 in document FCCC/SBI/2015/3/Add.1.

### Annex I

### **Human resources: staff**

[English only]

1. Table 12 shows the number of approved posts and filled posts by grade and source of funding. As at 30 June 2017, of the 437 approved posts, 377.5 had been filled. One of these was a 50 per cent post (half-time post) and 10 were 80 per cent posts, thus increasing the actual number of staff to 380. In addition, 14 Professional and 13 General Service level staff members had been hired under temporary assistance contracts, and four Junior Professional officers were on board, bringing the total number of staff at the secretariat to 411.

Table 12 Approved established posts and filled posts by source of funding as at 30 June 2017

	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1	Subtotal	GS	Total
Trust Fund for t	he Core	Budget										
Approved	1	1	2	7	15	35	43	16		120	53.5	173.5
Filled <sup>a</sup>	1		1	5	10	29	33.8	14.8		94.6	49.5	144.1
Trust Fund for S	Suppleme	entary A	ctivities									
Approved				1	3	4	13	8		29	9	38
Filled				1	3	3	11	5		23	8.8	31.8
Trust Fund for t	he Clear	ı Develo <sub>l</sub>	oment N	<b>l</b> echanis	m							
Approved				1	2	10	26	25		64	23	87
Filled				1	1	10	25	23		60	21	82
Trust Fund for t	he Interi	national	Transac	tion Log	?							
Approved						2	3	1		6	1	7
Filled						2	3	1		6	1	7
Trust Fund for t	he Speci	al Annuc	ıl Contr	ibution f	rom the	Govern	ıment of	German	y			
Approved								1		1	7	8
Filled								1		1	7	8
Special account	for conf	erences d	and othe	er recove	erable c	osts <sup>b</sup>						
Approved							1	1		2	4	6
Filled							1	1		2	3	5
Special account	for cost	recovery	related	l activiti	es							
Approved						5	8	8		21	10	31
Filled						5	6	7		18	7	25
Programme sup	port (ov	erhead)										
Approved				1	2	4	13	7		27	59.5	86.5
Filled				1	2	3.8	11	6		23.8	51.8	75.6
Total												
Approved	1	1	2	10	22	60	107	67		270	167	437
Filled	1		1	8	16	52.8	90.8	58.8		228.4	149.1	377.5

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

P = Professional, USG = Under-Secretary-General.

<sup>&</sup>lt;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.

- <sup>b</sup> These posts are in support of operating the split office premises and are funded by the Government of Germany.
- 2. Table 13 provides information on the geographical distribution of the staff appointed at the Professional level and above. As at 30 June 2017, Western European and other States accounted for the highest percentage (43.6 per cent) of staff appointed at the Professional level and above, whereas African States accounted for the lowest (7.9 per cent).
- 3. The secretariat has continued its efforts in relation to achieving a good 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 13 Geographical distribution of staff members appointed at the Professional level and above as at 30 June  $2017^a$ 

Grade	African States	Asia- Pacific States	Latin American and Caribbean States	Eastern European States	Western European and other States	Total
USG			1			1
D-2					1	1
D-1	2		1		5	8
P-5	3	5		3	5	16
P-4	2	12	7	7	25	53
P-3	8	29	9	4	41	91
P-2	3	13	11	9	23	59
Total	18	59	29	23	100	229
Percentage of total	7.9	25.8	12.7	10.0	43.6	100.0

Abbreviations: USG = Under-Secretary-General, D = Director, P = Professional.

4. Table 14 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 2017, the percentage of staff from non-Annex I Parties at the Professional and higher levels was 45.9 per cent, compared with 54.1 per cent for Annex I Parties.

Table 14 Distribution of staff members at the Professional level and above between Annex I and non-Annex I Parties $^a$ 

Grade	Annex I Parties	Non-Annex I Parties
USG		1
D-2	1	
D-1	5	3
P-5	8	8
P-4	30	23
P-3	50	41
P-2	30	29
Total	124	105
Percentage of total	54.1	45.9

 $\label{eq:abbreviations: USG = Under-Secretary-General, D = Director, P = Professional.}$ 

<sup>&</sup>lt;sup>a</sup> Does not include data on staff recruited under temporary assistance contracts.

- $^{\it a}$  Does not include data on staff recruited under temporary assistance contracts.
- 5. Table 15 highlights the distribution of staff members by gender. As at 30 June 2017, the percentage of female staff at the Professional and higher levels was 40.2 per cent, up by 1.1 cent from June 2016. The percentage of female staff at all levels was 55.3 per cent as at 30 June 2017, a rise of 1.5 per cent since 30 June 2016.

Table 15 **Distribution of staff members by gender**<sup>a</sup>

Grade	Male	Female
USG		1
D-2	1	
D-1	6	2
P-5	10	6
P-4	32	21
P-3	52	39
P-2	36	23
Subtotal	137	92
Percentage of P and above	59.8	40.2
GS	33	118
Total	170	210
Percentage of total	44.7	55.3

 $\label{eq:abbreviations: USG = Under-Secretary-General, D = Director, GS = General Service, P = Professional.$ 

<sup>&</sup>lt;sup>a</sup> Does not include data on staff recruited under temporary assistance contracts.

### **Annex II**

# Projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2016–2017

[English only]

Table 16
Income and expenditure of projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2016–2017 as at 30 June 2017

Project	Income (USD) <sup>a</sup>	Expenditure (USD)	Balance (USD)
Executive Direction and Management			
Enhancing and strengthening cooperation with the United Nations through the Office of the Secretary-General	29 189	75 287	(46 098)
Providing support to Executive Management in the lead-up to the twentieth session of the Conference of the Parties (COP) and the tenth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP)	173 129	163 753	9 376
Supporting negotiations and new institutional arrangements aimed at enhancing the implementation of the Convention and its Kyoto Protocol	652 810	648 863	3 947
Strengthening gender mainstreaming in climate change action and the UNFCCC process	400 539	165 082	235 457
Mitigation, Data and Analysis			
Facilitating the implementation of the work programme for the revision of the UNFCCC reporting guidelines for Annex I Parties and the use of the Intergovernmental Panel on Climate Change (IPCC) 2006 IPCC Guidelines for National Greenhouse Gas Inventories	94 525	5 430	89 095
Developing and maintaining the UNFCCC information systems for the receipt and processing of greenhouse gas (GHG) data, including the UNFCCC submission portal, the Virtual Team Room and the GHG data interface	92 403	84 601	7 802
Supporting activities relating to scientific, technical and socioeconomic aspects of mitigation of climate change	5 888	-	5 888
Supporting the implementation of pre-2020 mitigation-related activities stemming from decision $1/\text{CP}.21$	32 991	25 020	7 971
Supporting the implementation of the transparency framework under the Paris Agreement	881 938	246 522	635 416
Supporting the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention on implementing the measurement, reporting and verification framework for			
developing country Parties	433 964	216 334	217 630
Enhancing and maintaining the compilation and accounting database under the Kyoto Protocol	210 288	176 043	34 245
Supporting activities relating to land use, land-use change and forestry, reducing emissions from deforestation and forest degradation, the enhancement of carbon sinks and the role of sinks in future mitigation actions	1 107 557	362 308	745 249
Providing training for expert review teams and organizing meetings of the lead reviewers	1 043 040	791 621	251 419
Supporting the preparation of national GHG inventories and related activities undertaken by non-Annex I Parties, including national forest monitoring systems	826 805	469 336	357 469
Supporting the implementation of enhanced action on mitigation by developing country Parties	635 920	476 877	159 043
Supporting activities relating to the impact of the implementation of response measures	407 718	249 417	158 301
Supporting the work programme for the development of modalities and guidelines	1 297 556	523 334	774 222

Project	Income (USD) <sup>a</sup>	Expenditure (USD)	Balance (USD)
for enhanced reporting by developed country Parties and the international assessment and review process			
Supporting the upgraded common reporting format (CRF) software (CRF Reporter) for the reporting of GHG emissions and removals by Annex I Parties	918 609	896 777	21 832
Supporting the technical dialogue on nationally determined contributions (NDCs)	1 245 230	358 786	886 444
Supporting the operationalization of the international consultation and analysis process for developing country Parties	752 317	445 675	306 642
Supporting the implementation of activities relating to intended nationally determined contributions and NDCs	800 666	180 784	619 882
Providing support for strengthening the transparency of the reporting from non-Annex I Parties, including by strengthening sustainable national GHG inventory management systems and providing training on the use of 2006 IPCC Guidelines for National Greenhouse Gas Inventories	710 137	675 893	34 244
Implementing the activities of the Support Unit of the NDC Partnership at the regional level	2 137 431	134 145	2 003 286
Developing, deploying and operating a beta version of the nationally appropriate mitigation action registry	77 057	54 928	22 129
Maintaining and enhancing the UNFCCC data warehouse and related information technology tools and data-processing systems, including tools for the review of GHG inventories and the operation of the GHG data interface on the UNFCCC website	1 298 874	1 056 067	242 807
Finance, Technology and Capacity-building			
UNFCCC fellowship programme	16 324	-	16 324
Supporting the implementation of the framework for capacity-building in developing countries under decision 2/CP.7 and the framework for capacity-building			
in countries with economies in transition under decision 3/CP.7	280 370	264 079	16 291
Supporting the work of the Standing Committee on Finance	1 390 057	1 016 293	373 764
Supporting climate finance	86 338	6 768	79 570
Supporting the implementation of the Technology Mechanism and the work of the Technology Executive Committee, including the implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention	1 060 600	726 460	334 140
Supporting the work of the Transitional Committee for the design of the Green Climate Fund	25 545	-	25 545
Adaptation			
Coordinating the implementation of the Paris Agreement, institutional arrangements under the Convention and efforts to mobilize and catalyse climate action	489 276	302 934	186 342
Supporting the least developed countries and the Least Developed Countries Expert Group	1 179 502	941 953	237 549
Supporting the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change, including new mandates arising from the Paris Agreement	283 538	147 273	136 265
Supporting activities relating to climate change science, research and systematic observation	188 608	103 862	84 746
Supporting the implementation of the Cancun Adaptation Framework, including new mandates arising from the Paris Agreement	1 688 532	1 012 363	676 169
Supporting the periodic review of the adequacy of the long-term global goal referred to in decision $1/\text{CP}.16$ , paragraph $4$	175 680	99 347	76 333
Supporting the coherent delivery of the implementation of cross-cutting adaptation mandates, including those arising from the Paris Agreement	401 978	274 619	127 359
Promoting transparency and assessment of adaptation action, stakeholder engagement and outreach	3 453	-	3 453

