



附属履行机构

第三十三届会议

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临时议程项目16(b)

行政、财务和体制事项

2010-2011 两年期预算执行情况

截至2010年6月30日的2010-2011两年期预算执行情况

执行秘书的说明*

内容提要

本文件介绍秘书处管理的各信托基金在2010-2011两年期头6个月的预算执行情况，旨在向缔约方通报截至2010年6月30日的收入、支出和成果。截至2010年6月30日，秘书处已收到1,355万欧元，占2010年指示性缴款预计总额的65%。促进参与《气候公约》进程信托基金收到自愿捐款290万美元；补充活动信托基金收到自愿捐款530万美元。本年度到目前为止，已支出了大约41.5%的核心预算资源，用于规定活动和实现本两年期工作方案的预期成果。此外，秘书处支出了1,020万美元用于补充活动信托基金下的各种项目；从促进参与《气候公约》进程信托基金中支出了240万美元用于支付符合条件的缔约方参加届会的费用。本报告还载有关于清洁发展机制信托基金、国际交易日志信托基金、德国政府特别年度捐款信托基金和方案支助费用状况的信息。本文件还详细报告方案执行情况。

* 由于需进行内部磋商，本文件逾期提交。

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一. 导言

A. 任务

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

B. 本说明的范围

2. 本文件报告截至 2010 年 6 月 30 日的收入和预算执行情况。本文件应与 FCCC/SBI/2009/2/Add.1 号文件和 FCCC/SBI/2010/INF.9 号文件一并阅读, 前者是秘书处的两年期工作方案, 后者是截至 2010 年 11 月 15 日的最新缴款情况。

C. 附属履行机构可采取的行动

3. 附属履行机构(履行机构)不妨注意本文件提供的资料, 并就可能需要列入行政和财务事项决定草案中的行动作出决定, 以建议《公约》缔约方会议第十六届会议和《议定书》缔约方会议第六届会议通过该决定草案。

二. 收入和支出报告

A. 气候公约核心预算信托基金

1. 预算

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

表 1
2010-2011 两年期方案预算和收入
(欧元)

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

2. 收入

5. 截至 2010 年 6 月 30 日，已收到 1,355 万欧元，占 2010 年度指示性缴款总额的 65%；其中包括以往两年期预收的 218 万欧元。收到的以往年度追缴款补充了这一收入。表 2 是 2010 年上半年气候公约核心预算信托基金的实际收入。

表 2
截至 2010 年 6 月 30 日的实际收入
(欧元)

	2010-2011 年
2008-2009 年的结转额 ^a	7,707,723
2010 年《公约》指示性缴款	6,521,884
2010 年《京都议定书》指示性缴款	5,023,567
东道国政府的自愿捐款	766,938
利息和杂项收入 ^a	267,591
减去：周转准备金 ^a	1,835,445
实际收入总计	18,452,258

^a 在适用情况下，所使用的汇率(1 美元=0.819 欧元)是 2010 年 6 月的联合国官方汇率。

6. 截至 2010 年 6 月 30 日，《公约》的前 10 名缴款方中的 3 个缴款方或前 20 名缴款方¹ 中的 5 个缴款方尚未缴款。在 194 个《公约》缔约方中，115 个缔约

¹ 前 10 名缴款方的缴款占指示性缴款总额的 70.6%，前 20 名缴款方的缴款占 85.9%。

方未支付 2010 年缴款。9 个缔约方自 1996 年《公约》问世以来从未向核心预算缴过款。表 3 是 1996-2009 年期间以美元表示的拖欠《公约》缴款的情况和 2010 年以欧元表示的拖欠情况。

表 3
截至 2010 年 6 月 30 日各年度拖欠的《公约》缴款

	缔约方数目	拖欠款额
自以下年份 1 月 1 日起未缴(以美元计):		
1996 年	9	5,212
1997 年	12	8,563
1998 年	13	3,914
1999 年	13	4,713
2000 年	14	4,995
2001 年	18	11,315
2002 年	18	16,918
2003 年	20	19,004
2004 年	25	40,075
2005 年	28	40,177
2006 年	33	44,974
2007 年	42	71,891
2008 年	46	94,892
2009 年	65	318,328
合计(美元)		684,971
自 2010 年 1 月 1 日起未缴(以欧元计)	115	5,352,756

7. 截至 2010 年 6 月 30 日,《京都议定书》的前 10 名缴款方中的 3 个缴款方或前 20 名缴款方²中的 4 个缴款方尚未缴款。表 4 显示 2005-2009 年期间以美元表示的拖欠缴款的情况和 2010 年以欧元表示的拖欠情况。

² 前 10 名缴款方的缴款占指示性缴款总额的 65.6%，前 20 名缴款方的缴款占 83.1%。

表 4
截至 2010 年 6 月 30 日各年度拖欠的《京都议定书》缴款

	缔约方数目	拖欠款额
自以下年份 1 月 1 日起未缴(以美元计):		
2005 年	23	3,363
2006 年	30	15,344
2007 年	40	34,908
2008 年	49	49,612
2009 年	65	354,949
总计(美元)		458,176
自 2010 年 1 月 1 日起未缴(以欧元计)	121	1,956,587

3. 支出

8. 截至 2010 年 6 月 30 日, 支出额为 810 万欧元(加上方案支助费用为 920 万欧元), 占 2010 年核定预算的 41.5%。表 5 是各方案 2010 年预算拨款与头 6 个月支出的比较。

表 5
截至 2010 年 6 月 30 日各方案支出情况
(欧元)

	2010 年核定预算	截至 2010 年 6 月 30 日的支出情况	支出占预算的 百分比
A. 方案			
行政领导和管理	1,975,013	775,829	39.3
报告、数据和分析	4,148,327	1,658,143	40.0
财务和技术支助	2,588,319	1,069,656	41.3
适应、技术和科学	2,208,655	893,595	40.5
可持续发展机制	425,755	218,354	51.3
法律事务处	1,557,922	500,654	32.1
会议事务处	1,445,629	833,374	57.6
信息事务处	3,725,976	1,617,283	43.4
B. 全秘书处业务费用^a	1,449,784	532,435	36.7
总计(A+B)	19,525,380	8,099,323	41.5

^a 全秘书处的业务费用由行政事务方案管理。

9. 表 6 将支出分为 6 类。“工作人员费用”包括作为核准员额聘用的工作人员薪金和职员共同费用、短期工作人员薪金、临时助理费用以及加班费。其他外部

专家(包括个人和机构)列在“顾问”项下。工作人员公务差旅费与专家参加研讨会和非正式磋商的差旅费分开列出。对物品和服务供应商的付款以及电信费等日常费用合并列于“一般业务开支”项下。“赠款和捐款”包括支付驻德国波恩的联合国共同服务股(它向秘书处提供后勤和行政服务)的房舍管理费和政府对气候变化专门委员会(气专委)的年度捐款。

表 6
截至 2010 年 6 月 30 日的支出情况
(欧元)

支出用途	2010 年核定预算 (欧元)	截至 2010 年 6 月 30 日的 支出情况(欧元)	支出占预算的 百分比	按用途分列的 支出百分比
工作人员费用	14,509,550	6,164,088	42.5	76.1
顾问	690,212	236,959	34.3	2.9
专家组	892,482	323,250	36.2	4.0
工作人员旅费	663,535	388,012	58.5	4.8
一般业务开支	2,004,112	788,655	39.4	9.7
赠款和捐款	765,489	198,359	25.9	2.5
直接开支总计	19,525,380	8,099,323	41.5	100.0

10. 大部份支出用途仍处于 50%理想执行率之下。工作人员旅费支出较高,这是由于预付为筹备将于 2010 年下半年举行的届会派出的若干次技术差旅任务的费用。收到资金时,这些支出被冲销。2009-2010 学年度的教育津贴结清后,后 6 个月的工作人员费用支出预计将接近理想执行率。两年期头 6 个月专家组费用仍然较低,这主要是因为履约委员会会议少于计划。其部分原因是广泛使用了电子决定手段,从而减少了需为履约委员会组织的面对面会议的数量。

B. 参与《气候公约》进程信托基金

11. 秘书处继续执行向符合条件的缔约方提供资助的现行政策。根据联合国贸易和发展会议公布的统计资料 2007 年人均国内生产总值未超过 7,500 美元的缔约方有资格获得资助。对于小岛屿发展中国家,该上限提高到 14,000 美元。

1. 收入

12. 截至 2010 年 6 月 30 日,已收到本两年期自愿捐款 290 万美元。加上前一个财政期的结转余额、应计利息和其它杂项收入,总收入为 690 万美元。

2. 支出

13. 2010-2011 两年期头 6 个月共支出 240 万美元,包括符合条件的缔约方参加在波恩举行的两届会议的费用和其它旅行相关费用,收入超出支出的余额为 450 万美元。在留出大约 110 万美元作为业务准备金(以 2009 年支出额的 10%计算)

后，其余额，加上对该信托基金的任何新的自愿捐款，将用于资助符合条件的缔约方参加《公约》之下的长期合作行动特设工作组和附件一缔约方在《京都议定书》之下的进一步承诺问题特设工作组的另外两届会议，其中一届会议于 2010 年 8 月 2 日至 6 日在德国波恩举行，另一届会议将于 2010 年 10 月 4 日至 9 日在中国天津举行。该余额也将用于资助符合条件的缔约方参加第十六届《公约》缔约方会议和第六届《议定书》缔约方会议，这两届会议将于 2010 年 11 月 29 日至 12 月 10 日在墨西哥坎昆举行。

14. 表 7 是报告所述期间促进参与《气候公约》进程信托基金的收支情况。

表 7

截至 2010 年 6 月 30 日促进参与《气候公约》进程信托基金状况
(美元)

收入	
2008-2009 年的结转额	3,596,966
上期承付款项的节省额	11,181
2010-2011 年收到的缴款	2,934,746
利息	36,481
杂项收入 ^a	288,096
收入总计	6,867,470
支出	
200 名与会者出席进一步承诺问题特设工作组第九届会议和长期合作行动特设工作组第十一届会议的旅费	657,509
204 名与会者出席附属履行机构和附属科学技术咨询机构第三十二届会议、进一步承诺问题特设工作组第十二届会议和长期合作行动问题特设工作组第十届会议的旅费	1,355,817
筹备出席进一步承诺问题特设工作组第十三届会议和长期合作行动问题特设工作组第十一届会议的差旅预支费用	48,596
其它差旅相关费用	20,805
直接支出合计	2,082,727
方案支助费用	270,755
支出总计	2,353,482
余额	4,513,988

^a 包括 2009 年收到的并于 2010 年作了划拨的 269,179 美元西班牙捐款。

C. 补充活动信托基金

15. 补充活动信托基金通过缔约方的自愿捐款，继续为许多规定核心活动提供资金，使秘书处能够更有效地执行本两年期工作方案。为支持进一步承诺问题特设工作组和长期合作行动问题特设工作组之下的谈判所作的捐款以及联合履行项目收费，也缴入本信托基金。

1. 收入

16. 报告所述期间收到的自愿捐款为 530 万美元³。此外，157,740 美元联合履行项目收费已记入本信托基金。考虑到 2008-2009 两年期的结转余额、利息和杂项收入以及上期承付款项的节省额，本信托基金的收入目前为 2,590 万美元。

2. 支出和承诺

17. 秘书处已为本两年期实施的各种项目(见附件二)总共支出了 1,020 万美元，其中一些项目是前一个两年期的接转项目。1,470 万美元的可用余额，加上收到的任何新的自愿捐款，将用于资助本两年期剩余时间的持续活动。