Project	Income (USD) <sup>a</sup>	Expenditure (USD)	Balance (USD)
Sustainable Development Mechanisms			
Implementing the two work programmes mandated under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention agenda item on various approaches relating to: (1) a framework for various approaches; and (2) the new market-based mechanism	10 731	-	10 731
Supporting the operation of joint implementation	5 324 427	1 172 893	4 151 534
Organizing a workshop on the review of the modalities and procedures of the clean development mechanism	27 869	-	27 869
Coordinating the implementation of the Paris Agreement, institutional arrangements under the Convention and efforts to mobilize and catalyse climate action	278 178	276 387	1 791
Supporting the integration of the clean development mechanism into intended nationally determined contributions and advancing the use of instruments under Article 6 of the Convention	368 036	305 124	62 912
Elaborating modalities and procedures for the inclusion of carbon dioxide capture and storage in geological formations as project activities under the clean development mechanism	9 352	-	9 352
Providing support to the secretariat and international financial institutions in their collaboration on the development of GHG accounting standards for non-state actors	50 306	-	50 306
Stimulating contributions from all non-Party actors and building the foundation for their measurement and verification	548 372	301 812	246 560
Legal Affairs			
Electronic handbook for the UNFCCC	14 082	(3 746)	17 828
Providing support to the Compliance Committee	85 465	24 201	61 264
Conference Affairs Services			
Servicing the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) $$	21	-	21
Servicing the fourth part of the second session of the ADP	465	23	442
Developing a handbook and film documentary for conference management	63 950	61 197	2 753
Supporting stakeholder engagement in the UNFCCC process	360 570	350 736	9 834
Further developing the electronic Official Documents System	128 161	98 177	29 984
Servicing the twenty-third session of the COP and the thirteenth session of the CMP	838 077	428 275	409 802
Servicing the forty-sixth sessions of the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice	1 916 614	1 623 959	292 655
Servicing the sixth part of the second session of the ADP	41 157	-	41 157
Servicing the eighth part of the second session of the ADP	112 571	(22 436)	135 007
Servicing the tenth part of the second session of the ADP	160 336	(43 901)	204 237
Servicing the eleventh part of the second session of the ADP	62 388	(375 042)	437 430
Servicing the forty-second session of the SBI	935	-	935
Servicing the forty-fourth session of the SBI	1 462 780	1 421 950	40 830
Communications and Outreach			
Developing internal communication tools and channels within the secretariat to ensure communication between management and staff, and between and among	•0•	4.44.0.70	440.004
staff, with a view to supporting corporate culture and engagement	283 050	164 959	118 091
Hosting the Global Youth Video Competition	50 139	39 505	10 634
Developing the mobile application for smartphones, tablet computers and mobile devices	742	(6 438)	7 180
Momentum for Change	171 062	144 833	26 229
Momentum for Change: Information and Communication Technology Solutions	361 263	319 314	41 949
Momentum for Change: Women for Results	32 864	28 383	4 481

			Balance
Project	Income (USD) <sup>a</sup>	Expenditure (USD)	(USD)
Momentum for Change: Planetary Health	432 894	167 655	265 239
Developing an online portal for UNFCCC information in Spanish	109 166	108 976	190
Supporting the work programme on climate change education, public awareness and public participation	256 918	212 288	44 630
Developing country media training workshops	95 933	95 191	742
Undertaking a website project on digital enhancement post 2015 (web and social media)	1 044 848	597 595	447 253
Managing and preserving sound recordings of all sessions	113 674	83 452	30 222
Managing and preserving video recordings of all sessions	72 711	44 807	27 904
UNFCCC web portal in the six United Nations languages (Arabic, Chinese, English, French, Russian and Spanish)	5 364	6 049	(685)
Providing archive services for the historical records of the UNFCCC	12 977	-	12 977
Communications and Outreach travel with and in support of the Executive Secretary	34 547	14 741	19 806
Photo library to enhance the quality and availability of communications and outreach photos	3 757	1 276	2 481
Administrative Services			
Establishing the UNFCCC history corner	120 251	108 383	11 868
Information and Communication Technology			
Climate action hub	50 894	49 197	1 697
Replacing the email and instant messaging system	2 419	(330)	2 749
Enhancing responsiveness, efficiency and accountability by strengthening secretariat relationship management and communications with Parties and observers	287 399	129 808	157 591
Implementing the Joint Development of Knowledge Tools on Environmental Conventions (InforMEA Project) under the programme for the Environment and			
Sustainable Management of Natural Resources, including Energy	11 074	10 941	133
Enhancing information and communication technology security at the UNFCCC	142 107	95 173	46 934
Governing information technology	29 625	-	29 625
Migrating mandated web information systems	111 271	58 734	52 537
Supporting and enhancing the secretariat's collaboration platform as the basis for information-sharing and enterprise content management and a repository for the secretariat's legal instruments	49 740	13 507	36 233
Implementing enterprise mobility	100 673	99 464	1 209
Providing virtual meeting/workshop participation to UNFCCC stakeholders	258 391	-	258 391
Other expenditure			
Junior Professional Officers	1 250 385	563 810	686 575
Total	40 897 363	22 149 716	18 747 647

<sup>&</sup>lt;sup>a</sup> Note that not all income available under the Trust Fund for Supplementary Activities has been allocated to projects. Some of the income received is held unallocated at the request of contributing Parties for future allocations.

### Annex III

### Programme performance data for the period from 1 January 2016 to 30 June 2017

[English only]

Table 17

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

Objective 1: ensure effective support of Parties' efforts to construct an enhanced multilateral rules-based system under the Convention pursuant to the outcome of the twenty-first session of the Conference of the Parties and the Bali Road Map and to prepare for and support the entry into force of the Paris Agreement

Expected result(s)

Performance indicator(s)

Performance data

The secretariat responds effectively to the priorities set by Parties in constructing an enhanced rules-based system under the Convention

The proportion of mandated outputs relating to the Paris Agreement delivered and delivered on time

All mandated outputs relating to the Paris Agreement have been delivered and delivered on time. For details of progress in relation to the Paris Agreement work programme resulting from relevant requests contained in decision 1/CP.21, please consult the secretariat progress tracker<sup>b</sup>

The level of satisfaction of Parties with the work of the secretariat. Actual result for 2013: 92 per cent of all respondents somewhat agreed, agreed or strongly agreed with the statement that their level secretariat was consistently high. Target: to maintain the level of satisfaction at 90–95 per cent

Budgetary constraints have prevented the secretariat from undertaking a survey on the level of satisfaction of Parties in the reporting period as envisaged. Such a survey is to be undertaken in May 2018 and information on the level of satisfaction of Parties with the work of the secretariat will be made available in of satisfaction with the work of the the next budget performance report

Objective 2: ensure the provision of effective and state-of-the-art support to the institutions and governance arrangements established under the Convention and its legal instruments

Expected result(s)

All facets of climate change intergovernmental meetings are well organized. Appropriate procedural, substantive and logistical support is provided to Parties. The President of the Conference of the Parties (COP) and the COP Bureau are well informed and able to carry out their functions effectively

*Performance indicator(s)* 

The level of satisfaction of Parties with the secretariat's support of negotiation sessions. Baseline: in 2013, 66 per cent of respondents either agreed or strongly agreed with the statement "The secretariat supported the intergovernmental process effectively", and 60 per cent of respondents either agreed or strongly agreed with the statement "The secretariat provided good advice on procedures and content for mandated conferences, meetings and events". Target: to increase the level of satisfaction of Parties

The level of satisfaction of the COP President and the COP Bureau with the secretariat's support.<sup>c</sup> Baseline: in 2013, 100 per cent of respondents either

Performance data

Budgetary constraints have prevented the secretariat from undertaking a survey on the level of satisfaction of Parties in the reporting period as envisaged. Such a survey is to be undertaken in May 2018 and information on the level of satisfaction of Parties with the work of the secretariat will be made available in the next budget performance report

Information on the level of satisfaction of the COP President and the COP Bureau with the secretariat's support will be made available in the budget performance report covering the period from 1

agreed or strongly agreed with the January 2018 to 30 June 2019 statement "The secretariat provides appropriate and effective support in logistical arrangements for the Bureau meetings", and 88 per cent of respondents either agreed or strongly agreed with the statement "The secretariat provides optimal support to enable the members of the Bureau to guide the intergovernmental process"

### Objective 3: mobilize and catalyse climate action, and facilitate coordination of partnerships for action and of the contribution of intergovernmental organizations and the United Nations system

Expected result(s) Support provided by the United Nations, intergovernmental agencies and other stakeholders to Parties in the implementation of the Convention is enhanced, with a wide network of intergovernmental organizations and the United Nations system)

directly supporting and

contributing to the implementation of the Convention and its

outcomes

Number of active partnerships with the following stakeholder groups: organizations in the United Nations system, faithbased organizations, military, women, legislators, investors, business, cities and subnational governments that contribute to the non-state actors (including implementation of the Convention and its outcomes

Performance indicator(s)

Participation of the Executive Secretary in other organizations' events

A total of 55 such partnerships were concluded in the reporting period

The Executive Secretary attended 134 events during the reporting period

### Objective 4: continue to develop the secretariat as a well-managed, top-performing institution with a healthy working culture

Expected result(s)

environmentally

sustainable

The secretariat's internal

processes and operations

are effective, efficient and

Performance indicator(s)

Net cost savings resulting from efficiency measures

Performance data

Performance data

In the reporting period, the secretariat continued a number of initiatives to make its operations more efficient, including through the streamlining of its Information and Communication Technology (ICT) services and a more efficient ICT project and services management. The secretariat also sought efficiencies by maximizing existing staff capacity through projects cutting across programme boundaries and internal reassignments. While it is possible to quantify cost savings in some areas, it is difficult to provide an overall figure for net cost savings resulting from the totality of the secretariat's efforts

In addition to these ongoing efforts, the secretariat also launched a review of its operations funded from overheads, with a view to implementing efficiencies and cost reductions. The results of that review will only be available in the biennium 2018-2019

Amount of greenhouse gas (GHG) emissions per secretariat staff member from headquarters operations and travel of staff and supporting personnel, except for travel to sessions of the COP.

The GHG emissions resulting from the secretariat's facility operations and all staff travel, except for COPrelated travel, amounted to 1,500 t CO<sub>2</sub> eq. or 2.6 t CO<sub>2</sub> eq per capita (staff and other personnel), in 2014, and 1,242 t CO<sub>2</sub> eq, or 2.2 t CO<sub>2</sub> eq per capita, in 2015 Baseline: 3 t CO<sub>2</sub> eq per capita per annum. Target: 2.5 t CO<sub>2</sub> eq per capita per annum<sup>d</sup>

The percentage of unavoidable residual GHG emissions from headquarters operations and all travel funded by the secretariat that is offset. Baseline: 100 per cent. Target: 100 per cent

The secretariat offset 100 per cent of its residual GHG emissions of 5,428 t CO<sub>2</sub> eq in 2014 and 3,765 t CO<sub>2</sub> eq in 2015 through the purchase and cancellation of Adaptation Fund certified emission reductions

geographically diverse staff balanced in gender are recruited, trained and retained

Competent, motivated and The percentage of staff from Parties not included in Annex I to the Convention (non-Annex I Parties). Actual figure as at March 2015: 50.2 per cent of staff in the Professional category and above were from non-Annex I Parties. Target: to increase the percentage of staff from non-Annex I Parties

A total of 45.9 per cent of staff in the Professional and higher levels were from non-Annex I Parties as at 30 June 2017

The percentage of women in posts in the Professional category and above. Actual figure as at March 2015: 38.2 per cent of staff in the Professional category and above were women. Target: to increase this percentage to 50 per cent

A total of 40.2 per cent of staff in the Professional and higher levels were women as at 30 June 2017

The level of satisfaction of staff with their job, management and development opportunities. Actual figure as at September 2013: more than 80 per cent of staff participating in a secretariat-wide survey expressed overall satisfaction with their current job, and 69 per cent expressed their satisfaction with the overall quality of management of the secretariat. Altogether, 45 per cent of the respondents expressed the view that they had adequate opportunities to advance their career. Target: to increase the level of staff satisfaction

Actual figures as at May 2016 on the level of satisfaction of staff with their job, management and development opportunities: 80 per cent of staff participating in a secretariat-wide survey expressed overall satisfaction with their current job; and 68 per cent expressed their satisfaction with the overall quality of management of the secretariat. Altogether, 61 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 Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol

The percentage of mandated outputs that cannot be delivered as a result of insufficient funding. Actual result for the period January–June 2014: less than 1 per cent. Target: to reduce this percentage to 0 per cent

The contribution rate to the core budget. Actual: 65 per cent of the indicative contributions for the biennium 2014-2015 had been received by the secretariat by 31 March 2015. Target: to increase the contribution rate

While funding was generally sufficient in the reporting period for the delivery of outputs mandated to the secretariat, some activities were affected by a lack of financial resources. This includes the global national adaptation plan (NAP) Expo, which was planned for April 2017 but had to be postponed to 2018. Similarly, resource constraints led to a decrease in the number of individual reviews of GHG inventories of Annex I Parties in 2017 from 44 to 22

EUR 41 million, or 77 per cent of the indicative contributions to the core budget expected for 2016-2017, had been received as at 31 March 2017. While this is an increase compared with the previous biennium, core contributions received at that point in time remain behind what is required, and it should be recalled that all contributions are due on 1 January each year

The ratio of actual expenditure to the approved budget. Actual result for the biennium 2012–2013: 99.4 per cent. Target: to maintain this percentage in the biennium 2016–2017

The implementation rate of the core budget for 2016–2017 had reached 72.6 per cent through to June 2017

Financial resources are managed in a sound manner and are utilized to maximize the benefit to the UNFCCC process The implementation rate of audit recommendations relating to financial and administrative matters. Baseline: implementation rate as at 30 June 2014 was 83 per cent. Target: 90 per cent implementation rate

The final Board of Auditors report had not been issued by 30 June 2017; however, the provisional report indicated that 91 per cent of audit recommendations were under implementation or fully implemented. The not implemented status of 9 per cent represented one audit recommendation that was not accepted by the UNFCCC

- <sup>a</sup> See document FCCC/SBI/2011/16, page 33.
- b http://unfccc.int/files/paris\_agreement/application/pdf/pa\_progress\_tracker\_200617.pdf.
- <sup>c</sup> The next survey on the level of satisfaction of the COP President and the COP Bureau with the secretariat's support will be conducted in 2018.
- <sup>d</sup> Emissions are calculated by UN Environment/Sustainable United Nations for the entire United Nations system in the second half of the year following their generation.

#### Table 18

Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Mitigation, Data and Analysis programme

# Objective 1: support Parties included in Annex I to the Convention in the communication and consideration of information on the implementation of the relevant provisions of the Convention, its Kyoto Protocol and relevant decisions<sup>b</sup>

Expected result(s)

Effective support is provided for the fulfilment of reporting and review requirements in relation to information provided by Parties included in Annex I to the Convention (Annex I Parties) under the Convention and its Kyoto Protocol

Performance indicator(s)

All greenhouse gas (GHG) inventories from Annex I Parties and relevant supplementary information submitted on time during the biennium are received and reviewed by international expert teams within the mandated time frames

Performance data

All of the GHG inventory submissions from Parties in 2016 and 2017 have been received

With respect to the review of the submissions, as at 30 June 2017, 51 annual review reports (24 for 2015 and 26 for 2016)<sup>c</sup> had been finalized and published, as well as 17 review reports of the calculation of the assigned amount for the second commitment period. The remaining review reports will be finalized during the remaining part of 2017. Therefore, the review process for 2016 is anticipated to be fully finalized during the biennium

Preparations are under way for the technical reviews of the 2017 GHG inventory submissions of Annex I Parties, in accordance with the mandated timelines. Preparations were also initiated for the review of the initial reports for the second commitment period of the Kyoto Protocol for the Parties that will submit those reports in 2017. Considering the challenges that the secretariat has faced in 2017 related to insufficient resources from the core budget and supplementary funding to support the review of GHG inventories, the secretariat is organizing the 2017 review of the GHG inventories for half of the Annex I Parties; therefore, for the 2017 reviews only 50 per cent of the target will be achieved. This issue and its implications for the review planning process was discussed at the 14th meeting of GHG inventory lead reviewers, held in Bonn on 8 and 9 March 2017

All national communications and relevant supplementary information and biennial reports from Annex I Parties are received and reviewed by international expert review teams, and relevant reports are published within the biennium

All reports relating to the implementation of final accounting for the first commitment period of the Kyoto Protocol are prepared and published in accordance with the mandates

Preparations for the forthcoming submission cycle of third biennial reports and seventh national communications from Annex I Parties were launched and a dedicated submission portal has been developed and made available to facilitate the submission process. The biennial report common tabular format application has been revised and enhanced in 2017 on the basis of the feedback from Parties following the submission of their second biennial reports

All submitted reports upon expiration of the additional period for fulfilling commitments (true-up period) for the first commitment period of the Kyoto Protocol have been reviewed by teams of experts nominated by Parties. Final review reports for 36 Annex B Parties to the Kyoto Protocol were published before 1 August 2016, except for that for Ukraine, which will be published before 1 September 2017 following the recommendation of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (FCCC/KP/CMP/2016/8, paragraph 50)

The final compilation and accounting report for Ukraine will be finalized upon completion of the associated review process

The international assessment and review of GHG emissions and removals relating to quantified economy-wide emission reduction targets for developed country Parties is facilitated and

All submitted second biennial reports have been reviewed by teams of experts nominated by their governments. Review reports for 24 Annex I Parties were published before 1 August 2016

The remaining reports were published by 6 December 2016, well before the 15-month completion deadline for reviews stipulated in the "Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention"

Multilateral assessment for all Annex I Parties under the Subsidiary Body for Implementation (SBI) is finalized within the biennium A total of 24 Parties were multilaterally assessed at the working group session during SBI 45 and 17 Parties during SBI 46<sup>e</sup>

The compilation and synthesis of second biennial reports is prepared for consideration by the SBI in 2016 and mandated technical papers are prepared before the deadlines

The compilation and synthesis of second biennial reports was published in October 2016 and considered at SBI 45 and SBI 46

Training courses are updated, revised and completed and a sufficient number of experts are trained and ready to participate in the reviews under the Convention and its Kyoto Protocol

completed within the

biennium

The number of experts participating in the GHG inventory review training courses per year. Baseline and target: 30–60 experts per year

The number of experts participating in the biennial report and national communication review training courses per year. Baseline and target: 25–50 experts per year

A refresher seminar for experienced reviewers was held on 29 February 2016 and 8 March 2017 with the participation of 55 and 64 experienced experts and lead reviewers, respectively. Two periods of training courses and training seminars for the review of GHG inventories under the Convention were held in April 2016 and March 2017 and 58 experts participated. In addition, as at 30 June 2017, 63 experts had participated in the non-instructed training courses for the review of GHG inventories in 2016 and 2017

Eighty-five experts took the courses on the review of national communications and biennial reports in 2016.

The availability of timely updates of training materials. Target: up to six courses are updated, revised and completed, and up to three new courses are developed by the end of the biennium

As at 30 June 2017, four courses on the review of biennial reports and national communications had been updated for their launch in September 2017

Five training courses for the review of supplementary information reported for the second commitment period of the Kyoto Protocol were developed and launched in 2016. In addition, the revision of four training courses for the review of information reported under the Convention was launched and it is expected to be completed by the end of 2017. No new courses, such as those to support the implementation of the Paris Agreement, were developed because the required guidance has not yet been finalized through Parties' negotiations

Objective 2: support Parties not included in Annex I to the Convention in the preparation and submission of their national communications and biennial update reports, including greenhouse gas inventory information, and in the preparation and implementation of nationally appropriate mitigation actions under the Convention and the implementation of the international consultation and analysis of biennial update reports

Expected result(s)

Effective support is provided to Parties not included in Annex I to the Convention (non-Annex I Parties) in the fulfilment of their reporting requirements under the Convention

Performance indicator(s)

At least 300 experts from non-Annex I Parties are trained

Performance data

A total of 375 experts from 120 non-Annex I Parties were trained during the reporting period: 239 national experts from 120 non-Annex I Parties were trained on how to use the Intergovernmental Panel on Climate Change (IPCC) 2006 IPCC Guidelines on National Greenhouse Gas Inventories and also on how to set up sustainable national GHG inventory management systems; 136 experts from 100 non-Annex I Parties were trained in the preparation of biennial update reports (BURs); in cooperation with the German Gesellschaft für Internationale Zusammenarbeit, 99 experts from 52 countries were trained to prepare and implement their nationally appropriate mitigation actions (NAMAs) and to prepare their intended nationally determined contributions (INDCs); and 170 experts were trained and certified to participate in the technical analysis of BURs

Increase in the number of I Parties compared with the previous biennium

As at 30 June 2017, 34 national communications had submitted reports from non-Annex been submitted by non-Annex I Parties: 2 first national communications, 10 second national communications and 21 third national communications and 1 fourth national communication. A total of 14 first BURs and 6 second BURs had been submitted. Several additional national communication/BUR submissions are expected by the end of the biennium, bringing the total number of such submissions to about 60, compared with 56 in the previous biennium

The NAMA registry is updated regularly

At least 80 per cent of all established effectively and developing countries have access to the NAMA registry

> The number of mitigation actions and the provision of support recorded in the NAMA registry and the extent of matching of action and support is significantly higher than the current baseline of 87 NAMAs, 14 sources of support and eight matches of NAMAs with

During the reporting period, 67 per cent of all developing countries had access to the NAMA

The registry currently contains 146 NAMA entries submitted by developing countries, 18 entries on sources of support and 17 matches of NAMAs with support

support

The international consultation and analysis of BURs from developing countries is facilitated

The online training course for experts in supporting the technical analysis of BURs has been developed and is operational

The online training course for experts supporting the technical analysis of BURs has been in full operation

100 experts are trained to

As at 30 June 2017, three rounds of training courses participate in the analysis of BURs had been implemented since 1 January 2016, bringing the number of certified experts who are now eligible to participate in the technical analysis of BURs to 170

All BURs submitted by developing countries are analysed within six months of their submission

A total of 20 BURs were submitted in the reporting period, 14 first BURs and 6 second BURs. Of those, 19 BURs, as well as three reports submitted in 2015, were technically analysed in the reporting period, within six months of their submission. Three of the submitted BURs included technical annexes on REDD-plus<sup>g</sup> results, which underwent parallel technical analysis during the same period

Workshops on facilitative sharing of views (FSV) are organized

The first-ever workshop for FSV was successfully launched in May 2016, followed by two additional rounds of FSV at SBI 45 and SBI 46. In total, 30 non-Annex I Parties went through FSV during the reporting period

### Objective 3: improve the methodological and scientific bases for enhancing the implementation of the Convention and its Kyoto Protocol<sup>h</sup>

Expected result(s)

Effective support is provided for the consideration of the scientific and methodological issues relating to mitigation

Performance indicator(s)

The proportion of mandated time

Performance data

All mandated outputs were delivered on time, outputs delivered and delivered on including the organization of two in-session workshops on agriculture and one in-session workshop on land use, land-use change and forestry (LULUCF), held at the forty-fourth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA). All reports on these mandated events were delivered on time for consideration by the SBSTA. Discussions on these matters at the three sessions of the SBSTA in the reporting period advanced

Work on methodological and scientific matters related to LULUCF and agriculture as well as REDD-plus in developing countries is facilitated

The proportion of mandated outputs, including mandated reports and technical papers, on LULUCF, agriculture and REDDplus delivered and delivered on time

All mandated outcomes were delivered and delivered on time. In particular, the secretariat prepared a synthesis report on the technical assessment process for REDD-plus forest reference emission levels and forest reference levels (as mandated in decision 13/CP.19, paragraph 4) for consideration at SBSTA 44

The secretariat facilitated the organization of two voluntary meetings on the coordination of support for REDD-plus (the third and fourth). Approximately 140 REDD-plus focal points, Party delegates and representatives of international organizations and civil society participated in each of the meetings. The secretariat supported the Conference of the Parties (COP) Presidencies in their outreach to Parties and other stakeholders for relevant input to and presentations at the meetings. In addition, the secretariat supported the COP Presidencies in producing relevant outreach media material, such as producing a brief video clip and news article, as well as ensuring that the summary of key messages of the

meetings prepared by the COP Presidencies was made available on the REDD+ Web Platform

Work on other methodological and scientific matters, including in the areas of common metrics, international aviation and maritime transport and fluorinated gases, is facilitated

The proportion of mandated outputs, including mandated technical papers on common metrics, international aviation and maritime transport and fluorinated gases, delivered and delivered on time

All mandated outputs were delivered and delivered on time. Discussions on all matters under the SBSTA advanced and two mandated outputs in the form of miscellaneous documents were delivered