18. 表 8 是报告所述期间补充活动信托基金的收支情况，包括与联合履行项目相关的收费收入。

表 8

截至 2010 年 6 月 30 日的补充活动信托基金状况
(美元)

收入	
2008-2009 年的结转额	20,564,379
上期承付款项的节省额和对捐助方的退款	120,328
自愿捐款	4,852,289
联合履行收费	157,740
利息和其它杂项收入	213,113
收入总计	25,907,849
支出	
支出和承诺	9,109,268
方案支助费用	1,067,348
支出总计	10,176,616
收支净额	15,731,233
收费预留	
2006-2009 年收到的联合履行收费	1,229,853
2010 年 1 月至 6 月收到的联合履行收费	157,740
结余	14,343,640

³ 2010 年对 2008-2009 年收到的 473,981 美元自愿捐款进行了划拨，已从本期自愿捐款总额中划销。

D. 清洁发展机制信托基金

19. 2010-2011 两年期在清洁发展机制信托基金(见表 9)下的收入为 1 亿美元，其中包括前一个两年期的结转额。截至 2010 年 6 月 30 日的支出为 1,370 万美元。扣除业务准备金后的余额为 4,140 万美元。

20. 如欲了解清洁发展机制预算执行情况的更多详细信息，请参阅清洁发展机制执行理事会提交《议定书》缔约方会议的年度报告(FCCC/KP/CMP/2010/10)。

表 9

截至 2010 年 6 月 30 日的清洁发展机制信托基金状况
(美元)

收入	
2008-2009 年的结转额	81,954,684
2010-2011 年收入	
清洁发展机制收费	17,359,357
利息	734,118
收入总计	100,048,159
支出用途	
工作人员	7,084,792
顾问	599,329
专家	2,125,983
工作人员旅费	257,195
代表旅费	1,005,137
培训	60,651
业务开支	350,475
合同服务	27,190
通信	44,448
用品、材料、家具和设备	33,171
研究金、补助金和捐款	446,000
其它支出	206,303
方案支助费用	1,476,097
支出总计	13,686,718
减去：业务准备金	45,000,000
结余	41,361,441

E. 国际交易日志信托基金

21. 表 10 是截至 2010 年 6 月 30 日国际交易日志信托基金的收入状况。在报告所述期内，已收缴了 2010 年的 90.3% 的收费。

表 10
截至 2010 年 6 月 30 日的国际交易日志信托基金状况
(欧元)

收入	
2008-2009 年的结转额 ^a	2,147,051
2010 年收缴的国际交易日志收费	2,263,725
利息和其它杂项收入 ^a	303,982
减去：业务准备金 ^a	352,290
收入总计	4,362,468

^a 在适用情况下，所使用的汇率(1 美元=0.819 欧元)是 2010 年 6 月的联合国官方汇率。

22. 表 11 是国际交易日志信托基金按支出用途分列的支出情况。在减去支出总额和业务准备金后，结余 300 万欧元。欲进一步了解国际交易日志预算执行情况的详细信息，请参阅《京都议定书》之下的国际交易日志管理人的年度报告 (FCCC/KP/CMP/2010/8)。

表 11
截至 2010 年 6 月 30 日的支出情况
(欧元)

支出用途	2010 年核定 预算(欧元)	截至 2010 年 6 月 30 日的 支出情况(欧元)	支出占预算的 百分比	按用途分列的 支出百分比
工作人员费用	740,965	321,199	43.4	23.8
订约人和顾问	1,703,092	819,989	48.2	60.7
专家组	24,475	12,533	51.2	0.9
工作人员旅费	13,986	7,609	54.4	0.6
一般业务开支	48,951	22,404	45.8	1.7
共同服务缴款	81,600	10,349	12.7	0.8
方案支助费用	339,699	155,231	45.7	11.5
直接支出总计	2,952,768	1,349,314	45.7	100.0

F. 德国政府特别年度捐款信托基金(波恩基金)

23. 作为《气候公约》秘书处设在波恩协议内容的一部分，德国政府承诺缴纳 180 万欧元特别年度捐款(波恩基金)。6 月 30 日前，已全额收到 2010 年捐款额。使用该基金支付了附属履行机构和附属科学技术咨询机构的第三十二届会议的组织工作以及确保与该届会议相关的信息流所发生的费用。还使用该基金组织了进一步承诺问题特设工作组第十一届和第十二届会议以及长期合作行动问题特设工作组第九届和第十届会议(包括八场届会前会议)，这些会议都是在报告所述期间在波恩举行的。表 12 是截至 2010 年 6 月 30 日波恩基金的 2010 年收支情况。

24. 由于按照联合国安全和安保部的正式要求增加了安全措施，支出率高于往年。德国联邦财政部将于今年晚些时候退还支出中所含的附加增值税。

表 12

截至 2010 年 6 月 30 日的波恩基金状况
(欧元)

收入	
2008-2009 年的结转额 ^a	330,575
捐款	1,789,522
利息和杂项收入 ^a	8,116
收入总计	2,128,213
支出	
会议支持	1,288,215
会议信息支持	341,960
共同服务费用分摊	6,745
方案支助费用	212,866
支出总计	1,849,786
前期调整额 ^a	1,575
减去：周转准备金 ^a	245,700
结余	34,302

^a 在适用情况下，所使用的汇率(1 美元=0.819 欧元)是 2010 年 6 月的联合国官方汇率。

G. 方案支助费用

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

26. 截至 2010 年 6 月 30 日,2010 年 1 月 1 日至 2010 年 6 月 30 日期间的收入为 1,550 万美元,包括利息和杂项收入。在同一期间,使用了 340 万美元支付工作人员和非工作人员费用。据估算,2010 年,联合国日内瓦办事处所提供服务的收费为 65 万美元,将在下半年入账并支付。表 13 是 2010-2011 两年期头 6 个月的方案支助费用情况。

表 13

截至 2010 年 6 月 30 日的方案支助费用状况
(美元)

收入	
2008-2009 年的结转额	10,731,938
各信托基金支付的方案支助费用收入	4,662,509
利息和杂项收入	119,920
收入总计	15,514,367
支出	
秘书处工作人员费用	3,054,511
秘书处非工作人员费用	266,610
共同服务费用分摊额	115,585
支出总计	3,436,706
减去: 业务准备金	2,199,048
结余	9,878,613

三. 方案执行

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

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

A. 行政领导和管理

29. “行政领导和管理”方案的总体目标是，确保秘书处对《公约》和《京都议定书》机构的各种需要作出回应并确保秘书处工作的总体连贯性。“行政领导和管理”方案还协调外联和合作活动，尤其是与联合国系统进行的外联和合作活动，支持《公约》缔约方会议和《议定书》缔约方会议主席和主席团，并指导全秘书处对政府间进程提供的支持。

30. 2010年上半年，“行政领导和管理”方案的工作重点是，支持缔约方采取协调努力，以便在《公约》缔约方会议第十五届会议和《议定书》缔约方会议第五届会议的成果基础上向前拓展，并为候任主席国筹备《公约》缔约方会议第十六届会议和《议定书》缔约方会议第六届会议提供支持。“行政领导和管理”方案继续协调秘书处对长期合作行动问题特设工作组和进一步承诺问题特设工作组工作的支持，包括为这些机构在2010年举行额外会议做筹备工作。执行秘书筹集了资金，以确保这些额外会议具备适当资源。执行秘书确保了《公约》缔约方会议、《议定书》缔约方会议和进一步承诺问题特设工作组的届会报告得到及时发布，还确保了对缔约方就《哥本哈根协议》传达的信息进行汇编并在《气候公约》网站上发布。

31. 考虑到《公约》缔约方会议第十五届会议的经验以及缔约方和主席团对重建对《气候公约》进程信心的呼吁，执行秘书启动了一个项目，以期提高该进程的有效性，包括观察员组织的作用和参与水平。在这种背景下，在2010年第一次会议上，主席团一致认为，在遵循联合国系统原则和内部模式的同时，改善谈判方法十分重要。执行秘书还启动了一项对秘书处在后勤、与会者登记和入场方面所作安排的评估，以期改善服务与支持系统。

32. 执行秘书继续加强与联合国秘书处、专门机构和国际组织的合作，以支持《气候公约》进程和为执行《公约》缔约方会议和《议定书》缔约方会议的决定所采取的行动。在联合国系统行政首长协调委员会框架内，秘书处继续支持进一步拟订一个连贯方针，联合国系统实体可藉此方针向气候变化活动的实施工作提供支持。目前正在10个合作领域开展努力。⁴ 执行秘书还参与了秘书长的能源和气候变化问题咨询小组的工作，该咨询小组于2010年4月28日推出了小组报告，⁵ 建议了两项关键目标：确保能源的普遍获取途径和降低全球能源密度。其他努力包括与联合国系统组织开展的双边合作，其中包括联合国粮食及农业组织(粮农组织)、联合国环境规划署(环境署)、联合国开发计划署(开发署)、联合国工业发展组织(工发组织)和世界银行。

⁴ 这10个领域为：5个重点领域(适应；技术转让；减少毁林和森林退化所致排放量；缓解与适应行动融资；能力建设)和5个横贯领域(气候知识：科学、评估、监测和预警；支持全球、区域和国家行动；气候中性的联合国；提高公众认识；气候变化的社会层面)。

⁵ 可在以下网站获得该报告：<<http://www.un.org/wcm/webdav/site/climatechange/shared/Documents/AGECC%20summary%20report%5B1%5D.pdf>>。

33. 执行秘书为改善秘书处专业人员及以上职级工作人员的性别和地域平衡所作的努力，使来自非《公约》附件一缔约方(非附件一缔约方)的工作人员比例进一步增加，截至 2010 年 6 月 30 日，占专业人员及以上职级所有工作人员的大约 56%。女工作人员人数也有显著增加，截至 2010 年 6 月 30 日，占大约 40%。因此，过去 4 年中，来自非附件一缔约方的专业人员及以上职级工作人员人数增加了大约 28%，这些职类中的女工作人员人数增加了将近 12%。

34. 在将秘书处作为一个机构加以管理和发展方面，执行秘书决定精简内部管理决策结构，通过一个单一管理机关——秘书处的管理小组，集中对内部政策发展进行监督。作为对 2009 年推出的 360 度反馈过程的后续措施，对具有管理职能的工作人员进行了进一步辅导和培训，以加强管理技能。为加强对战略问题工作的协调，执行秘书建立了一个战略发展专责小组，该小组借鉴各方案的专门知识，就跨领域战略问题开展工作并向高级管理人员提供咨询意见。

B. 报告、数据和分析

35. “报告、数据和分析”方案为《公约》附件一缔约方(附件一缔约方)的整个报告与审评制度提供组织支持。在报告所述期间，“报告、数据和分析”方案继续支持《公约》及其《京都议定书》之下的稳健报告与审评进程。该方案为加强这一进程作出了贡献；加强这一进程是必需的，因为同时也是《京都议定书》缔约方的附件一缔约方于 2010 年开始须按规定提交报告，对于提交和审评附件一缔约方第五次国家信息通报的工作而言加强这一进程也是必需的。

36. 根据《公约》及其《京都议定书》之下的现有任务要求，41 个附件一缔约方中的 39 个缔约方提交了第五次国家信息通报。在秘书处的协调下，2010 年上半年，国际专家审评组进行了 8 项国别实地审评；秘书处计划在下半年进行另外 4 项审评。⁶