Effective support is provided for the implementation of the Warsaw Framework for REDD-plus

The proportion of the technical assessments of forest reference levels/forest reference emission levels concluded and concluded on time

During the reporting period, 20 submissions of forest reference emission levels and forest reference levels were received from developing country Parties (9) submissions in 2016 and 11 submissions in 2017)

The centralized technical assessment of the submissions was held in mid-March in 2016 and 2017 in Bonn with the participation of 40 LULUCF experts and an observer from the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention at each session. A total of 75 per cent of the technical assessment reports for the 2016 session have been completed and published. The technical assessment process for 2017 is ongoing and expected to be concluded by the end of November 2017

All guidance on the enhancement of the information hub on the web platform<sup>j</sup> on the UNFCCC website is implemented by the deadlines set by Parties

The Lima REDD+ Information Hub on the REDD+ Web Platform on the UNFCCC website was developed at the end of 2014 and has been maintained in the biennium 2016–2017; all relevant guidance has been implemented

The number of entries inserted by the secretariat in the information hub following the guidance in decision 9/CP.19, paragraph 14

During the reporting period, 55 new submissions were shared on the REDD+ Web Platform. One developing country Party has entered its assessed REDD-plus reference level and results on the information hub and at least two other developing country Parties are preparing similar information. The number of new registered users of the web platform during the reporting period, including the discussion forum, reached 145

Cooperation with intergovernmental organizations involved in activities related to reducing emissions from deforestation and forest degradation in developing countries (REDD) as well as activities related to LULUCF, agriculture, international maritime and aviation transport and fluorinated gases is

The number of meetings of relevant intergovernmental organizations attended by UNFCCC staff to ensure that their activities related to REDD, LULUCF, agriculture, international maritime and aviation transport and fluorinated gases actively contribute to the objective of the Convention has increased by at least 20 per cent since the previous biennium

The secretariat attended 18 meetings on REDD, LULUCF and agriculture, 6 meetings in relation to international aviation and maritime transport, and 2 meetings on fluorinated gases and common metrics, which is in total an increase of 38 per cent on the previous biennium (in the same period of the previous biennium, 13 meetings were attended)

maintained and further strengthened

## Objective 4: support Parties, in particular developing country Parties, in addressing their specific needs and concerns arising from the impact of the implementation of response measures<sup>1</sup>

concerns arising from the impact of the implementation of response measures		
Expected result(s)	Performance indicator(s)	Performance data
Effective support is provided to work relating to the impact of the implementation of response measures	Progress in consolidating and streamlining agenda items on response measures	Parties' agreement on an improved forum on the impact of the implementation of response measures and for the forum to serve the Paris Agreement ensures the continued discussion of all agenda items on response measures in the context of the forum
	Enhanced reporting on response measures in national communications and BURs	The number of developed country Parties that provided information on response measures shows an increase in the second biennial reports in comparison with in the first biennial reports. The reporting has become more comprehensive, including procedures for the assessment of the impacts of proposed policy initiatives, and information on the expected direct and indirect environmental, social and economic effects on developing countries resulting from their most important policy actions. Owing to the voluntary nature of reporting on response measures and related information, no major trend in reporting was observed in the submitted BURs from developing country Parties
Parties have an enhanced understanding of impacts of response measures and are better able to cooperate among themselves and with other relevant stakeholders to address and report on such impacts	Increased willingness of Parties to consider and address technical issues related to response measures	Three technical papers on the assessment of impacts, economic diversification and just transition of the workforce were mandated and prepared
	International cooperative arrangements are established	After Parties' agreement on the terms of reference for the ad hoc technical expert groups under the improved forum at the forty-fourth sessions of the subsidiary bodies, an ad hoc technical expert group meeting on economic diversification and just transition in the context of sustainable development was held
	with high mitigation potential, incl	aris Agreement and the technical examination uding those with adaptation, health and sustainable
Expected result(s)	Performance indicator(s)	Performance data
The implementation of the Paris Agreement is supported as required		Three sessions of the Ad Hoc Working Group on the Paris Agreement (APA) and three sessions of the SBI and the SBSTA took place in the reporting period. The programme coordinated the work of the APA and the SBI as a whole and provided policy, technical and logistical support in relation to a large number of agenda items of the APA, the SBI and the SBSTA
		The programme assisted the COP Presidency with the planning of the 2018 facilitative dialogue, including consultations during the sessions in May 2017
Effective support is provided to the work relating to the preparation	The number of submissions communicating INDCs considered during the biennium	The secretariat, in response to decision 1/CP.20, set up a platform for the communication and publication of INDCs. A registry for nationally determined

and consideration of INDCs from all Parties

contributions (NDCs) was deployed in May 2016. A total of 147 Parties received assistance with conversion with their first NDC, 8 with revisions to their INDC prior to submitting their first NDC and 4 with their long-term emission development strategies. Altogether, Parties made 144 submissions of NDCs during the reporting period

The secretariat updated the synthesis report on the assessment of the aggregate effect of INDCs, which was issued in accordance with the mandate by 1 October 2015. An updated version was released on 2 May 2016

Effective support is provided to the technical examination process

The number of meetings organized In the reporting period, four technical expert meetings by the secretariat were held at the May 2016 and 2017 sessions of the

were held at the May 2016 and 2017 sessions of the subsidiary bodies, covering urban environment, the land sector, the social and economic value of carbon, and public transport and fuel efficiency. In addition, one regional technical expert meeting was held in

Africa

The number of new initiatives launched

One new initiative on climate change and buildings was launched

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

- <sup>d</sup> Decision 13/CP.20, annex, paragraph 17.
- <sup>e</sup> Multilateral assessment for one Party has been postponed due to its absence from the session.
- <sup>f</sup> Article 4, paragraphs 1, 3, 8 and 9, and Article 12, paragraphs 1(a–c) and 4, of the Convention and decisions 10/CP.2, 31/CP.7, 3/CP.8, 17/CP.8, 2/CP.9, 8/CP.11, 1/CP.13, 1/CP.16, 2/CP.17, 24/CP.18, 1/CP.19, 19/CP.19 and 20/CP.19.
- <sup>g</sup> In decision 1/CP.16, paragraph 70, the Conference of the Parties encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks.
- <sup>h</sup> Decisions 4/CP.1, 18/CP.5, 1/CP.13, 2/CP.13, 4/CP.15, 1/CP.16, 2/CP.17, 12/CP.17, 1/CP.18, 1/CP.19, 9/CP.19 to 15/CP.19, 6/CMP.3 and 2/CMP.7.
  - http://unfccc.int/methods\_science/redd/items/4531.php.
- All published technical assessment reports are available at <a href="http://redd.unfccc.int/fact-sheets/forest-reference-emission-levels.html">http://redd.unfccc.int/fact-sheets/forest-reference-emission-levels.html</a>. Two more reports from the 2016 session are in the final stages of the process (consideration of the report prepared by the technical assessment team by the Party) and are expected to be completed by the third quarter of 2017 as soon as Party approval of the report has been received.
- <sup>k</sup> Article 4, paragraphs 8–10, of the Convention, Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol and decisions 5/CP.7, 1/CP.10, 1/CP.13, 1/CP.16 and 8/CP.17.
- <sup>1</sup> Articles 4 and 12 of the Convention, decisions 1/CP.19 and 1/CP.20 and further specific mandates to be considered at forthcoming sessions of the Conference of the Parties.

<sup>&</sup>lt;sup>b</sup> Articles 4 and 12 of the Convention, Articles 5, 7 and 8 of the Kyoto Protocol and decisions 10/CP.2, 31/CP.7, 3/CP.8, 17/CP.8, 2/CP.9, 12/CP.9, 8/CP.11, 1/CP.13, 10/CP.15, 1/CP.16, 2/CP.17, 15/CP.17, 1/CP.18, 2/CP.18, 19/CP.18, 20/CP.18, 1/CP.19, 23/CP.19, 13/CP.20 to 15/CP.20, 13/CMP.1 to 16/CMP.1, 20/CMP.1, 22/CMP.1, 27/CMP.1, 8/CMP.5, 2/CMP.7 to 5/CMP.7, 1/CMP.8, 2/CMP.8, 7/CMP.8 and 12/CMP.8.

<sup>&</sup>lt;sup>c</sup> In accordance with decisions 20/CP.21 and 10/CMP.11, the review of the 2015 GHG inventory submissions shall be organized in conjunction with the review of the 2016 GHG inventory submissions for those Parties that did not undergo a review of the annual GHG inventory in 2015, in conjunction with the review of the report to facilitate the calculation of the assigned amount for the second commitment period of the Kyoto Protocol.

Table 19

Objectives, expected results, performance indicators and performance data for the Finance, Technology and Capacity-building programme

### Objective 1: support the intergovernmental process with regard to the mobilization, delivery and oversight of climate finance for adaptation and mitigation $^b$

Expected result(s)

Parties are effectively supported in intergovernmental negotiations on issues related to the mobilization and delivery of climate finance

*Performance indicator(s)* 

The proportion of mandated outputs delivered and delivered on time

Performance data

Delivery of the mandated outputs was achieved during the reporting period: seven Subsidiary Body for Implementation (SBI)/Subsidiary Body for Scientific and Technological Advice (SBSTA) conclusions, eight Conference of the Parties (COP)/Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decisions and two informal notes under the Ad Hoc Working Group on the Paris Agreement. In addition to the long-term finance in-session event (see below), one mandated round table and one mandated insession workshop under the SBSTA were successfully organized. The secretariat also successfully supported the COP 22 Presidency in its leadership of the highlevel dialogue on climate finance

Effective support is provided for the implementation of the work programme of the Standing Committee on Finance (SCF) The proportion of mandated outputs delivered and delivered on time

Delivery of all mandated outputs was achieved during the reporting period through the organization of four meetings of the SCF and two retreats, and the preparation of the SCF report to the COP. Some of the main outputs include the 2016 biennial assessment and overview of climate finance flows, the SCF Forum, and the draft guidance to the Global Environment Facility and the Green Climate Fund. The secretariat supported the SCF in its continued coordination, outreach and cooperation with other constituted bodies and other institutions

The number of views of the pages on the Financial Mechanism<sup>c</sup> and the finance portal<sup>d</sup> on the UNFCCC website. Baseline: 20,669 page views in the period January–June 2014. Target: to maintain that number of views

There were 35,157 page views in the reporting period

Effective support is provided to mandated activities relating to longterm finance and the measurement, reporting and verification of climate finance The proportion of mandated outputs delivered and delivered on time

All mandated outputs were delivered on time as regards long-term finance through the successful organization of the in-session workshop on climate finance focusing on adaptation finance held during the forty-fourth sessions of the subsidiary bodies

Objective 2: support and enhance cooperation among Parties and relevant organizations on research, development, demonstration, deployment, diffusion and transfer of technologies for adaptation and mitigation<sup>e</sup>

Expected result(s)

Effective support is provided for intergovernmental work and negotiations on issues relating to technology Performance indicator(s)

The proportion of mandated outputs delivered and delivered on time

Performance data

All outputs required to be delivered during the reporting period were delivered on time. This includes the note by the secretariat on mapping climate technology development and transfer activities and initiatives under and outside the Convention relevant to the implementation of the Paris Agreement, and the

development and transfer

Effective support is provided in the implementation of the workplan of the Technology Executive Committee (TEC) The proportion of mandated outputs delivered and delivered on time

All outputs required to be delivered during the reporting period in accordance with the TEC workplan were delivered on time. The TEC rolling workplan for 2016–2018 was adopted at TEC 12 in April 2016. The thematic dialogues on South–South cooperation on technologies for adaptation and industrial energy efficiency were successfully held at TEC 12 and TEC 14, respectively. The in-session workshop on linkages between the Technology Mechanism and the Financial Mechanism was held in conjunction with the forty-fourth sessions of the subsidiary bodies and a special event on innovation and climate change was held in conjunction with their forty-sixth sessions. Support was provided to the TEC intersessionally and during TEC 12, TEC 13 and TEC 14 in a timely manner

compilation and synthesis report by the secretariat on Parties' views on the scope and modalities for the periodic assessment of the Technology Mechanism