37. 对于同时也是《京都议定书》缔约方的附件一缔约方而言，《公约》之下的第五次国家信息通报载有证明遵守情况的补充资料。这些缔约方于 2010 年 4 月 15 日提交了关于温室气体排放清单和有关事项的年度资料。审评过程得到了加强，以涵盖这一补充资料，这一补充资料对于履行《京都议定书》而言是必需的。

38. 作为 2010 年报告和审评周期的一部分，“报告、数据和分析”方案收到和处理了所有附件一缔约方提交的年度温室气体清单，包括同时也是《京都议定书》缔约方的附件一缔约方按照《京都议定书》第七条第 1 款提交的补充材料。

39. 为保持和提高审评进程的有效性，秘书处编制了《京都议定书》之下的审评工作新培训课程，并加强了对《公约》和《京都议定书》之下的审评专家的培

⁶ 其余的第五次国家信息通报的审评工作计划于 2011-2012 年进行。

训支持工作。此外，秘书处继续组织了主任审评员会议，并向其提供了相关分析，这些分析对于确保审评进程的质量和一致性十分关键。

40. 秘书处继续对科技咨询机构在修订“《公约》附件一缔约方国家信息通报编制指南，第一部分：《气候公约》年度清单报告指南”这一工作方案方面的工作提供了支持：秘书处编写了有关材料，组织了一次研讨会，并且在科技咨询机构届会期间提供了支持。

41. “报告、数据和分析”方案继续通过《气候公约》网站上的温室气体数据界面提供附件一缔约方报告的温室气体数据。⁷ 为提高数据质量，已计划在2010年对该界面进行三次更新(以往年份仅进行了一次定期更新)；这将确保缔约方和广大公众能获得最新现有数据。三次更新中的第一次更新是在3月份进行的，此次更新提供了附件一缔约方2009年温室气体数据的最终版本以及2009年11月至2010年3月期间收到的10个非附件一缔约方国家信息通报中的数据和清单数据集。在报告所述期间，作出了筹备工作，以便于2010年7月7日发布第二次更新。⁸

42. 在报告所述期间，“报告、数据和分析”方案回复了缔约方、国家和国际组织、媒体和个人提出的109项温室气体数据要求。此外，已为以下两个主要年度数据报告开始了筹备工作：载有1990-2008年附件一缔约方温室气体清单数据的温室气体数据报告和载有在《京都议定书》附件B中有规定承诺的《公约》缔约方(附件B缔约方)2009年核算数据的汇编与核算报告。

43. 作为联合国系统内部的数据相关合作的一部分，“报告、数据和分析”方案向整个联合国的数据门户⁹和向负责编写《千年发展目标2010年度报告》¹⁰的专家组提供附件一缔约方的关键温室气体数据，秘书长于2010年6月23日在美丽坚合众国纽约发布了该年度报告。

44. “报告、数据和分析”方案继续研拟和改善附件一缔约方的温室气体清单数据报告系统。这包括：持续改进通用报告格式报告软件，向使用通用报告格式报告软件的缔约方提供持续支持，及时发布清单审评工具和载有温室气体排放趋势信息的文件。“报告、数据和分析”方案成功完成并发布了通用报告格式模块，以支持《京都议定书》第三条第3和第4款下的报告提交工作。“报告、数据和分析”方案进一步加强了温室气体数据界面：它设计了一个全球在线示意

⁷ 可在以下网站获得：<http://unfccc.int/ghg_data/items/3800.php>。

⁸ 此次更新提供2010年版本附件一数据(基于截至2010年5月28日收到的附件一缔约方提交的温室气体清单资料)，以及非附件一缔约方新提交的两份第二次国家信息通报所含数据和两份新的清单数据集。

⁹ 可在以下网站参阅：<<http://data.un.org/>>。

¹⁰ 可在以下网站获得：<<http://mdgs.un.org/>>。

图，¹¹ 可互动访问附件一缔约方的温室气体数据，其中载有从基准年至最近的可有资料年份期间的人为温室气体排放量/清除量信息。

45. 在开发国际交易日志方面取得了进一步进展，目前有 37 个国家登记册系统参与国际交易日志的运作。国际交易日志管理员继续支持国际交易日志的运作，为《京都议定书》之下的排放量交易提供了很高的使用国际交易日志的机会。国际交易日志软件进行了几次升级，显著改善了国际交易日志的性能并提高了用户友好性。

46. “报告、数据和分析”方案在支持《公约》及其《京都议定书》之下就附件一缔约方未来可能承诺所涉事项进行的谈判方面发挥了领导作用，其中包括与温室气体清单相关的排放量目标和方法学问题，列入《气专委第四次评估报告》但在《京都议定书》之下的第一个承诺期中未作规定的工业气体(亦称为新气体)以及通用指标。此外，“报告、数据和分析”方案对于报告和审评方面的今后可能要求相关的谈判提供了支持。

C. 财务和技术支助

47. “财务和技术支助”方案向缔约方、特别是向非附件一缔约方提供支助，在以下领域帮助它们履行《公约》及其《京都议定书》：《公约》及其《京都议定书》之下的财务资源动员便利化问题；非附件一缔约方的国家信息通报；国家适应行动方案；能力建设；以及教育、培训和公众认识活动。

48. 在报告所述期内，该方案对若干领域的谈判提供了支持，其中包括资金机制的第四次审查、适应基金、能力建设和非附件一缔约方国家信息通报。对长期合作行动问题特设工作组之下开展的关于强化资金机制、发展中国家的缓解行动以及加强能力建设行动的谈判提供的支持，也占用了很大一部分资源。

49. “财务和技术支助”方案继续在《气候公约》网站上的金融门户和完成国家经济、环境和发展研究这两个方面开展工作。¹² 该方案继续就若干问题与全球环境基金进行联络，其中包括《气候变化特别基金》；《最不发达国家基金》；《环境基金的信托基金》之下的气候变化活动；对非附件一缔约方的国家信息通报提供资金和国家适应行动方案的实施工作。

50. “财务和技术支助”方案协助最不发达国家专家组(专家组)举行了会议，并为实施促进履行《公约》第四条第 9 款的工作方案提供了支持。一个最不发达国家提交了一份已完成的《国家适应行动方案》，使提交总数达到 44 份。已向《环境基金》提交了 37 个实施项目，以期通过《最不发达国家基金》提供资金。《环境基金》首席执行官核可了其中 19 个项目。专家组就《国家适应行动

¹¹ 可在以下网站参阅：<<http://maps.unfccc.int/di/map/>>。

¹² 可在以下网站了解关于此项目的更多信息：
<http://unfccc.int/cooperation_and_support/financial_mechanism/items/5630.php>。

方案》的编制、修订和实施所涉事项提供指导和技术咨询。在《环境基金》的支持下和在秘书处的协助下，专家组就实施《国家适应行动方案》问题组织了第 2 次和第 3 次研讨会，该系列共有 5 个研讨会。¹³

51. “财务和技术支助”方案继续向非附件一缔约方提供可供其编制《国家信息通报》使用的资金与技术支持信息。已制作了一份通讯并向发展中国家的国家联络点、国家信息通报协调员和专家散发。¹⁴ 该方案向重新组建的非《公约》附件一缔约方国家信息通报专家咨询小组第一次会议提供了支持。应要求，编写了一份“非附件一缔约方编制《国家信息通报》资料指南”并发给非附件一缔约方。¹⁵ 在东南亚非附件一缔约方提出关于国家温室气体清单问题(重点是土地利用、土地利用的变化和林业部门)的请求后，“财务和技术支助”方案继续对一个旨在处理 9 个缔约方所确定的需要的项目进行协调。¹⁶

52. 通过促进伙伴关系和推动政府间组织和非政府组织开展行动，该方案继续对执行关于《公约》第六条的经修订的《新德里工作方案》提供支持。“财务和技术支助”方案在拉丁美洲和加勒比区域组织了一次关于执行《公约》第六条问题的区域研讨会，并提供了迄今举行的三次区域研讨会报告，供附属履行机构第三十三届会议审议，以便对经修订的《新德里工作方案》的执行进展情况进行中期审查。¹⁷

53. 该方案启动了以下工作：从信息网络交换中心(CC: iNet)试验阶段向全面启用过渡。¹⁸ “财务和技术支助”方案对秘书处的研究金方案进行了协调，以期促进能力建设活动，以应对非附件一缔约方、尤其是小岛屿发展中国家和最不发达国家的气候变化。2009 年 12 月至 2010 年 4 月，向 4 位年轻专业人士颁发了研究金，他们在秘书处进行公众认识、温室气体清单和适应技术领域的研究项目。2010 年 6 月推出了第三轮研究金方案。此外，在《联合国儿童、青年和气候变化联合框架倡议》下，该方案出版了一本小册子：《青年参与<气候公约>谈判进程》。

¹³ 一个研讨会是为法语最不发达国家举办的，于 2010 年 2 月 8 日至 12 日在马里巴马科举行。另一个研讨会为亚洲最不发达国家举办，于 2010 年 5 月 4 日至 8 日在老挝人民民主共和国万象举行。

¹⁴ 可在以下网站参阅此通讯：<<http://unfccc.int/354.php>>。

¹⁵ 可在以下网站参阅“非附件一缔约方编制国家信息通报资料指南”：
<http://unfccc.int/essential_background/background_publications_htmlpdf/items/2625.php>。

¹⁶ 柬埔寨、印度尼西亚、老挝人民民主共和国、马来西亚、巴布亚新几内亚、菲律宾、新加坡、泰国和越南。

¹⁷ FCCC/SBI/2010/2、FCCC/SBI/2010/3 和 FCCC/SBI/2010/9。

¹⁸ 可在以下网站参阅：<http://unfccc.int/cc_inet/items/3514.php>。

D. 适应、技术和科学

54. “适应、技术和科学”方案对缔约方提供支持，满足缔约方在以下两个方面的特定需要和关切：气候变化的影响、气候变化不利影响方面的脆弱性及其适应；实施应对措施的影响。“适应、技术和科学”方案进一步支持《气候公约》进程的以下活动：加强技术开发和转让，提高缔约方在制定国际气候政策和采取国际气候行动方面的方法学和科学基础，包括采取行动减少发展中国家毁林和森林退化所致排放量(REDD)。该方案协调对科技咨询机构提供的支持，促进该机构以有效能和有效率的方式运作。

55. 在报告所述期内，“适应、技术和科学”方案继续支持关于适应、应对措施和潜在影响问题的谈判。该方案使广泛的利益相关方参与其中，以支持《关于气候变化的影响、脆弱性和适应的内罗毕工作方案》，这种做法产生了大量的《内罗毕工作方案》伙伴组织和行动承诺。¹⁹ 通过编写若干文件和出版物，组织两次技术研讨会和开发用户友好型数据库(例如，“评估气候变化影响、脆弱性和适应的方法和工具汇编”)，“适应、技术和科学”方案促进了知识共享和学习并推动了适应行动。²⁰

56. “适应、技术和科学”方案支持缔约方推动关于技术开发和转让问题的谈判和编写报告以支持履行机构审查《公约》第四条第 1 款(c)项和第 5 款的执行效果。“适应、技术和科学”方案对进一步执行技术转让框架提供了便利，继续支持技术转让专家组及时执行工作方案和与私营部门代表进行对话。它与发展中国家缔约方联络，以评估其技术需要；与联合国开发计划署合作，以更新《气候变化技术需要评估手册》²¹；与联合国环境规划署/全球环境基金合作，以实施《波兹南技术转让战略方案》。“适应、技术和科学”方案继续开展努力，提高缔约方的技术转让项目融资筹备能力，包括通过举办区域培训研讨会的途径。在与技术开发和转让相关的多种问题上，“适应、技术和科学”方案与国际能源机构、环境署、工发组织、欧洲专利局、世界知识产权组织和联合国训练研究所开展了合作。该方案继续维护和更新技术信息交换所(TT: CLEAR)。

57. “适应、技术和科学”方案继续支持就缓解工作的科学、技术和社会经济层面所涉事项(包括减少毁林和森林退化所致排放量(REDD)、土地利用、土地利用的变化和林业(LULUCF)、部门合作方法、特定部门行动和国际运输所用燃料产生的排放量)开展的谈判。该方案组织了一次非正式专家会议，讨论对气专委指导意见和指南²² 的使用方面的能力建设活动加强协调事宜；方案进一步开发和维护了 REDD 网络平台²³，以加强信息和经验分享。

¹⁹ 详见附件三，表 22。

²⁰ 可在以下网站参阅：<<http://unfccc.int/5457.php>>。

²¹ 可在以下网站参阅：<<http://unfccc.int/ttclear/jsp/TNAHandbook.jsp>>。

²² 可在以下网站参阅：<http://unfccc.int/methods_science/redd/items/5603.php>。

²³ 可在以下网站参阅：<http://unfccc.int/methods_science/redd/items/4531.php>。

58. 依照科技咨询机构的有关授权，“适应、技术和科学”方案组织了关于与《公约》需要相关的研究活动动态情况的科技咨询机构对话第四次会议，²⁴ 缔约方进一步加强了参与。对话有助于加强缔约方与研究方案和研究组织(包括气专委)之间的沟通并确定《公约》下的研究需要。“适应、技术和科学”方案与气专委、世界气象组织及该组织下的有关方案、区域和国际全球气候变化研究方案和组织、《联合国防治荒漠化公约》以及臭氧秘书处密切合作，使相关信息便于流入《公约》进程。该方案与粮农组织、开发计划署、环境规划署和世界银行合作，以加强发展中国家采取 REDD 和农业行动的能力；与国际海事组织和国际民用航空组织合作，向缔约方通报这些组织在国际航空和海上运输方面开展的有关工作。

E. 可持续发展机制

59. 在报告所述期间，“可持续发展机制”方案的主要作用仍然是向清洁发展机制执行理事会和联合履行监督委员会提供支持，这两个机构是为监督《京都议定书》之下基于项目的机制的实施工作而组建的。

60. 为更好地支持这两个机构，“可持续发展机制”方案进行了根本性重组。新结构严格对应清洁发展机制和联合履行机制下设立的进程，这些进程涉及法学和标准的创制与维护以及对获认证实体和项目的评估。新结构便于处理两个机制的各种利益相关方所遇到的问题。

61. 在报告所述期间，依照 2010 年清洁发展机制管理计划，“可持续发展机制”方案为清洁发展机制执行理事会及其专题小组和工作组的 15 次会议作出了安排，包括编写和印发大约 970 份文件。该方案继续促进关于基于项目的机制的对话，组织了 6 次协调研讨会和(或)培训研讨会。通过进一步开发清洁发展机制网站²⁵ 和编制《清洁发展机制决定目录》，²⁶ 以及通过参与有利益相关方参加的活动，沟通和透明度得到了加强。“可持续发展机制”方案定期更新清洁发展机制动态新闻页面，²⁷ 提供关于清洁发展机制的最新信息。²⁸ 该方案还继续管理清洁发展机制登记册的日常业务，开设账号和执行交易。“可持续发展机制”

²⁴ 可在以下网站参阅关于科技咨询机构第三十二届会议的研究对话会议的专题陈述和信息：http://unfccc.int/methods_and_science/research_and_systematic_observation/items/5609.php。

²⁵ 每月在 123,000 名唯一访问者中，有 20,000 名具名用户使用清洁发展机制网站 (<http://cdm.unfccc.int/index.html>)，每月下载大约 26,000 份文件。

²⁶ 可在以下网站查阅：<<http://cdm.unfccc.int/Reference/catalogue/search>>。

²⁷ 可在以下网站参阅：<<http://cdm.unfccc.int/CDMNews/rss.html>>。

²⁸ 在报告所述期间，共计有 800,000 多次页面访问。

方案与其伙伴在《内罗毕框架》方面开展了合作，²⁹ 以期加强清洁发展机制项目活动的公平地域分配，包括通过进一步发展‘清洁发展机制集市’之途径。³⁰

62. 该方案为登记 263 项清洁发展机制项目活动³¹ 和发放 4,670 万核证减排量³² 提供了支持。该方案为清洁发展机制执行理事会通过“经修订的清洁发展机制活动方案登记相关程序和指南”以及为发布活动方案首次登记申请提供了支持。

“可持续发展机制”方案已采取了措施，这些措施可望显著增加完整性检查的及时性，同时加强向执行理事会提供项目评估信息。该方案继续通过清洁发展机制网站扩大提供关于登记和发放问题的信息，³³ 从而减少了与内部程序管理问题相关的项目查询量。在报告所述期间，所有新方法学都是完全按照既定程序和时限处理的。与方法学和标准制定、登记、发放和认证相关的统计资料列于附件三表 23 目标 1 下。

63. “可持续发展机制”方案为联合履行监督委员会(监委会)的三次会议和联合履行认证小组的三次会议作出了安排。联合履行机制资金短缺问题是六月份举行的监委会会议的一个主要讨论议题。为节省资金，监委会决定取消下次预定会议并于十月份重新召集会议，并力图减少未来开支，同时设法提请缔约方关注资金困境。联合履行的详细统计资料列于附件三表 23 目标 2 下。

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

65. “可持续发展机制”方案的关键管理挑战包括，实施新结构和减少清洁发展机制项目积压案件量。框架合同的拟订和实施工作使外部专长得到利用，藉以处理评估需求方面的积压和未来峰量。该方案管理部门的另一个侧重点是加快执行理事会第 52 次和 54 次会议核准的 51 个额外员额的招聘程序。在报告所述期间，定期合同工作人员数目已从 102 人增至 124 人。³⁴

F. 法律事务处

66. 法律事务处向缔约方、《公约》和《京都议定书》机构以及秘书处提供咨询意见和支持，以确保《公约》及其《京都议定书》得到履行，相关政府间进程

²⁹ 可在以下网站参阅：<http://cdm.unfccc.int/Nairobi_Framework/index.html>。

³⁰ 可在以下网站参阅：<<http://www.cdmbazaar.net/>>。

³¹ 迄今(2010 年 6 月 23 日)的登记项目总数为 2,300 个。

³² 迄今(2010 年 6 月 23 日)发放的核证减排量总数为 4.21 亿。

³³ 可在以下网站参阅：<<http://cdm.unfccc.int/Registry/index.html>>;
<<http://cdm.unfccc.int/Issuance/index.html>>。

³⁴ 此外，在报告所述期间，秘书处签发了 7 份临时人员新合同、39 名顾问人员的 56 份合同、书面审查员的 22 份合同、登记和发放小组成员的 24 份合同；为评估小组成员印发了 23 份收费和保密表单；向 6 名案件领导人作了支付。

和秘书处业务按照法律、程序和体制方面的要求进行。法律事务处还向履约委员会提供咨询意见和支持,以确保履约机制有效运行并支持《京都议定书》的环境完整性和市场机制信誉。

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

68. 清洁发展机制执行理事会、监委会、履约委员会和适应基金理事会收到了关于其工作的法律意见。这些建议和支持使各机构能够按照《公约》及其《京都议定书》的条款、适用的议事规则、《气候公约》要求以及一般国际法有效地履行其任务。

69. 在建立未来气候变化制度的当前谈判问题方面,法律事务处向缔约方提供咨询和支持。法律事务处评估了《哥本哈根协议》的法律地位,审查了缔约方的函件以确定它们是否愿意与《协议》相关联和列于《协议》开头部分。此外,法律事务处对缔约方提交的与《协议》相关的所有函件作了准确、全面的内部记录,并向其它方案提供了定期更新。

70. 法律事务处向缔约方澄清了关于谈判事宜的程序性和实质性法律问题。这方面的工作包括关于目前适用的议事规则草案所涉及的未决问题的咨询意见和关于长期合作行动问题特设工作组之下产生的结果的法律形式问题的咨询意见。缔约方提出的制定一项《公约》议定书的附加提案和《京都议定书》修正案是按照有关法律要求送达的。在选举或任命《公约》和《议定书》机构的主席团成员方面,向缔约方提供了支持。

71. 法律事务处向履约委员会执行事务组提供了实质性法律咨询和组织支持,执行事务组开始对一个新的履行问题进行审议。该方案制作了利益冲突问题有关案例法概编(CC/7/2010/2 号文件),³⁵ 履约委员会全体会议在就利益冲突问题进行的初步讨论中使用了这一概编。

72. 法律事务处保证了秘书处作为当事方的法律文书是按照联合国的规则和条例以及《气候公约》的法律要求订立的。该方案提供了及时协助,帮助解决第十五届缔约方会议产生的法律问题和关切以及与在 2010 年 6 月届会上违反“非政府组织代表参加《联合国气候变化框架公约》机构会议的准则”相关的法律问题和关切。

73. 法律事务处对《气候公约》网站上的法律资料(尤其是关于《公约》、《京都议定书》和附件 B 修正案的批准情况的资料)以及履约问题进行了审查。对相关网页进行了重新设计和更新,以便以更便于获取和用户友好的方式提供这种法律资料。

³⁵ 可在以下网站参阅: <http://unfccc.int/files/kyoto_protocol/compliance/plenary/application/pdf/cc-7-2010-2_summary_of_case_law_on_conflict_of_interest.pdf>。

G. 会议事务处

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

75. 在报告所述期间，会议事务处共为两个会期作出了后勤安排(包括安保安排和为便利缔约方和观察员组织参会和登记作出的安排)，其中包括履行机构、科技咨询机构、进一步承诺问题特设工作组和长期合作行动问题特设工作组的届会。除这些机构的全体会议外，届会包括联络小组、区域集团、谈判小组、代表团、观察员组织的近 2,000 场会期会议以及会外活动和媒体活动。此外，在报告所述期间，举行了 20 次届会前和届会后会议和 8 次筹备会议。会议事务处共处理了 429 项资助申请，以使符合条件的缔约方便利其代表出席两个会期的会议。

76. 在报告所述期内，会议事务处处理了政府间组织和非政府组织提出的 120 项观察员地位申请，便利了在《气候公约》网站上贴载政府间组织和非政府组织提交的 17 项材料。届会的会外活动和展览越来越受到缔约方和观察员的欢迎。在报告所述期内，会议事务处为 107 项会外活动和 62 项展览提供了便利。此外，会议事务处向观察员组织提供了办公室和会议场所，为观察员组织的总共 36 项全体会议发言提供了便利。会议事务处与 9 个认可观察员群组的联络中心举行了定期会议并研制了一个在线工具以提高观察员的参与度。

77. 会议事务处开发和使用了一个新的在线登记系统，这一系统可使被接纳组织以电子方式提出参加秘书处组织的届会的人员。该系统还可使政府间组织和非政府组织按其需要对其各自代表团人名整理、编制和替换；因此，身份卡的发放预计会加快。

78. 从 2010 年 1 月到 2010 年 6 月，平均每个工作日都有一场任务中规定的《气候公约》会议举行。通过以下途径，会议事务处对在波恩举行的 110 场会议和研讨会提供了支持：对与会者进行预先登记，为签证问题提供便利和(或)协助后勤安排。