The number of relevant stakeholders that contribute to the implementation of the TEC workplan

The TEC established six task forces to work intersessionally to support the implementation of its workplan for 2016–2018, including the active participation of representatives of 21 observer organizations

Effective support is provided in facilitating effective interaction between the TEC and the Climate Technology Centre and Network (CTCN) and provision of information on technology development and transfer

The proportion of mandated outputs delivered and delivered on time

Facilitated collaboration between the TEC and the CTCN on common mandated and joint activities is progressing in a satisfactory manner. The TEC and the CTCN initiated joint work on the research, development and demonstration of mitigation and adaptation technologies and in preparing updated procedures for the joint chapter of their joint annual report to the COP. The proportion of mandated outputs delivered and delivered on time was 100 per cent

Number of page views of the UNFCCC technology information clearing house TT:CLEAR. Baseline: 357,908 page views in the period January–June 2014. Target: to maintain that number of views

TT:CLEAR received 114,537 page views in the reporting period

### Objective 3: enhance the capacity of Parties to enable the full, effective and sustained implementation of the Convention and its Kyoto Protocol<sup>g</sup>

Expected result(s)

Performance indicator(s)

Performance data

Effective support is provided for intergovernmental negotiations on issues related to capacity-building

The proportion of mandated outputs delivered and delivered on time

Delivery of the mandated outputs during the reporting period was as follows: five SBI conclusions and three COP/CMP decisions, including on the terms of reference of the Paris Committee on Capacity-building (PCCB); and five mandated documents prepared: four compilation and synthesis reports on capacity-building implementation and one technical paper on the review of the capacity-building framework. The first meeting of the PCCB was successfully convened, including the one-day technical exchange on its focus theme. All seven background documents prepared for the meeting, representing 100 per cent of the mandated outputs, were delivered on time

The Durban Forum on capacity-building is facilitated

The proportion of mandated outputs delivered and delivered on time

Two in-session Durban Forums on capacity-building were held during SBI 44 and 46 and two summary reports were published and disseminated. All mandated documents, such as the synthesis paper on capacity-building activities of the constituted bodies and the compilation and synthesis of activities to implement the framework for capacity-building in developing countries, representing 100 per cent of the mandated outputs, were delivered on time

The implementation of the frameworks for capacity-building is facilitated

The number of organizations that reported on their contribution to the implementation of the frameworks for capacity-building

Forty organizations provided information on their activities undertaken to implement the capacity-building frameworks

- <sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under its Kyoto Protocol.
- <sup>b</sup> Article 11 of the Convention and decisions 1/CP.13, 1/CP.16, 2/CP.17, 3/CP.17, 1/CP.18, 3/CP.19 and 1/CMP.3.
- <sup>c</sup> http://unfccc.int/cooperation\_and\_support/financial\_mechanism/items/2807.php.
- d http://unfccc.int/financeportal.
- <sup>e</sup> Decisions 4/CP.7, 3/CP.13, 4/CP.13, 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19.
- f <u>http://unfccc.int/ttclear</u>.
- <sup>g</sup> Article 10(e) of the Kyoto Protocol and decisions 2/CP.7, 3/CP.7, 2/CP.10, 3/CP.10, 4/CP.12, 6/CP.14, 1/CP.16, 2/CP.17, 13/CP.17, 1/CP.18, 29/CMP.1, 6/CMP.2, 6/CMP.4, 11/CMP.6, 15/CMP.7, 10/CMP.8 and 11/CMP.8.

Table 20

Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Adaptation programme

## Objective 1: support Parties, in particular developing country Parties, in assessing impacts, vulnerability and risks and in developing and implementing adaptation plans, policies and actions $^b$

Expected result(s)

Performance indicator(s)

Performance data

The work of the Adaptation Committee is successfully facilitated The proportion of mandated outputs delivered and delivered on time

All mandated activities were delivered on time during the reporting period: the secretariat organized the 9<sup>th</sup>, 10<sup>th</sup> and 11<sup>th</sup> regular meetings of the Adaptation Committee, the 3<sup>rd</sup> Adaptation Forum, technical expert meetings held under the technical examination process on adaptation during the fortyfourth and forty-sixth sessions of the subsidiary bodies, three side and special events during the same sessions of the subsidiary bodies and the twentysecond session of the Conference of the Parties (COP), and several formal and informal meetings with members of the Least Developed Countries Expert Group (LEG), in collaboration with the Standing Committee on Finance (SCF), to conduct work on joint mandates arising from decision 1/CP.21. The secretariat supported the Adaptation Committee in its continued collaboration with other institutional arrangements under the Convention and with non-Party stakeholders

The proportion of working papers and information products delivered in support of the workplan of the Adaptation Committee and delivered on time

All documents and information products were produced on time. The secretariat produced a total of 33 mandated background papers for the three regular meetings of the Adaptation Committee held during the reporting period. It has also been supporting the Adaptation Committee by researching information and preparing presentations for other meetings involving representation of the Adaptation Committee

The process for the

The proportion of mandated

All mandated activities were delivered on time.

formulation and implementation of national adaptation plans (NAPs) is facilitated

outputs delivered and delivered on time

Three LEG regional training workshops on NAPs, a global NAP Expo and a regional NAP Expo organized in the reporting period were successfully supported, and LEG and staff members participated in a number of NAP-related workshops organized by partner organizations. A global NAP Expo planned for April 2017 was postponed to 2018 due to resource limitations. The enhancement of NAP Central is ongoing, and so is the collection of information on NAPs through an online questionnaire and interviews with countries to support the assessment of progress of NAPs under the Subsidiary Body for Implementation (SBI)

The implementation of the impacts, vulnerability and adaptation to climate change (NWP) is facilitated

The proportion of mandated Nairobi work programme on outputs delivered and delivered on time

All expected outputs mandated for the reporting period were delivered on time. To support enhanced action on adaptation through the NWP, the outcomes under the NWP, as a knowledge-for-action network for climate resilience, include:

- Providing continuous knowledge support to the Adaptation Committee and the LEG
- Engaging a growing network of non-Party stakeholders in sharing their experience and
- Capturing and synthesizing the latest adaptation information and knowledge
- Fostering science-policy-practice collaboration to close identified knowledge gaps
- Disseminating knowledge and fostering learning to boost adaptation action at all levels

A steady increase in the number of actions carried out within the framework of the NWP by its partners. Total number of action pledges as at March 2015 stood at 184

The NWP has engaged relevant organizations as partner organizations, which are committed to aligning their activities with the objectives of the NWP and to carrying out joint initiatives, including through action pledges and collaborative actions. The number of NWP partner organizations as at July 2017 stood at 343, and 189 action pledges had been made by NWP partner organizations

In order to execute parallel work on the thematic areas of human health and ecosystems and interrelated areas such as water resources and human settlements, the secretariat undertook several actions in partnership with NWP partner organizations and relevant expert organizations (e.g. the World Health Organization in the context of health, members of the Friends of Ecosystem-based Adaptation network in the context of ecosystems, and the United Nations Human Settlements Programme, ICLEI - Local Governments for Sustainability and the Urban Climate Change Research Network on human settlements)

Work on loss and damage under the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts and its Executive Committee is facilitated and supported

The proportion of mandated outputs delivered and delivered on time

All mandated activities were delivered on time during the reporting period: the secretariat organized the 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup> and 5<sup>th</sup> regular meetings of the Executive Committee of the Warsaw International Mechanism, expert briefings on the margins of the 2<sup>nd</sup> and 3<sup>rd</sup> meetings of the Executive Committee, the 1st meeting of the expert group on non-economic losses, the 1st meeting of the Task Force on Displacement, and a side event at the forty-fourth sessions of the subsidiary bodies. The secretariat produced a total of 30 documents in a timely manner The work of the LEG in relation to NAPs, the implementation of national adaptation programmes of action and other elements of the least developed countries work programme are successfully facilitated

The proportion of mandated outputs delivered and delivered on time

and expert bodies, including organizing a technical meeting on migration, displacement and human mobility. It has also been supporting the Executive Committee by collecting, researching, compiling and synthesizing relevant information, developing 19 knowledge products upon request by the Executive Committee, and preparing presentations for other meetings involving representation of the Executive Committee All mandated activities were delivered on time. The

to support those meetings. The secretariat supported

collaboration with other institutional arrangements under the Convention and non-Party stakeholders

the Executive Committee in its continued

LEG was effectively supported in holding three meetings and three regional training workshops on NAPs, a global NAP Expo and a regional NAP Expo. Thirty background documents were prepared to support the LEG meetings as well as all presentation materials for the training workshops and the expos. The LEG was also ably supported during its joint meetings and work with the Adaptation Committee and in providing inputs to the work of other constituted bodies, including the Technology Executive Committee and the SCF. A side event was held at each SBI session, while two high-level events were held during COP 23 on NAPs and on sustainable development benefits of adaptation

The level of satisfaction of users of the knowledge products prepared by the LEG and the secretariat

Positive feedback was consistently received from users, during LEG meetings and training workshops and during the 2016 NAP Expo

#### Objective 2: support the review of the adequacy of the long-term global goal and the consideration of matters related to science, research and systematic observation<sup>c</sup>

Work by the Convention bodies on matters related to science, research and

Expected result(s)

Implementation of

global goal is facilitated

systematic observation is facilitated

Performance indicator(s)

The proportion of mandated outputs delivered and delivered on time

The number of international and regional programmes and organizations taking part in the research dialogue under the Convention. Baseline and target: eight programmes and/or organizations

The proportion of mandated recommendations of the outputs delivered and delivered 2013-2015 review on the on time adequacy of the long-term

Performance data

All mandated outputs were delivered on time

A total of 24 and 29 international and regional programmes participated in the 8<sup>th</sup> and 9<sup>th</sup> research dialogues, respectively

New modalities were used – an information note prepared by the Chair of the Subsidiary Body for Scientific and Technological Advice (SBSTA) and a poster campaign held before the dialogue – to engage participants and encourage involvement and discussions, resulting in a larger attendance compared with in previous years

Outputs were delivered on time

Support was provided to the negotiations on the scope of the periodic review under the Convention. The scientific community responded positively to the encouragement to address information and research gaps identified during the structured expert dialogue and the Intergovernmental Panel on Climate Change (IPCC) decided to produce the special report requested by COP 21. An information note was prepared that summarized the status of work under

The implementation of the outcomes of the Ad Hoc Working Group on the Durban Platform for Enhanced Action based on a long-term approach and science-based management of the global pathway is supported

The proportion of mandated outputs delivered and delivered on time

related items and the lessons learned from the 2013–2015 review. The scope of the periodic review will be further addressed in 2019

Outputs were delivered on time

Support was provided in relation to the agenda items on matters relating to the global stocktake under the Paris Agreement under the Ad Hoc Working Group on the Paris Agreement (APA), considering the advice of the SBSTA on how the IPCC assessments can inform the global stocktake. A special SBSTA—IPCC event was held at SBSTA 44 and an information note was prepared by the SBSTA Chair to support Parties' preparations for the event

### Objective 3: engage a wide range of stakeholders and widely and effectively disseminate information, including through the UNFCCC website $^{\it d}$

Expected result(s)	Performance indicator(s)	Performance data
A wide range of stakeholders is engaged in the implementation of all relevant mandates	The number of collaborative activities among organizations and between Parties and organizations facilitated.  Baseline: nine events as at June 2014. Target: 14 events	The number of collaborative activities among organizations and between Parties and organizations has increased to 25, exceeding the target of 14. Events included 10 technical meetings and 15 knowledge-sharing and outreach events, which all featured the participation of Parties, non-Party stakeholders and United Nations agencies
	The number of new stakeholders that are engaged in adaptation	The number of stakeholders engaged has increased by about 10 per cent compared with in the baseline period
		In terms of outreach, over 13,000 stakeholders engaged on the Adaptation Exchange Facebook account, with an average reach of 10,000–20,000 users per week
Comprehensive and user- friendly information is made available in a timely manner	The information contained in the sections of the UNFCCC website dedicated to adaptation <sup>e</sup> is regularly updated. Baseline and target: to update the information every two weeks	The information on the UNFCCC website has been updated every two weeks
	The number of visits to the sections of the UNFCCC website dedicated to adaptation	There were more than 300,000 unique visits during the reporting period

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

<sup>&</sup>lt;sup>b</sup> Article 4, paragraphs 8 and 9, and Articles 5, 9, 10 and 12 of the Convention and decisions 5/CP.7, 28/CP.7, 1/CP.10, 2/CP.11, 4/CP.11, 1/CP.13, 8/CP.13, 1/CP.16, 6/CP.16, 5/CP.17 to 7/CP.17, 3/CP.18, 11/CP.18, 12/CP.18, 2/CP.19, 17/CP.19, 18/CP.19 and 2/CP.20.