79. 2010 年 1 月 1 日至 2010 年 6 月 30 日期间，会议事务处总共编辑处理了 205 份文件，共 3,801 页，包括会议文件和审评报告等其他规定文件。会议事务处在相关时限内成功地提交了所有审评报告，在每次届会开始前，所有会议文件均提供了英文本。然而，由于会议频次不断提高，并非所有翻译时限都能满足。作为坎昆会议筹备工作的一部分，会议事务处与联合国日内瓦办事处的同事密切合作，以满足缔约方的要求，即以各种语言文本及时提供关键文件，例如进一步承诺问题特设工作组和长期合作行动问题特设工作组的谈判案文。

80. 在报告所述期间，进一步承诺问题特设工作组第十三届会议和长期合作行动问题特设工作组第十一届会议、履行机构和科技咨询机构的第三十三届会议、《公约》缔约方会议第十六届会议和《议定书》缔约方会议第六届会议的筹备工

作有序进行，这些会议的东道国协定已经完成或正在完成之中。此外，《公约》缔约方会议第十七届会议和《议定书》缔约方会议第七届会议的预期东道国政府方面的工作正在取得进展。

H. 信息事务处

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

82. 在报告所述期间，信息事务处制作了 9,330 份六种新出版物，在会议上和通过邮寄散发了 12,000 份其他出版物。为两个大型会议和十个小型会议提供了网络广播服务，提高了政府间进程的透明度和虚拟参与。第十五届《公约》缔约方会议对这些服务的需求极高。在报告所述期间，共有 415,508 名访客观看了网络广播。

83. 在报告所述期间，《气候公约》网站用户浏览了 7,350 万页面，下载了 1,400 万份可移植文件格式(PDF)文件。在 2010 年 6 月举行的两个附属机构的届会期间，共有 1,500 名用户下载了修改后的 iPhone ‘谈判者’应用程序。秘书处向 18,000 名订阅者散发了两期英文和西班牙文电子版通讯。《气候公约》YouTube 频道的视频观看量为 147,000 次。共有 4,300 名用户积极利用秘书处的 Facebook 平台共享信息，5,500 人通过 Twitter 跟踪秘书处的信息流。秘书处在 Flickr 上的照片门户社区十分活跃，社区人员利用这一平台共享主要与气候变化和秘书处支持的会议相关的照片。

84. 该处与媒体密切合作，以增进了解并确保媒体对气候变化作出准确报道。在报告所述期间，信息事务处回应了媒体的 1,302 项信息要求，编写了 65 份发言稿和文章以及 28 份新闻稿，组织了 366 次访谈。信息事务处继续为发展中国家记者举办一系列研讨会，于 2010 年 6 月又组织了一次研讨会。

85. 在报告所述期间，秘书处开始集中提供信息系统服务，目标是减少重复工作和受益于对信息技术的更有力管理；秘书处加强了信通技术安全，在系统设计和实施方面大力引入了全秘书处的最佳做法。建议在 2012-2013 两年期全面开展在 2010-2011 两年期期间为建立一个“信息技术服务方案”而启动的工作。

86. 在报告所述期间，信息事务处维持了安全可靠的信通技术网络基础设施和服务，使秘书处能够满足政府间进程的要求。信息事务处向《公约》及其《京都议定书》之下所设机构的届会、向 35 次研讨会和小型会议、向《气候公约》温室气体数据库、汇编和核算数据库、温室气体数据界面、清洁发展机制和联合履行信息系统和清洁发展机制登记册等规定系统以及向《气候公约》网站内容管理系统和记录管理系统等全秘书处信息系统提供了信通技术服务。

I. 行政事务外

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

88. 在报告所述期间，行政事务处为联合国审计委员会审计 2009 年 12 月 31 日终了的两年期的财务报表的工作提供了便利。秘书处还开始实施审计建议。行政事务处与联合国内部监督事务厅一起参与了对招聘和工作人员权益领域的内部审计活动；还为 2008 年和 2009 年进行的内部审计的后续措施提供了便利，这些审计是：对清洁发展机制实施工作安排的审计，对会议和文件管理的审计，对信息和通信技术管理和安全管理的审计以及对采购管理的审计。行政事务处开始整改行政和财务流程，使其在未来几年内与《国际公共部门会计准则》接轨。

89. 行政事务处为若干成功的筹资活动提供了便利，这些筹资活动是为支持额外会议和维持向与会者提供的支持进行的。行政事务处继续与缔约方进行互动，以通知缔约方指示性缴款事宜并向其收缴应收款额。行政事务处开展了在一个两年期开始时与预算管理相关联的必需活动并处理了与第十五届《公约》缔约方会议相关的账目和报告。

90. 行政事务处开展了许多活动，以促进及时招聘和留用满足效率、能力和诚实最高标准的工作人员。行政事务处为改善专业人员及以上职级工作人员的地域和性别分配所作的努力使来自非附件一缔约方的工作人员份额增加了，也使女工作人员的份额增加了。³⁶ 2010 年 1 月至 6 月，共公告了 51 个员额。在管理人员 360 度反馈过程方面，行政事务处对制定个人发展计划提供了支持，并提供了教练和培训课程。该方案还启动了对秘书处的工作人员甄选制度的一项审查和一项人员配备战略的拟定工作。在全秘书处启用了电子绩效评估系统，并提供了相关培训，其目的是加强绩效管理。

91. 在报告所述期间，在采购领域，该处共下了 289 个采购订单，价值 840 万美元，分别比 2008 年 1 月至 6 月期间增长了 45% 和 31%。在旅行领域，该处为参加总共 72 次会议的获资助与会者和专家作出了 1,410 项旅行安排，与上一个两年期的头六个月相比增加了 40% 以上。尽管旅行和采购活动数量不断扩大，现有差旅者满意度调查显示，90% 以上的与会者将旅行服务评定为“良好”或“优秀”，不到 5% 的人感到不满意。

92. 2010 年 6 月，行政事务处完成了为优化办公空间使用所采取的行动(包括通过将若干方案部分地转移到联合国办公区)，以便能够到 2011 年底前吸纳秘书处的增长，联合国办公区新办公设施预计此时完工。

³⁶ 参见附件一第 2 段。

四. 补充信息

93. 秘书处的人力资源信息载于附件一。附件二载录补充活动信托基金所资助活动的收支情况。

Annex I

[English only]

Human resources

A. Staff

1. There are 452.5 established posts, of which 140.5 posts are in the approved staffing table of the core budget and 312 posts under the Trust Fund for Supplementary Activities, 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 (overheads) (see table 14). As at 30 June 2010, 320 staff members had been appointed against established posts, in addition to 33 Professional and 50 General Service level staff members hired under temporary assistance contracts, bringing the total number of staff to 403.

Table 14

Comparison of established posts and filled posts by source of funding as at 30 June 2010

	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1	Sub-total	GS	Total
<i>Core budget</i>											
Approved	1	3	5	12	26	32	12		91	49.5	140.5
Filled ^a	1	3	3	11	23	27	8		76	43	119
<i>Supplementary</i>											
Approved		1	1	1	5	10	9		27	13	40
Filled		1	1	1	5	8	8		24	8	32
<i>CDM</i>											
Approved			1	4	18	46	66	1	136	58	194
Filled				3	11	28	35	1	78	34	112
<i>ITL</i>											
Approved					3	2			5	2	7
Filled					3	2			5	2	7
<i>Bonn Fund</i>											
Approved						1	1		2	6	8
Filled									0	4	4
<i>Overhead</i>											
Approved			1	2	3	10	4		20	43	63
Filled			1	2	2	8	3		16	30	46
<i>Total</i>											
Approved	1	4	8	19	55	101	92	1	281	171.5	452.5
Filled	1	4	5	17	44	73	54	1	199	121	320

Abbreviations: ASG = Assistant Secretary-General, Bonn Fund = Trust Fund for the Special Annual Contribution from the Government of Germany, CDM = Trust Fund for the Clean Development Mechanism, Core budget = Trust Fund for the Core Budget of the UNFCCC, D = Director, GS = General Service, ITL = Trust Fund for the International Transaction Log, P = Professional, Supplementary = Trust Fund for Supplementary Activities.

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

2. The secretariat has continued to improve on its efforts in relation to geographical distribution and gender balance among staff at the Professional level and above. Vacancy announcements are placed in many regional and global media covering as many Parties not included in Annex I to the Convention (non-Annex I Parties) as possible. Information on the geographical distribution of the staff appointed at the Professional level and above is provided in table 15. The distribution of staff members appointed at the Professional level and above, between Parties included in Annex I to the Convention and non-Annex I Parties and by gender, is shown in table 16. From July 2009 to June 2010, the percentage of female staff increased by 5 per cent, to 40 per cent. The percentage of staff from non-Annex I Parties at the Professional and higher levels also increased by 5 per cent, from 51 per cent to 56 per cent.

Table 15

Geographical distribution of staff members appointed at the Professional level and above as at 30 June 2010

<i>Grade</i>	<i>Africa</i>	<i>Asia and the Pacific</i>	<i>Latin America and the Caribbean</i>	<i>Eastern Europe</i>	<i>Western Europe and other States</i>	<i>Total</i>
ASG					1	1
D-2	1	1			2	4
D-1	2	1		1	1	5
P-5	5	3	1	2	6	17
P-4	5	8	6	5	20	44
P-3	5	27	9	9	23	73
P-2	4	23	13	2	12	54
P-1					1	1
Total	22	63	29	19	66	199
Percentage of total	11.1	31.7	14.6	9.5	33.1	100

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

Table 16

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

<i>Grade</i>	<i>Annex I</i>	<i>Non-Annex I</i>	<i>Male</i>	<i>Female</i>
ASG	1		1	
D-2	2	2	4	
D-1	2	3	3	2
P-5	8	9	13	4
P-4	26	18	30	14
P-3	33	40	39	34
P-2	15	39	28	26
P-1	1		1	
Total	88	111	119	80
Percentage of total	44.2	55.8	59.8	40.2

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

B. Consultants and individual contractors

3. Between 1 January 2010 and 30 June 2010 a total of 90 individual consultants and contractors were hired. They provided a combined total of 140.3 working months at a total cost of USD 841,497 under all sources of funding. Table 17 provides information on how services were distributed among the various programmes.