<sup>&</sup>lt;sup>c</sup> Article 2, Article 4, paragraph 1(g) and (h), and Articles 5, 9 and 12 of the Convention and decisions 8/CP.3, 14/CP.4, 5/CP.5, 11/CP.9, 5/CP.10, 11/CP.13, 9/CP.15, 1/CP.16, 2/CP.17, 16/CP.17 and 1/CP.18.

<sup>&</sup>lt;sup>d</sup> Decisions 2/CP.11, 1/CP.13, 1/CP.16, 6/CP.16, 2/CP.19 and 17/CP.19.

<sup>&</sup>lt;sup>e</sup> http://unfccc.int/adaptation/items/4159.php.

Table 21

Objectives, expected results, a performance indicators and performance data for the Sustainable **Development Mechanisms programme** 

Objective 1: realize the full potential of sustainable development mechanisms to enhance the implementation of the Convention<sup>b</sup> Expected result(s) Performance indicator(s) Performance data Work programmes of the The proportion of mandated All (4 of 4) of the mandates from the Conference of intergovernmental bodies on outputs delivered and delivered the Parties serving as the meeting of the Parties to the on time the further development of Kyoto Protocol are being delivered in accordance with project-based mechanisms the specified timelines<sup>b</sup> are facilitated Parties are supported in their The proportion of mandated All (2 of 2) of the mandates from the Subsidiary Body consideration and outputs delivered and delivered for Implementation (FCCC/SBI/2016/8, paragraph 54) development of further and the Subsidiary Body for Scientific and on time market-based and other Technological Advice (FCCC/SBSTA/2016/2, collaborative mechanisms paragraph 79) at their forty-fourth sessions were delivered in the second half of 2016 Objective 2: support and optimize the operation of the clean development mechanism<sup>c</sup> Expected result(s) Performance indicator(s) Performance data Meetings of the clean The level of satisfaction of the All survey respondents indicated they were satisfied development mechanism members of the CDM with the support provided during the reporting period (CDM) Executive Board and Executive Board with the its panels and working support provided groups are efficiently The proportion of meeting The secretariat organized and supported eight meetings organized and well

supported

facilitated efficiently

documents made available in accordance with the rules of procedure of the CDM Executive Board

The proportion of mandated outputs delivered and delivered on time

The operation of the CDM is The proportion of methodology cases (new methodologies and revision of existing ones) processed within the specified timelines

> The proportion of new registrations processed within the specified timelines

The proportion of issuance instructions processed within the specified timelines

The proportion of applications for accreditation processed within the specified timelines

of the CDM Executive Board and 99 per cent (117 of 118) of meeting documents were made available in accordance with the rules and procedures. One document was a late submission in 2016

All (176) mandated outputs were delivered on time. In addition, 55 mandated outputs are in progress and scheduled to be delivered on time

All of the methodology cases were processed within the timelines specified by the procedures; and 80 cases developed under bottom-up and top-down workstreams were processed within the specific timelines

In total, 97 per cent of new project registrations and 90 per cent of new programme of activities (PoA) registrations were processed within the specified timelines

In total, 97 per cent of project issuance instructions and 93 per cent of PoA issuance instructions were processed within the specified timelines

No applications were received during the reporting period

Participation in CDM project The number of standards activities and PoAs is facilitated

relevant to low-income communities (including the development of standardized

Eleven standards were developed or simplified that are developed or simplified that are relevant to low-income communities. In addition, 34 standardized baselines are being processed

baselines)

The number of countries with 10 or more registered projects

The number of countries with 10 or more registered CDM activities is 45 (37 with CDM project activities and 8 with PoAs)

The number of PoA registrations in underrepresented regions

A total of 108 PoAs were registered in 63 underrepresented countries and 214 project activities were registered in 62 underrepresented countries in the reporting period

#### Objective 3: support and optimize the operation of joint implementation<sup>d</sup>

Expected result(s)	Performance indicator(s)	Performance data
Meetings of the Joint Implementation Supervisory Committee (JISC) and of its	The level of satisfaction of the members of the JISC with the support provided	All survey respondents indicated they were satisfied with the support provided during the reporting period
panels and working groups are efficiently organized and well supported	The proportion of meeting documents made available in accordance with the rules of procedure of the JISC	All (26) mandated outputs were delivered on time. In addition, one mandated output is in progress and scheduled to be delivered on time
	The proportion of mandated	All mandated outputs were delivered on time
	outputs delivered and delivered on time	Of the 27 mandated outputs, 26 were delivered in accordance with the specified timelines and 1 is ongoing and up to now in accordance with the relevant timeline
The operation of the joint implementation track 2 procedure <sup>e</sup> is facilitated	The proportion of determination cases processed within the specified timelines	No determination cases were received during the reporting period
efficiently	The proportion of verification cases processed within the specified timelines	No verification cases were received during the reporting period
	The proportion of applications for accreditation processed within the specified timelines	No applications for accreditation were received during the reporting period

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

<sup>&</sup>lt;sup>b</sup> See <a href="http://cdm.unfccc.int/Nairobi">http://cdm.unfccc.int/Nairobi</a> Framework/index.html.

<sup>&</sup>lt;sup>c</sup> Article 4, paragraph 2(a), of the Convention, Articles 3, 6, 12 and 17 of the Kyoto Protocol and decisions 1/CP.13, 1/CP.16, 1/CMP.1, 1/CMP.6, 3/CMP.6, 4/CMP.6 and 7/CMP.6.

<sup>&</sup>lt;sup>d</sup> Article 12 of the Kyoto Protocol and decisions 2/CMP.1 to 8/CMP.1, 1/CMP.2, 2/CMP.3, 2/CMP.4, 2/CMP.5, 3/CMP.6 and 7/CMP.6.

<sup>&</sup>lt;sup>e</sup> Article 6 of the Kyoto Protocol and decisions 9/CMP.1, 10/CMP.1, 2/CMP.2, 3/CMP.2, 3/CMP.3, 5/CMP.4, 3/CMP.5 and 4/CMP.6.

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

Table 22

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

Objective 1: provide legal advice and services so that the Convention and its Kyoto Protocol and any related legal instruments, as well as the agreed outcomes under the Bali Road Map and the Doha Climate Gateway and the expected outcomes of the negotiations under the Ad Hoc Working Group on the Durban Platform for Enhanced Action, are implemented and the associated intergovernmental process is conducted in accordance with legal, procedural and institutional requirements

Expected result(s)

well as the

requirements

The Convention and its Kyoto Protocol and any related legal instruments are interpreted and implemented in accordance with relevant legal, procedural and institutional requirements

*Performance indicator(s)* 

Parties and other stakeholders regarding the timeliness and soundness of legal advice and services provided by the secretariat. Baseline: complaints are resolved within six months. Target: no complaints

The absence of complaints from Parties with respect to the legal advice and services provided by the secretariat to the intergovernmental process. Baseline: complaints are resolved within six months. Target: no complaints

the Convention and its Kyoto Protocol, including the governing, subsidiary and constituted bodies, as intergovernmental process, function and operate in accordance with legal, procedural and institutional

The bodies established under The proportion of concerns, issues or disputes raised by public/private entities in relation to constituted bodies under the Convention and its Kyoto Protocol or their members that are addressed and resolved expeditiously and amicably and do not result in legal action against these bodies and/or individuals serving on them. Baseline and target: concerns, issues or disputes are resolved within six months and no issues lead to legal action against any individual serving on such bodies

> Parties and members of constituted bodies with respect to the legal advice and services provided to bodies established under the Convention and its Kyoto Protocol. Baseline: complaints are resolved within six months. Target: no complaints

Performance data

The absence of complaints from During the reporting period, Legal Affairs (LA) issued at least 125 legal opinions on at least 19 different types of legal issue, 20 of which legal opinions were provided directly to Parties. The secretariat did not receive any complaints from Parties or other stakeholders regarding the timeliness and soundness of such legal advice or the legal support provided by the secretariat during the reporting period

> The intergovernmental process was one of the main areas of work of the LA programme during the reporting period. A total of 78 of the 125 legal opinions issued in the reporting period dealt with the legal, procedural and institutional requirements of the intergovernmental process

> During the reporting period, LA processed 267 nominations for elections, as well as 18 intersessional replacements, for positions of members and alternate members to serve on governing, subsidiary and constituted bodies under the Convention, the Kyoto Protocol and the Paris Agreement

No concerns or issues were raised by public or private entities or their members in the reporting period and there was no legal action brought against any individuals serving on constituted bodies

The absence of complaints from The secretariat did not receive any complaints from Parties or members of constituted bodies with respect to the legal advice and support provided to bodies established under the Convention and its Kyoto Protocol during the reporting period

Objective 2: facilitate the operations of the secretariat and the UNFCCC administrative and institutional process to ensure that they are conducted in accordance with legal, procedural and institutional requirements

Expected result(s)

*Performance indicator(s)* 

Performance data

The operations of the secretariat and the UNFCCC process are conducted in accordance with applicable United Nations rules and regulations and the legislative authority of the UNFCCC governing bodies and requirements

The proportion of legal instruments between the secretariat and actors such as governments, service providers and partner organizations that are concluded expeditiously and in a legally sound manner, thereby facilitating the smooth operation of the secretariat and protecting its interests and those of the UNFCCC process. Baseline and target: all legal instruments are concluded in a timely and legally sound manner and any disputes arising therefrom are settled within 12 months

In the reporting period, LA cleared 145 legal instruments concluded by the secretariat with government and other third parties, of which 117 were signed by the secretariat

The secretariat did not receive any complaints from Parties or members of constituted bodies with respect to the legal advice and support provided to bodies established under the Convention and its Kyoto Protocol during the reporting period

The number of audit and other queries raised by the United Nations Office of Legal Affairs on the adequacy and appropriateness of legal arrangements entered into by the secretariat. Baseline and target: no audit or other queries raised by the United Nations Office of Legal Affairs

In the reporting period, no queries from the United Nations Office of Legal Affairs were received in relation to the appropriateness of legal arrangements entered into by the secretariat. While the final audit report had not been issued as at 30 June 2017, no audit queries on the adequacy and appropriateness of legal arrangements entered into by the secretariat in the reporting period had been brought to the attention of the secretariat

### Objective 3: 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

Expected result(s)

Performance indicator(s)

Performance data

The Compliance Committee takes decisions on the basis of the best available information

The level of satisfaction expressed by members and alternate members of the Compliance Committee regarding the secretariat's support. Baseline and target: a high level of satisfaction No complaints were raised by members or alternate members of the Compliance Committee with respect to the support provide by the secretariat in the reporting period. Owing to the significant changes in the membership of the Compliance Committee in 2017, the next regular survey on the level of satisfaction of the members and alternate members will be conducted in the second half of 2017 and information on the results will be made available in the next budget performance report

The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) is provided with adequate and effective advice and support in the development of policy guidance to the Compliance Committee

The absence of complaints raised by Parties with respect to the legal advice and support provided by the secretariat in the development of policy guidance. Baseline and target: no complaints

The secretariat provided the CMP with support for the latter's consideration of the tenth annual report of the Compliance Committee, which was noted at CMP 12. No complaints were raised by Parties with respect to the legal support provided by the secretariat

Information on the actions taken by the Compliance to the Party concerned and other relevant actors, including the public, in a clear and timely fashion

by the Compliance Committee Committee is made available is made available in a clear and timely fashion. Baseline: ensure that 95 per cent of documents are issued within the required timelines. Target: ensure that 100 per cent of documents are issued within the timelines set out in the relevant procedures

Information on the actions taken In the reporting period, all Compliance Committee documents prepared by the secretariat were made available to the members and alternate members of the Compliance Committee and the public in accordance with the timelines set out in the annex to decision 27/CMP.1 and the annex to decision 4/CMP.2, as amended by decisions 4/CMP.4 and 8/CMP.9

Table 23 Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Conference **Affairs Services programme** 

#### Objective 1: advance the climate change intergovernmental process through the attendance, active participation and collaboration of representatives of Parties at UNECCC conferences and events

participation and conadoration of representatives of Parties at UNPCCC conferences and events		
Expected result(s)	Performance indicator(s)	Performance data
The intergovernmental process is facilitated through the provision of information, in-depth insight and analysis, problem-solving and the treatment of delegates in accordance with protocol	Conference Affairs Services programme responds. Baseline and target: to ensure that the programme responds to 100 per	The programme responded to all communications in a timely manner
Representatives of 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 the process	The proportion of eligible participants funded	The total number of 843 participants eligible for funding was expected for the sessions held during the reporting period. In total, 810 nominations were received and processed, of which 23 cancelled, leaving 787 participants from Parties eligible for funding effectively funded. Therefore, 97 per cent of eligible participants were funded and 3 per cent of nominations were cancelled
F- 30000	The average duration of the registration and accreditation	The average duration of the registration and accreditation process was 58 seconds

#### Objective 2: assist Parties in advancing the climate change intergovernmental process through observer engagement

process (waiting and processing time). Baseline and target: less

than three minutes

Expected result(s)	Performance indicator(s)	Performance data
Eligible members of civil society and intergovernmental organizations are admitted by the Conference of the Parties (COP) and allowed to attend sessions within the capacity limit	The number of organizations for which the COP disagrees with the eligibility assessment made by the secretariat. Baseline and target: none	The COP objected to none of the 145 new organizations assessed as eligible

<sup>&</sup>lt;sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under its Kyoto Protocol. In addition, while the objectives set out in the 2016-2017 budget relate to the Convention and the Kyoto Protocol only, owing to the early entry into force of the Paris Agreement, a number of outputs and results of the work of Legal Affairs in the reporting period relate also to the Paris Agreement.

and

or in	Input by observer organizations to the intergovernmental process is facilitated		In response to 35 calls for submissions from UNFCCC bodies, 337 observer submissions from around 300 organizations were processed
		The number of opportunities to intervene at plenary and contact group meetings as well as at insession workshops	Of 199 opportunities facilitated, 141 were implemented
	Side events and exhibits are facilitated at sessions, space permitting	Number and percentage of side event and exhibit applications processed versus received	All 1,426 combined applications for side events and exhibits received were processed

Number and percentage of side A events and exhibits in implemented versus confirmed minus cancelled

All 607 confirmed side events and exhibits were implemented, excluding the 31 cancelled by the organizers

### Objective 3: 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

Expected result(s)	Performance indicator(s)	Performance data
Official documents are made available to stakeholders on time and in all six official languages of the United Nations, where applicable	The percentage of documents submitted to the Conference Affairs Services programme in accordance with United Nations deadlines that are made available to stakeholders on time	Mandated official documents published during the reporting period: 682  Pre-session documents that were to be translated published on time: 82 per cent in 2016 and 100 per cent in the first half of 2017

### Objective 4: provide suitable surroundings and comprehensive, state-of-the-art logistical and technical support so that meetings can proceed smoothly and productively

Expected result(s)	Performance indicator(s)	Performance data
Comprehensive and functional conference facilities for participants in the climate change	No complaints received with regard to conference facilities	Twelve sessions, as well as pre-sessional meetings of the four regional groups and 117 workshops and meetings, were held and no complaints with regard to conference facilities were received
negotiation process are planned and provided for	No complaints received with regard to sound, projectors, electricity, etc.	Twelve sessions, as well as pre-sessional meetings of the four regional groups and 117 workshops and meetings, were held and there were no complaints with regard to sound, projectors, electricity, etc.
	Percentage of stakeholders expressing satisfaction with the quality of conference services provided at sessions	Approximately 92 per cent of the survey respondents at the May 2016 sessions from Parties and observer organizations rated the overall quality of the conference services provided as good (60 per cent) or very good (32 per cent). The next client survey is planned for 2018

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

Table 24

Objectives, expected results,  $^a$  performance indicators and performance data for the Communications and Outreach programme

# Objective 1: communicate to Parties, observer organizations, the public and non-state actors authoritative, relevant and timely information regarding the UNFCCC process for action on climate change under and outside the Convention<sup>b</sup>

outside the Convention <sup>b</sup>		
Expected result(s)	Performance indicator(s)	Performance data
The UNFCCC website is recognized as the central United Nations information source for authoritative, relevant, timely and comprehensive information on climate change and the UNFCCC process	The volume of data downloaded per website visit The number of website users and sessions	A total of 12,528,364 pages were viewed by 3,442,440 users and 15.8 million documents (11.8 terabytes) were downloaded during the reporting period
UNFCCC publications and digital communication	The number of newsletter subscriptions and click rates	The newsletter is currently under review and no issue was published during the reporting period
channels (e-newsletter, social media) meet the needs of Parties and stakeholders	The number of followers and fans on social media channels	During the reporting period, the secretariat posted more than 4,200 tweets on Twitter and 850 items on the UNFCCC Facebook page. Within the reporting period, the secretariat's Twitter account exceeded the 399,000 followers milestone, and the secretariat's Facebook account grew to have 216,000 fans. The secretariat's Instagram account grew to have around 99,000 followers
Global and specialist media and non-governmental organizations are informed about the progress and decisions made in the intergovernmental process and its objectives	The number of speeches, statements and interviews of the Executive Secretary	The programme continued working closely with the media and facilitated 641 requests for information and 189 requests for media interviews, prepared 19 press releases in English, French and Spanish, 18 media alerts and advisories, and 265 speeches or video addresses, editorial or opinion pieces, and accredited 1,263 media representatives to official meetings
	The quality of media reporting on the UNFCCC process	No resources were available to carry out an extensive survey to determine the quality of media reporting on the UNFCCC process
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### Objective 2: increase the engagement of all governmental and non-state actors inside and outside the UNFCCC process to foster higher ambition and action on climate change and the full implementation of the Convention<sup>c</sup>

Expected result(s)	Performance indicator(s)	Performance data
Higher ambition and action inside and outside the UNFCCC process by governmental and non-state actors to foster the full implementation of the Convention	The number of outreach activities targeting governmental and non-state actors	The secretariat participated in 896 official outreach events to promote greater ambition and action within and outside the UNFCCC process by government and non-state actors
Effective support is provided for intergovernmental negotiations on issues related to Article 6 of the Convention	The proportion of mandated outputs delivered and delivered on time	Delivery of the mandated outputs during the reporting period was as follows: two Subsidiary Body for Implementation conclusions on Action for Climate Empowerment; one decision by the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol and the Conference of the Parties serving as the meeting of the Parties to the Parties to the Parties to the Parties prepared, as the meeting of the Parties to the Paris Agreement on Action for Climate Empowerment; and two mandated reports prepared,
52		

		including a synthesis report on progress made in implementing the Doha work programme on Article 6 of the Convention, and a report on the functionality and accessibility of the climate change information network clearing house CC:iNet. The proportion of mandated outputs delivered and delivered on time was 100 per cent
The Dialogue on Article 6 of the Convention is facilitated	The proportion of mandated outputs delivered and delivered on time	Two in-session Dialogues on Action for Climate Empowerment were held during SBI 44 and SBI 46 and two summary reports were published and disseminated, representing 100 per cent of mandated outputs delivered and delivered on time
The implementation of the Doha work programme on Article 6 of the Convention is facilitated	The proportion of mandated outputs delivered and delivered on time	One workshop for Action for Climate Empowerment focal points was held in May 2016 and its summary report was published and disseminated, representing 100 per cent of mandated outputs delivered and delivered on time
Parties, observers and the general public continue to have open and ready access to information and data on	The number of official documents and climate information downloaded from the UNFCCC website	15.8 million documents (11.8 terabytes) were downloaded during the reporting period
the climate change negotiation process and the groundswell of climate action across the globe	Visits to pages on the UNFCCC website on mandated implementation initiatives and working groups	A total of 3,442,440 visitors accessed the web pages
The Momentum for Change initiative continues to raise awareness on concrete	The number of Momentum for Change submissions	The secretariat received 475 applications in 2016, of which 255 were considered eligible. In 2017, 462 applications were submitted and 223 were eligible
solutions to climate change	The number of visits to the Momentum for Change section of the UNFCCC website	The Momentum for Change section of the UNFCCC website received 114,009 page views during the reporting period
Objective 3: facilitate the s knowledge-sharing and col		documents and information and improve
Expected result(s)	Darformanae indicator(s)	Darformanco data

Expected result(s)	Performance indicator(s)	Performance data
Internal communication, collaboration and knowledge-sharing is improved through the use of appropriate tools and systems	The level of staff satisfaction with the secretariat's intranet	In the most recent staff satisfaction survey, from May 2016, 77 per cent of staff agreed or strongly agreed that the updates and announcements on the intranet are useful. An internal communications survey is planned for later in 2017 to provide updated data. During the reporting period, 30 new collaboration spaces were launched and more than 450 on the intranet
Parties, observers, secretariat staff and the general public have ready access to well-organized and comprehensive official documentation on the climate change negotiation process	The volume of official documents downloaded	A total of 15.8 million official documents, including language versions and national communications, were downloaded in a timely manner
Records are managed in accordance with the secretariat's policy and guidelines	Inactive records are processed and transferred to the Records Centre and are made accessible upon request from staff	A total of 62 linear metres of inactive records were processed and transferred to the Records Center and 5,484 physical audio and video records were transferred to digital format, and 67 terabytes of audiovisual recording data were transferred to the digital storage

Obsolete records are destroyed in a confidential and controlled manner

A total of 452 retrieval requests were processed, making physical records and audiovisual recordings accessible to requesting staff as well as to external clients

- <sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under its Kyoto Protocol.
- Article 6(b) and Article 8, paragraph 2, of the Convention and Article 10(e) and Article 14, paragraph 2, of the Kyoto Protocol.
- <sup>c</sup> Articles 6 and 8 of the Convention, Articles 10(e) and 14 of the Kyoto Protocol and decisions 36/CP.7, 11/CP.8, 7/CP.10, 9/CP.13, 1/CP.16, 7/CP.16, 2/CP.17, 15/CP.18, 23/CP.18 and 6/CMP.2.
  - <sup>d</sup> Articles 8 and 12 of the Convention, Article 14 of the Kyoto Protocol and document FCCC/CP/1996/2.