Table 17

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

<i>Programme</i>	<i>Person-months</i>	<i>Cost (USD)</i>
Executive Direction and Management	0.9	6 229
Reporting, Data and Analysis	3.8	32 281
Financial and Technical Support	12.2	99 124
Adaptation, Technology and Science	7.3	60 697
Sustainable Development Mechanisms	31.3	205 667
Legal Affairs	5.9	29 313
Conference Affairs Services	35.6	160 579
Information Services	16.2	123 901
Administrative Services	27.1	123 706
Total	140.3	841 497

Annex II

[English only]

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

Table 18

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

(United States dollars)

<i>Project</i>	<i>Income^a</i>	<i>Expenditure</i>	<i>Balance</i>
Executive Direction and Management			
Preparatory workshops for negotiators from developing countries on the Bali Road Map in the lead-up to the sixteenth session of the Conference of the Parties (COP) and the sixth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol	35 182	5 202	29 980
Support to the Ad Hoc Working Group on Long-term Cooperative Action under the Convention and the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol (conference, substantive and information services support)	6 551 539	5 020 611	1 530 928
Reporting, Data and Analysis			
Development and maintenance of the database system for the annual compilation and accounting of emissions inventories and assigned amounts under the Kyoto Protocol	336 731	85 217	251 513
Software development and support to CRF Reporter software	33 641	16 515	17 126
Activities to support the expert review process under the Convention and its Kyoto Protocol: training for expert review teams and meetings of lead reviewers	1 195 647	133 495	1 062 152
Information technology governance	36 017	36 017	–
Financial and Technical Support			
Support to national communications of non-Annex I Parties	136 309	2 520	133 790
Support to the Least Developed Countries Expert Group for 2010–2011	857 127	661 192	195 935
Support to financial cooperation and enhanced provision of financial resources	492 077	77 426	414 651
Support to the implementation of national greenhouse gas inventories and related activities by non-Annex I Parties, including national forest monitoring systems	593 227	180 174	413 054
UNFCCC fellowship programme	260 515	74 029	186 485
Support to capacity-building for developing countries	258 659	65 141	193 518
Organization and facilitation of thematic regional workshops to support the implementation of the amended	381 234	102 848	278 386

<i>Project</i>	<i>Income^a</i>	<i>Expenditure</i>	<i>Balance</i>
New Delhi work programme on Article 6 of the Convention			
National economic, environment and development studies for climate change	285 941	236 742	49 199
Adaptation, Technology and Science			
Support for implementing the programme of work of the Expert Group on Technology Transfer and the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention	1 084 028	401 325	682 702
Implementation of the Buenos Aires programme of work on adaptation and response measures (decision 1/CP.10)	184 538	5 348	179 191
Activities relating to land use, land-use change and forestry: reducing emissions from deforestation and forest degradation, enhancement of carbon sinks and the role of sinks in future mitigation actions	641 097	212 464	428 633
Supporting the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change (decision 2/CP.11)	1 305 246	730 408	574 838
Support to activities relating to scientific, technical and socio-economic aspects of mitigation of climate change	12 827	9 755	3 072
Sustainable Development Mechanisms			
Resource requirements for activities related to Article 6 of the Kyoto Protocol (joint implementation) ^b	1 239 454	1 239 454	–
Legal Affairs			
Handbook on the UNFCCC	48 842	–	48 842
Support to the Compliance Committee	650 982	153 651	497 331
Information Services			
UNFCCC website: development of a Spanish portal	269 769	23 121	246 648
Climate change information outreach activities and products	313 112	163 317	149 795
Developing country media training in the run-up to COP 17 in South Africa	88 716	69 744	18 972
Information Technology Services	630 000	59 360	570 640
Other expenditures			
Junior Professional Officers	910 633	328 955	581 678
Cooperation with the United Nations Headquarters	82 585	82 585	–
Total	18 915 675	10 176 616	8 689 860

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

^b Includes funds advanced from the Trust Fund which will be replenished upon receipt of additional income.

Annex III

[English only]

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

Table 19

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat responds to the priorities of, and requests by, Parties and supports emerging issues, including those that relate to agreed outcomes under the Bali Road Map	Proportion of mandated outputs delivered and delivered on time	A total of 330 mandates required the secretariat to deliver outputs during the reporting period, including some that required ongoing output delivery. In over 99 per cent of cases outputs had been fully delivered or output delivery was ongoing. One mandate was not delivered due to insufficient funding. Ninety-three per cent of the outputs were delivered on time. Delays were mostly relating to the availability of documents in the required languages.
	Level of satisfaction of Parties with the work of the secretariat	Information on the level of satisfaction of Parties with the work of the secretariat will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011 ^b
Activities undertaken are coherent across programmes. The strategic objectives of programmes and the distribution of tasks and responsibilities among the programmes are clear	The members of the secretariat management consult with each other and take decisions on a regular basis (bilaterally and in management bodies)	The secretariat management team (MT) met 11 times during the reporting period The Executive Secretary held bilateral meetings with MT members

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Climate change intergovernmental meetings provide a forum for taking decisions and advancing the process of responding to climate change		

Presidents of the COP and the COP Bureau are kept informed and able to carry out their functions effectively	Level of satisfaction of the COP President and the COP Bureau with secretariat support	Information on the level of satisfaction of the COP President and the COP Bureau with secretariat support will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
The high-level segment provides political impetus to the intergovernmental process	Number of agenda items unresolved before and after the high-level segment	Data for this indicator will be collected at COP 16 and CMP 6

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Information on the UNFCCC process is effectively communicated by the secretariat	Frequency of reference in the media to the UNFCCC messages issued during the COP sessions	A total of 1,306 press items relating to COP 14, have been identified through an analysis of print, and broadcast media in all world regions. The number of press items relating to COP 15 was almost five times higher (6,247). Twenty-three per cent of the media items relating to COP 15 referenced UNFCCC's top message, as compared with only 20 per cent relating to COP 14
	Number and duration of visits to the UNFCCC website and the volume of content downloads	A total of 5.5 million users accessed the website < http://unfccc.int > and downloaded two terabytes of data, mostly portable document format files, during the reporting period. As at 30 June the UNFCCC e-newsletter had 18,000 subscribers, 12,500 for the English version and 5,500 for the Spanish version. The webcast service was used by some 750,000 people
Support provided by the United Nations and intergovernmental agencies to Parties in the implementation of the Convention is enhanced		

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Competent and motivated staff representing a broad geographic spectrum and gender balance are recruited, trained and retained	Percentage of staff from non-Annex I Parties and women in posts in the Professional and higher levels	Fifty-six per cent of staff in the professional and higher levels are from non-Annex I Parties. Forty per cent of staff in the professional and higher levels are women
Internal processes function smoothly and staff are satisfied with their work and with management	Level of staff satisfaction with their job, management and development opportunities	Information on the level of staff satisfaction with their job, management and development opportunities will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011

The secretariat has the required financial resources to implement mandates given to it by the COP and the CMP	Percentage of mandated outputs that cannot be delivered as a result of insufficient funding	Sufficient funding was available for the delivery of more than 99 per cent of the mandated outputs
	Contribution rate to core budget (compared with the approved budget)	Sixty-five per cent of the indicative contributions for 2010 had been received by the secretariat by 30 June 2010
	Rate of contribution to the Trust Fund for Supplementary Activities	During the reporting period, the secretariat received USD 5.3 million in voluntary contributions from Parties against an initial requirement of USD 34,540,464 for the biennium. This amount was added to the carry-over from 2008–2009 in order to continue funding activities
Financial resources are managed in a sound manner and are utilized to maximize the benefit to the UNFCCC process	Proportion of actual expenditure compared with the approved budget and available supplementary funds	The core budget as at 30 June 2010 had a budget implementation rate of 41.5 per cent for the year 2010, which is below the ideal implementation rate of 50 per cent. The actual expenditures incurred to support mandated supplementary funded activities as at the end of June 2010 amounted to USD 10.2 million, using contributions received this year and the carry-over from 2008–2009
	Implementation rate of audit recommendations relating to financial and administrative matters	Of the 13 open audit recommendations from the 2006–2007 biennium, one was overtaken by events and nine were fully implemented. The remaining three were under implementation, some of which are of an ongoing nature. The United Nations Board of Auditors did not categorize any recommendation as not implemented following its audit of the 2008–2009 biennium

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

^b In order to reduce costs for data collection and to avoid possible ‘survey fatigue’ among recipients of questionnaires, data collection for some indicators will be undertaken only once during the biennium.

Table 20

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided to the fulfilment of reporting requirements and to the review of the implementation of the Convention and its Kyoto Protocol by Annex I Parties	All greenhouse gas (GHG) inventories from Annex I Parties submitted on time in the biennium 2010–2011 are received and reviewed by international expert teams within the mandated time frames	GHG inventories from all Annex I Parties due by 15 April 2010 have been received and processed. The related review activities have been launched within the mandated time frames

<p>All national communications from Annex I Parties submitted by 1 January 2010 are received and reviewed by international expert teams within the mandated time frames</p>	<p>Fifteen out of 41 Annex I Parties submitted their national communications by 1 January 2010 and 24 more were received by 30 June 2010. Activities relating to the review of the submitted national communications were initiated during the reporting period and are to be completed within the mandated time frames</p>
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Objective 2: To provide authoritative quantitative information on the GHG emissions from Annex I Parties (Article 12 of the Convention, Articles 4, 7 and 8 of the Kyoto Protocol, decisions 18/CP.8, 19/CP.8, 13/CMP.1, 14/CMP.1, 15/CMP.1 and 22/CMP.1)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Data reported by Parties under the Convention and its Kyoto Protocol are processed and stored in a technically sound manner, enabling efficient data management and use by all data systems in the UNFCCC secretariat</p>	<p>The GHG database and the compilation and accounting database hosted/managed by the Reporting, Data and Analysis programme (RDA) are operated and maintained without interruption</p>	<p>The GHG database and the compilation and accounting database were operated and maintained without interruption</p>
<p>Data reported by Parties under the Convention and its Kyoto Protocol are made publicly available in a timely and accurate manner; the UNFCCC is recognized as an authoritative source of GHG data</p>	<p>The interlinkages among all relevant UNFCCC data systems (GHG database–compilation and accounting database–international transaction log) are kept operational without interruption</p> <p>The GHG database and the compilation and accounting database are able to produce all of the queries and reports required to support the reporting and review processes for Annex I Parties managed by RDA</p>	<p>The interlinkages between the GHG database, the compilation and accounting database and the international transaction log were kept operational without interruption</p> <p>The GHG database and compilation and accounting database were able to produce all the queries and reports required to support the reporting and review processes</p>
	<p>The two key annual UNFCCC data reports (the GHG data reports and the compilation and accounting reports) have been considered by Parties at the Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP)</p>	<p>Two annual UNFCCC data reports are due to be considered by Parties at COP 16 and CMP 6. Preparatory work for these reports, the GHG data report containing GHG inventory data from Annex I Parties for the period 1990–2008 and the compilation and accounting report containing accounting data for Parties to the Convention with commitments inscribed in Annex B to the Kyoto Protocol for 2009, has been launched</p>
	<p>All data-related inquiries received by the UNFCCC secretariat have been answered within one week</p>	<p>A total of 109 data-related inquiries were answered, all within one week of receipt</p>

<p>The UNFCCC GHG data interface is kept operational and up to date in 2010–2011</p>	<p>Three updates of the interface are planned for 2010, compared with only one regular update in the previous years. The first update was made on 22 March 2010 and provided access to the final version of GHG data of 2009 from Annex I Parties and to data from new national communications and inventory data sets from 10 non-Annex I Parties. Preparations have been made for the second update</p>
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Objective 3: To support the international transaction log as a foundation of the carbon market infrastructure (Articles 6, 12 and 17 of the Kyoto Protocol, decisions 2/CMP.1, 3/CMP.1, 5/CMP.1, 9/CMP.1, 11/CMP.1, 12/CMP.1, 13/CMP.1, 14/CMP.1, 15/CMP.1, 16/CP.10 and 22/CMP.1)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Carbon market infrastructure functions properly. Parties are able to access the international transaction log when using emissions trading and project-based mechanisms</p>	<p>International transaction log downtimes are kept to a minimum, in accordance with the agreed technical standards</p> <p>The international transaction log is able to process all transactions coming from Parties within the time limits defined by the technical standards adopted by Parties</p> <p>Information on the operation of the international transaction log and the registry systems of Parties is publicly available in accordance with the mandates given by Parties</p>	<p>International transaction log unplanned downtimes amounted to about 12 hours out of 4,380 hours during the reporting period, which amounts to 0.28 per cent of unavailability for the reporting period</p> <p>The international transaction log was able to process all transactions coming from Parties within the time limits defined by the technical standards adopted by Parties</p> <p>Information on the operation of the international transaction log and the registry systems of Parties was publicly available in accordance with the mandates given by Parties</p>