Table 25

Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Information and Communication Technology programme

#### Objective 1: maintain and strengthen the secretariat's information technology infrastructure<sup>b</sup>

Expected result(s)

Performance indicator(s)

Performance data

Support services meet user requirements

The proportion of information technology service requests responded to and completed within 90 days. Baseline: 70 per cent of requests. Target: 90 per cent of requests

During the reporting period, 21,093 work orders were created by the in-house service desk (excluding the externally contracted international transaction log (ITL) service desk). A total of 99.57 per cent were answered within the timelines specified in the service level agreement (SLA) and 72 per cent were resolved within the timelines specified in the SLA

The performance metrics set for the ITL service desk are: 90 per cent of phone calls answered within 10 seconds, no more than 5 per cent of calls abandoned (user hanging up before being answered) within 20 seconds and 85 per cent of emails answered within 30 minutes. These three targets were met and exceeded in the reporting period: 97.02 per cent of phone calls were answered within 10 seconds, 0.28 per cent of phone calls were abandoned within 20 seconds and 97.65 per cent of emails were answered within 30 minutes

Business-enabling systems, including collaboration and web services, are operated and maintained at agreed service levels

The average availability of business-enabling systems. Baseline: 95 per cent availability. Target: 98 per cent availability

Most business-enabling information systems have been outsourced to an external hosting provider and their monthly availability is governed by SLAs at between 99 and 99.9 per cent. In some cases, where the contractual SLA has been temporarily not met, the contractual service credit mechanism was automatically invoked. The overall stipulated performance target of 98 per cent was met according to available monthly reports from the service provider

Communications, the data centre and related infrastructure services are agreed service levels

Infrastructure services availability during service hours. Baseline: 95 per cent supplied in accordance with availability. Target: 98 per cent availability

According to available data from in-house monitoring systems, internal infrastructure services and dependant information systems exceeded on average the performance benchmark of 98 per cent

#### Objective 2: support the UNFCCC intergovernmental process<sup>c</sup>

Expected result(s)

Performance indicator(s)

Performance data

Conferences and workshops are supported by effective and efficient information technology services

The proportion of conferences and workshops serviced at the agreed levels. Baseline and target: to ensure that 100 per cent are serviced at the agreed

During the reporting period, one session of the Conference of the Parties, two sessions of the subsidiary bodies and 83 workshops and small meetings were all serviced at 100 per cent of the agreed levels. In addition to services for conferences levels

Secure means of collaboration and communication are provided within the secretariat and between the secretariat and stakeholders

The proportion of collaboration and communication services provided at the agreed service levels. Baseline and target: to ensure that 100 per cent are serviced at the agreed levels

Business information and communication technology solutions enable the secretariat to effectively use organizational resources and facilitate processes in compliance with internally and externally agreed standards

technology solutions are provided at the agreed service levels. Baseline and target: to ensure that 100 per cent are serviced at the agreed levels

and meetings, services were also provided for 610 virtual participation/meeting sessions. The virtual presence facilities (such as WebEx, Skype and Voice over Internet Protocol) enabled remote delegates to actively participate in the workshops without the need to travel to the meeting venue. This also included the virtual participation of candidates and panellists in interviews. Detailed statistical data on the internet connectivity and Wi-Fi connection and services maintained during the conferences document that participants were provided with a highly reliable and secure information technology infrastructure, including Wi-Fi, with no service interruptions for the participants

The Information and Communication Technology programme (ICT) has complied with all service levels agreed. A system for encrypted communication between the secretariat and Parties for the ITL was implemented. A secure access and single sign-on for secretariat staff and Parties to the secretariat collaboration and information systems for Parties was implemented and maintained. A cyber and information security framework contract was finalized to allow for rapid response to any unforeseen issues. A vendor was selected in June under this framework contract to perform a vulnerability and penetration test of the secretariat's information technology systems. By the end of June 2017, two test activities out of 19 planned test activities were successfully completed per schedule and according to agreed service levels

Information and communication ICT developed a new data warehouse and reporting platform, which streamlines reporting processes and enables advanced analysis of key climate change data. All services were delivered within the agreed service levels

> The secretariat-wide client relationship management platform was upgraded in January 2017 to enable effective communication and action. New collaboration solutions were implemented to improve management processes for official documents. The upgrade to SharePoint 2013 was implemented and 95 per cent of the upgrade of the sustainable development co-benefits tool version 3 for the Sustainable Development Mechanisms programme was completed by 30 June 2017. A total of 604 enhancements/improvements were implemented to existing platforms that enable organizational effectiveness, including conference support systems and administrative support systems

During the reporting period, all systems reached their availability target of 98 per cent, including planned maintenance time

#### Objective 3: support the implementation of the Convention and the Kyoto Protocol, and support the regulatory systems under the Kyoto Protocol<sup>d</sup>

Expected result(s)

Performance indicator(s)

Performance data

Mandated systems are provided to enable the compilation, analysis and management of data

Mandated systems meet the specified requirements and are delivered on time

ICT provided additional enhancements and releases for the new common reporting format (CRF) Reporter system for reporting GHG inventories and GHG inventory software for Parties not included in Annex I

(greenhouse gas (GHG) data, inventories and other data)

Mandated systems are provided to support the review of national communications, inventories, biennial reports and biennial update reports and the publication of results to advance transparency (measurement, reporting and verification)

Mandated systems meet the specified requirements and are delivered on time

Additional required systems are provided to support the implementation of the Convention and the Kyoto Protocol, and the regulatory systems under the Kyoto Protocol

Mandated systems meet the specified requirements and are delivered on time

to the Convention

ICT maintained and provided releases for the compilation and accounting database and its connection to the ITL

ICT created a business intelligence platform using the latest technology from Microsoft in order to manage and mine data and extract reports from the GHG data

All mandated systems met the specified requirements as defined by the programmes and users and were delivered on time as agreed with the programmes

ICT created GHG-based reports and review tools on top of the new business intelligence platform. The GHG reports are to be shared in advance on the UNFCCC website. The GHG-based reports and review tools are to be provided to the expert review teams in order to ensure the transparency of and verify Parties' submitted data, communications and reports

Enhancements to the Virtual Team Room and biennial reporting common tabular format applications were implemented

Both systems met the specified requirements as defined by the programmes and users and were delivered on time as agreed with the programmes

ICT developed a registry for nationally determined contributions and delivered enhancements and provided support for additional required systems, including but not limited to the finance and technology transfer portals, the standard electronic format reporting tool, the systems for the Nairobi work programme on impacts, vulnerability and adaptation to climate change and national adaptation plans and the capacity-building portal

The systems met the specified requirements as defined by the programmes and users and were delivered on time as agreed with the programmes

- <sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under its Kyoto Protocol.
- <sup>b</sup> Article 8, paragraph 2, of the Convention and Article 14, paragraph 2, of the Kyoto Protocol.
- <sup>c</sup> Articles 8, paragraphs 2 and 12, of the Convention and Article 14 of the Kyoto Protocol.
- <sup>d</sup> Article 12 of the Convention and Articles 5–8, 12 and 17 of the Kyoto Protocol.

Table 26

Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Administrative Services programme

#### Objective 1: facilitate the mobilization, allocation and utilization of resources<sup>b</sup>

Expected result(s) Performance indicator(s) Performance data

Parties are kept fully informed with regard to the receipt and utilization of financial resources Financial statements are made available to Parties in a timely manner

The audited financial statements for 2016 were completed on time and will be presented to the Subsidiary Body for Implementation in November 2017

Coherence and transparency in fundraising and the use of funds

The proportion of donor reports submitted on time. Baseline: 77 per cent in the period from January 2016 to June 2017. Target: to increase the proportion

The implementation of Umoja resulted in the need to manually combine two sets of financial data. Thus, a total of 33 per cent of donor reports were submitted on time

Optimal budget implementation rate

Expenditure levels compared with the approved budget. Target: 99 per cent

The expenditure rate as at 30 June 2017 was 72.6 per cent, which is slightly below the linear rate of 75 per cent and is projected to meet the target

Compliance with United Nations financial regulations and rules and UNFCCC financial procedures

The implementation rate of audit recommendations relating to financial and administrative matters. Baseline: 83 per cent in the period from January to June 2014. Target: 90 per cent implementation rate

The final Board of Auditors report was not issued by 30 June 2017; however, the provisional report indicated that 91 per cent of audit recommendations were under implementation or fully implemented. The not implemented status of 9 per cent represented one audit recommendation that was not accepted by the UNFCCC

Objective 2: facilitate the timely recruitment and retention of staff who meet the highest standards of efficiency, competence and integrity in order to provide the best possible support to mandated activities<sup>c</sup>

Expected result(s)

Competent, motivated and geographically diverse staff balanced in gender are recruited and retained Performance indicators(s)

Performance data

The percentage of staff from Parties not included in Annex I to the Convention (non-Annex I Parties). As at 30 June 2015, 49 per cent of staff in the Professional category and above were from non-Annex I Parties.

Target: to increase this percentage

The percentage of women in posts in the Professional and higher categories. As at 30 June 2015, 41 per cent of staff in the Professional category and above were women. Target: to increase this percentage to 50 per cent

As at 30 June 2017, 45.9 per cent of staff in the Professional and above category were from non-Annex I Parties

As at 30 June 2017, 40.2 per cent of staff in the Professional and above category were women the electric staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and above category were women to be staff in the Professional and the Professional and above category were worth as a staff in the Professional and the Professional

The percentage of recruitments completed within the required time frame. Baseline: four months for a Professional post from advertising to approval by the Executive Secretary. Target: to reduce this time frame to three months

The average time frame for the completion of recruitment cases in the Professional and higher category in 2016 was 5.1 months, indicating a decrease of 0.4 months in comparison with the previous year

Staff are provided with adequate training and development opportunities, enabling them to achieve their full potential at work The percentage of training costs versus total staff costs in the biennium 2014–2015 was 1.12 per cent. Target: to increase this to 2 per cent

The percentage of training costs versus total staff costs in the reporting period was 0.98 per cent

### Objective 3: provide travel, procurement and general services that adequately meet the needs of Parties and the secretariat $^d$

Expected result(s)

*Performance indicator(s)* 

Performance data

#### FCCC/SBI/2017/13

;	The travel of delegates and staff to official meetings is arranged effectively and efficiently	The proportion of participants attending meetings versus nominations	In total, 2,754 of 2,948 nominated participants attended official meetings (93 per cent)
	The procurement of goods and services is carried out in a cost-effective and efficient manner in accordance with United Nations regulations and rules and with UNFCCC policies	The percentage of procurement cases processed within established time frames	In total, 534 of 550 purchase orders were placed within the established time frames (97 per cent)
1			In total, 60 of 93 tenders were completed within the established time frames (65 per cent)
		The average number of responses received per tender	An average of four responses were received in response to each of the 93 tenders conducted
		The price difference between offers selected and highest offers received	The price difference was 33 per cent, or EUR 25,200, on a tender-by-tender basis
	The work environment in the secretariat is adequate, productive and sustainable	The per capita carbon footprint of the secretariat's facility operations and travel <sup>e</sup>	The secretariat's overall carbon footprint in the calendar year of 2015 was 3,765 tonnes of carbon dioxide equivalent (t $CO_2$ eq). Travel of participants generated 67 per cent of these emissions, staff travel 18 per cent and facility operations 15 per cent. Broken down per staff member and other personnel, this translates to 6.6 t $CO_2$ eq per capita in 2015, down from 9.4 t $CO_2$ eq in 2014

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

<sup>&</sup>lt;sup>b</sup> Article 8, paragraph 2(f), of the Convention, Article 14, paragraph 2, of the Kyoto Protocol and decision 15/CP.1.

<sup>&</sup>lt;sup>c</sup> Article 8, paragraph 2(f), of the Convention and Article 14, paragraph 2, of the Kyoto Protocol.

<sup>&</sup>lt;sup>d</sup> Article 8, paragraph 2(f), of the Convention and Article 14, paragraph 2, of the Kyoto Protocol.

<sup>&</sup>lt;sup>e</sup> Emissions are calculated by UN Environment/Sustainable United Nations for the entire United Nations system in the second half of the year following their generation.