Objective 4: To support the development of decisions relating to measurement, reporting and verification for the post-2012 regime (decision 1/CP.13 (the Bali Action Plan))

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>The development of a post-2012 regime that ensures robust measurement, reporting and verification of commitments and actions undertaken by Parties is facilitated</p>	<p>Provisions and guidelines enabling measurement, reporting and verification are developed in a timely manner</p> <p>New requirements for the information systems managed by RDA (GHG database, compilation and accounting database, international transaction log) are identified; work on specification and implementation is launched</p>	<p>Preparatory work started in anticipation of the formal requests to the secretariat from the intergovernmental process</p>

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

Table 21

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are provided on a regular basis with information on financial resources available to assist developing country Parties in implementing mitigation and adaptation measures	Proportion of mandated reports and technical papers provided to Parties in a timely manner Number of visits to the section on the financial mechanism on the UNFCCC website	Two reports were provided to Parties during the reporting period, both in a timely manner. No technical paper was requested to be prepared during the reporting period A total of 71,398 visits were made to the section on the financial mechanism on the UNFCCC website
Information on the implementation of guidance by the Conference of the Parties to the Global Environment Facility (GEF) and its implementing and executing agencies is made available	Number of reports prepared by the operating entity of the financial mechanism made available by the UNFCCC secretariat in a timely manner	No report was required to be made available during the reporting period
Parties are adequately supported in developing the operational modalities for financing that arise from the agreed outcomes under the Bali Road Map	Proportion of mandated technical papers prepared and activities carried out Proportion of mandated outputs delivered on time	No technical paper was requested to be prepared during the reporting period No outputs were mandated to be delivered during the reporting period

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are regularly provided with information on progress, effectiveness and gaps in capacity-building for non-Annex I Parties and Parties with economies in transition to effectively monitor and evaluate the implementation of the framework for capacity-building in developing countries established under decision 2/CP.7 and the framework for capacity-building in countries with economies in transition established under decision 3/CP.7 (capacity-building frameworks)	Annual reports made available in a timely manner	No report was mandated to be delivered during the reporting period
The implementation of the capacity-building frameworks is facilitated through the operating entity (or entities) of the financial mechanism and with key implementing agencies, including United Nations agencies	Number of partner agencies and organizations that contribute to the implementation of UNFCCC mandates for capacity-building	A total of 17 partner agencies from the United Nations contributed to the implementation of UNFCCC mandates for capacity-building
Developing countries are supported in building capacity in order to participate in the Convention and its Kyoto Protocol processes in a regionally balanced manner	Number of people trained under the secretariat's fellowship programme and the secretariat's training programmes and workshops by geographical region	A total of four fellows were trained, including one from the Latin America and the Caribbean region, two from the Asia and Pacific region and one from the Eastern European region A total of 483 workshop participants were trained, including 197 from the African region, 204 from the Asia and Pacific region, 77 from the Latin America and the Caribbean region and five from the Eastern European region

Parties are regularly provided with information on progress achieved by Parties and relevant organizations in implementing Article 6 of the Convention, in support of a mandated review of the implementation of the amended New Delhi work programme on Article 6 of the Convention	Reports made available in a timely manner	Three reports were made available, two with delays
Relevant organizations are mobilized to provide coordinated input to the amended New Delhi work programme	Number of organizations mobilized by the secretariat to provide input to the amended New Delhi work programme	A total of 59 organizations were mobilized
The information network clearing house (CC:iNet) is useful for enhancing exchange of information on activities under Article 6 of the Convention	Number of registered and unregistered users in different world regions	As at 30 June 2010 CC:iNet had a total of 184 registered users, including 20 from the African region, 25 from the Asia and Pacific region, 49 from the Latin America and the Caribbean region and 90 from the European region. Twenty-four users registered during the reporting period ^b
	Level of satisfaction with CC:iNet of users surveyed	Ninety-four per cent of users surveyed at the regional workshops found CC:iNet to be user-friendly and 75 per cent evaluated its overall usefulness as good to excellent

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

<i>Expected result(s) under the Convention</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Non-Annex I Parties are regularly provided with information, guidelines, methods and tools for preparing and submitting their national communications	Proportion of mandated reports made available	The one report mandated to be made available during the reporting period was made available as mandated
	Amount of training materials and CD-ROMs distributed to Parties	Specialized software and related templates for activity data collection were distributed to 76 experts
Parties receive timely, comprehensive and accurate information on GEF support available or provided to non-Annex I Parties for the preparation of national communications	Proportion of mandated reports made available	The one report mandated to be made available during the reporting period was made available as mandated
	Proportion of outputs delivered on time	One output was mandated to be delivered during the reporting period. It was delivered on time

Support is provided to Parties in developing implementation modalities on long-term cooperative action under the Convention related to communication of information by non-Annex I Parties	Proportion of mandated technical papers/reports made available Proportion of mandated outputs delivered on time	No report was mandated to be delivered during the reporting period No outputs were mandated to be delivered during the reporting period
Information communicated by non-Annex I Parties is easily accessible by all Parties		All national communications from non-Annex I Parties are available on the UNFCCC website. Six second national communications were received during the reporting period and were uploaded within two days upon their receipt

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The work of the Least Developed Countries Expert Group (LEG) is facilitated	Number of LEG reports prepared and amount of information compiled in support of the work programme of the LEG	One LEG report was prepared during the reporting period. Data and information compiled in support of the LEG work programme include the results of a survey, updated data stored in four databases, and the contents of 15 working papers
	Number of LEG meetings held	One LEG meeting was held during the reporting period
Collaboration between the LEG and the GEF and its agencies is facilitated and Parties are kept informed of procedures for the implementation of national adaptation programmes of action (NAPAs) under the GEF	Number of joint activities between the GEF and the LEG facilitated by the secretariat	The secretariat facilitated two LEG workshops to which the GEF contributed
Least developed country (LDC) Parties are assisted in addressing their priority capacity-building needs	Number of LDC experts trained in the preparation and implementation of NAPAs through workshops, manuals, information documents, etc.	A total of 106 LDC experts were trained in two regional workshops, held in February 2010 in Bamako, Mali, and in May 2010 in Vientiane, Lao People's Democratic Republic
LDC Parties are assisted in implementing all elements of the LDC work programme	Number of requests by LDC Parties addressed by the LEG on elements of the LDC work programme	Four requests from LDC Parties for technical advice were received and responded to. Two requests from Parties that are not LDCs were also received and responded to

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

^b Since it was technically impossible to retrieve the number of unregistered users the performance indicator will be adjusted in the next proposed biannual work programme of the secretariat.

Table 22

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

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

<i>Expected result(s) under the Convention</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The implementation of provisions relating to the impacts of and vulnerability and adaptation to climate change and relevant provisions relating to adaptation resulting from agreed outcomes under the Bali Road Map is facilitated	Proportion of mandated outputs delivered and delivered on time	A total of 12 mandates required output delivery during the reporting period. Eleven mandates relate to ongoing support to the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change and include producing specific documents and holding meetings, catalysing action, and coordination and outreach services. One mandate relates to decision 1/CP.10. All mandated outputs were delivered and 75 per cent were delivered on time. The remaining 25 per cent comprises two slightly delayed documents and a delayed organization of one workshop due to the volcanic ash cloud that hindered air traffic over Europe in April 2010
	The number of organizations and networks participating in the Nairobi work programme and/or supporting the relevant provisions of an agreement on long-term cooperative action under the Convention	As at 30 June 2010, a total of 189 organizations and networks were actively participating in the Nairobi work programme. A total of 104 action pledges were submitted by 47 Nairobi work programme partner organizations
The implementation of provisions relating to the impact of the implementation of response measures is facilitated and the implementation of provisions on potential consequences is facilitated	Proportion of mandated outputs delivered and delivered on time	The requested compilation of views from Parties on possible further action on the implementation of decision 1/CP.10 was made available on time

Objective 2: To support and enhance cooperation among Parties on the development, deployment, diffusion and transfer of environmentally sound technologies and know-how. (Article 4, paras. 1, 3, 5, 7 and 8, Article 9 and Article 12 of the Convention, Article 10(c) of the Kyoto Protocol, decisions 4/CP.7, 10/CP.8, 6/CP.10, 1/CP.11, 6/CP.11, 3/CP.12, 1/CP.13, 3/CP.13 and 4/CP.13)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The implementation of the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention (technology transfer framework) and of relevant provisions of agreed outcomes under the Bali Road Map is facilitated	Proportion of mandated outputs delivered and delivered on time	A total of six mandates required output delivery. The mandates relate to ongoing support to the implementation of the technology transfer framework and support to the review of Article 4, paragraphs 1(c) and 5, of the Convention. All mandated outputs were delivered, and 50 per cent were delivered on time. Three mandated documents were delayed due to late availability of data provided from external sources
	The number of activities from the set of actions for enhancing the implementation of the technology transfer framework implemented by the secretariat or with the contribution of the secretariat	Two activities from the set of actions for enhancing the implementation of the technology transfer framework have been implemented by or with the contribution of the secretariat during the reporting period: disseminating the UNFCCC publication <i>Preparing and Presenting Proposals: A Guidebook on Preparing Technology Transfer Projects for Financing^b</i> and making technology needs assessment reports available on the technology information clearing house (TT:CLEAR)
	The number of public- and private-sector entities and intergovernmental organizations involved in the implementation of the set of actions for enhancing the implementation of the technology transfer framework	All Parties are involved in the implementation of the set of actions for enhancing the implementation of the technology transfer framework. Thirteen public- and private-sector entities and intergovernmental organizations (the United Nations Development Programme, the United Nations Environment Programme, the United Nations Institute for Training and Research, the United Nations Industrial Development Organization, the Climate Technology Initiative/Private Financing Advisory Network, the World Intellectual Property Organization, the European Patent Office, the Energy Research Centre of the Netherlands, the United States National Renewable Energy Laboratory, infoDev, the International Energy Agency, the Global Environment Facility and the World Business Council for Sustainable Development) have contributed in the implementation of the set of actions
The work of the Expert Group on Technology Transfer (EGTT) is adequately supported	Proportion of mandated outputs delivered and delivered on time	A total of six mandates required output delivery. All mandated outputs were delivered on time
	Level of satisfaction of EGTT members with the secretariat's support of the work of the EGTT	Information on the level of satisfaction of EGTT members with the secretariat's support of the work of the EGTT will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011

<p>Authoritative and timely information on technology needs by non-Annex I Parties, as well as support offered and provided to meet these needs, is made available to Parties and stakeholders in a user-friendly manner</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>One mandate required output delivery, namely to post technical needs assessment reports by non-Annex I Parties on TT:CLEAR. All reports received were posted in a timely manner</p>
	<p>Number of visits to the technology information clearing house (TT:CLEAR)</p>	<p>TT:CLEAR received a total of 87,339 visits</p>
	<p>Information contained in TT:CLEAR is updated at least before each session of the subsidiary bodies</p>	<p>Information contained in TT:CLEAR was updated prior to the thirty-second sessions of the subsidiary bodies</p>
	<p>Number of registered and unregistered users of TT:CLEAR in different world regions</p>	<p>A total of 1091 users were registered with TT:CLEAR as at 30 June 2010</p>
<p>Work on the methodological and scientific bases for long-term cooperative action to reduce emissions from deforestation and forest degradation in developing countries (REDD) is facilitated</p>	<p>Level of satisfaction of registered and unregistered users with TT:CLEAR</p>	<p>Information on the level of satisfaction of registered and unregistered users of TT:CLEAR will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011</p>
	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>A total of two mandates required output delivery. All required outputs were delivered on time</p>
<p>Work by Convention and Kyoto Protocol bodies on methodological and scientific matters is facilitated, including in the areas of land use, land-use change and forestry, mitigation of climate change, sectoral approaches, international aviation, maritime transport, and research and systematic observation</p>	<p>Number submissions posted on the REDD web platform</p>	<p>A total of 18 submissions were received and posted on the REDD web platform</p>
	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>A total of 10 mandates required output delivery. The mandates relate to research and systematic observation and cooperation with the Ozone Secretariat, the International Civil Aviation Organization and the International Maritime Organization. All the required output was delivered, 90 per cent being delivered on time. The delay relates to a document on cooperation with the Ozone Secretariat, which was delayed due to the late availability of external data</p>
	<p>Number of international and regional programmes and organizations taking part in the research dialogue under the Convention</p>	<p>A total of 10 international and regional programmes and organizations took part in the research dialogue meeting held during the thirty-second session of the Subsidiary Body for Scientific and Technological Advice</p>

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

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

Table 23

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

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Meetings of the Executive Board of the clean development mechanism (CDM) are organized efficiently and are well supported	Level of satisfaction of the members of the CDM Executive Board with the support provided by the programme for their work	Information on the level of satisfaction of the members of the CDM Executive Board with secretariat support will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Proportion of meeting documents made available fully in accordance with the rules of procedure of the CDM Executive Board	A total of 25 documents were prepared by the secretariat on behalf of the Executive Board Chair and were published in accordance with the rules of procedure. Only one document (Annex 12, Draft CDM-MAP 2010 to EB52) was late for one meeting, due to an excess of work
The work of the CDM Executive Board on methodologies is facilitated	Level of satisfaction of the members of the Methodologies Panel, the Afforestation and Reforestation Working Group and the small-scale CDM working group with the support provided by the secretariat for their work	Information on the level of satisfaction of the members of the Methodologies Panel, the Afforestation and Reforestation Working Group and the small-scale CDM working group with the support provided by the secretariat will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Proportion of new methodologies processed fully in accordance with the established procedures and timelines	All new methodologies were processed fully in accordance with the established procedures and timelines
	Proportion of requests for revisions of, clarifications to and deviations from approved methodologies processed fully in accordance with the procedures and timelines	A total of 91 requests for revisions of, clarifications to and deviations from approved methodologies were received. Ninety-eight per cent were processed fully in accordance with the established procedures and timelines
The registration of CDM projects and the issuance of certified emission reductions (CERs) are facilitated	Proportion of summary notes delivered to the CDM Executive Board within the specified timelines	The secretariat delivered a total of 521 summary notes to the CDM Executive Board in order to facilitate the registration of CDM projects and the issuance of CERs. One hundred per cent of the summary notes were delivered within the specified timelines

	Proportion of project completeness checks conducted within the specified timelines	A total of 461 requests for registration were submitted. Due to the high influx of submissions for project registration no completeness check could be conducted within the specified timelines. Measures taken by the secretariat during the reporting period are expected to significantly increase the timeliness of the completeness checks with a view to meeting the specified timelines soon
	Proportion of issuance instructions acted upon within one month	A review of this indicator showed that the “proportion of issuance instructions acted upon within one month” is not a measure of the secretariat’s performance. A new indicator will be proposed in the work programme for the secretariat for the biennium 2012–2013
The operation of the CDM registry is facilitated	Total number of requests to forward CERs completed per month	A review of this indicator showed that the “total number of requests to forward CERs completed per month” is not a measure of the secretariat’s performance. A new indicator will be proposed in the work programme for the secretariat for the biennium 2012–2013
	Total number of requests to change the modalities of communication and status of project participants processed per month	A review of this indicator showed that the “total number of requests to change the modalities of communication and status of project participants processed per month” is not a measure of the secretariat’s performance. A new indicator will be proposed in the work programme for the secretariat for the biennium 2012–2013
The accreditation of operational entities by the CDM Executive Board is facilitated	Level of satisfaction of the members of the CDM Accreditation Panel, designated operational entities and applicant entities with the support provided by the programme for their work	Information on the level of satisfaction of the members of the CDM Accreditation Panel, designated operational entities and applicant entities with the support provided by the secretariat will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Proportion of cases processed fully in accordance with the procedure for accrediting operational entities	All cases were processed fully in accordance with the procedure for accrediting operational entities
	Proportion of cases prepared for consideration by the CDM Executive Board and its Accreditation Panel fully in accordance with the accreditation procedures	The secretariat prepared a total of 85 accreditation cases for consideration by the CDM Executive Board and its Accreditation Panel. Ninety-six per cent of the cases were fully in accordance with the accreditation procedures. Three cases for presentation to the Accreditation Panel were delayed

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

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Meetings of the Joint Implementation Supervisory Committee (JISC) and of its panels, committees and working groups are organized efficiently and are well supported	Level of satisfaction of the members of the JISC with the support provided by the programme for their work	Information on the level of satisfaction of the members of the JISC with the support provided by the secretariat will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Proportion of meeting documents made available fully in accordance with the rules of procedure of the JISC	The secretariat made available a total of 22 meeting documents to the JISC. Ninety-five per cent of all meeting documents were made available fully in accordance with the rules of procedure. One document was delayed by one day
The accreditation of independent entities (IEs) by the JISC is facilitated	Level of satisfaction of the members of the JISC Accreditation Panel with the support provided by the programme for their work	Information on the level of satisfaction of the members of the JISC Accreditation Panel with the support provided by the secretariat will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Proportion of applications for accreditation received in advance of a JISC Accreditation Panel meeting prepared for assignment to an accreditation team and processed fully in accordance with the procedure for accrediting IEs	One application for accreditation was submitted by an independent entity, but the entity withdrew it before it was considered by the JISC Accreditation Panel
The work of the JISC on the full project cycle of the joint implementation (JI) Track 2a procedure is facilitated	Level of satisfaction of project participants, applicant/accredited IEs and JISC members with the support provided by the programme for the handling of JI Track 2 procedures	Information on the level of satisfaction of project participants, applicant/accredited IEs and JISC members with the support provided by the secretariat for the handling of JI Track 2 procedures will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Proportion of submissions and calls for input that are processed fully in accordance with established modalities and procedures	The secretariat received and processed a total of 22 project design documents, seven determination reports, 14 monitoring reports and 12 verification reports under the JI Track 2 procedures. The secretariat also administered 56 JI Track 1 projects. In addition, the secretariat launched two calls for public input related to experience with the JI verification procedure, materiality and changes during project implementation. One hundred per cent of all submissions and calls for input were processed in accordance with established modalities and procedures

Objective 3: To realize the full potential of sustainable development mechanisms to enhance the implementation of the Convention

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Negotiations and decision-making by Parties on the sustainable development mechanisms are facilitated	Proportion of mandated outputs delivered and delivered on time	The secretariat was not mandated to deliver outputs facilitating negotiations and decision-making on the sustainable development mechanisms during the reporting period
The dedicated services and resources in support of CDM and JI are clearly and transparently defined and implemented in accordance with internal arrangements	A quality management system is in place and is maintained	The secretariat is establishing a quality and performance management system and continual improvement activities are being undertaken across all CDM and JI processes
The Sustainable Development Mechanisms programme has the required resources to implement mandates given to it by the relevant constituted bodies, the Conference of the Parties (COP) and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP)	Proportion of outputs mandated by the CMP, delegated to and under the control of the secretariat, that cannot be delivered due to insufficient funding	The secretariat had the required resources to implement all mandates given to it by the relevant constituted bodies, the COP and the CMP. With regard to JI, all outputs were implemented with the available resources in the reporting period; however, additional resources will be needed for the second half of 2010
Compliance with United Nations financial regulations and rules and with UNFCCC financial procedures	Implementation rate of audit recommendations relating to financial and administrative matters	Of the 19 audit recommendations made by the Office of Internal Oversight, 18 were fully implemented and one is currently under implementation

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

Table 24

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Convention and its Kyoto Protocol, as well as any new international agreement(s) adopted thereunder, are interpreted and implemented in accordance with relevant legal, procedural and institutional requirements	Absence of complaints by Parties and other stakeholders regarding the timeliness and soundness of legal advice and support provided by the secretariat	During the first half of 2010, the Legal Affairs programme issued two legal opinions addressed to Parties and provided legal advice on at least 18 different legal issues. The secretariat did not receive any complaints from Parties and other stakeholders regarding the timeliness and soundness of such legal advice or on the legal support provided by the secretariat during the reporting period
The bodies established under the Convention and its Kyoto Protocol, including constituted bodies, as well as the intergovernmental process, function and operate in accordance with legal, procedural and institutional requirements	Absence of complaints raised by Parties with respect to the legal support provided by the secretariat to the intergovernmental process and the operation and functioning of the constituted bodies under the Kyoto Protocol	The intergovernmental process was a major area of attention for the legal advice provided by the Legal Affairs programme during the reporting period. Seven of the 14 legal opinions issued in the first half of 2010 dealt with the legal, procedural and institutional requirements of the intergovernmental process. Three Parties raised questions about the secretariat's characterization of the Copenhagen Accord's legal status. A clarification was issued to the satisfaction of these Parties. In addition, several queries were raised in relation to the number of Parties that had associated with the Copenhagen Accord. These queries were satisfactorily answered
The bodies established under the Convention and its Kyoto Protocol, including constituted bodies, as well as the intergovernmental process, function and operate in accordance with legal, procedural and institutional requirements	Proportion of concerns, issues or disputes raised by public or private entities against constituted bodies under the Kyoto Protocol or their members that are addressed and resolved expeditiously and amicably and do not result in legal action against individuals serving on constituted bodies	Concerns regarding possible conflict of interest were raised by public or private entities in relation to the Executive Board of the clean development mechanism and the Compliance Committee in the reporting period. The Legal Affairs programme provided advice to the Executive Secretary and to these bodies on the appropriate response to these concerns, which are being addressed by these bodies. These concerns have not resulted in legal action against any of the individuals serving in these bodies

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

<i>Expected result(s)</i>	<i>Performance indicators</i>	<i>Performance data</i>
The operations of the secretariat are conducted in accordance with applicable United Nations rules and regulations, the legislative authority of the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and UNFCCC requirements	<p>The number of contracts and other legal instruments between the secretariat and service providers, governments and other partners that are concluded expeditiously and in a legally sound manner, thereby facilitating the smooth operation of the secretariat</p> <p>The number of audit queries and queries raised by the United Nations Office of Legal Affairs on the appropriateness of legal arrangements entered into by the secretariat</p>	<p>The secretariat concluded 28 legal instruments with third parties during the first two quarters of 2010. Twenty-five of these instruments had been cleared by the Legal Affairs programme. No legal query was raised by the United Nations Office of Legal Affairs in relation to any of these instruments and no disputes have arisen in the implementation of these instruments</p> <p>From the period 1 January to 30 June 2010 no audit queries or queries from the United Nations Office of Legal Affairs were received in relation to the appropriateness of legal arrangements entered into by the secretariat</p>

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Compliance Committee takes decisions based on the best available information	Proportion of outputs made available on time	From 1 January 2010 to 30 June 2010, two meetings of the enforcement branch and one meeting of the plenary took place. In the reporting period, the Legal Affairs programme delivered all but one of its mandated outputs relating to the Compliance Committee on time, that is, in accordance with the timelines set out in decisions 27/CMP.1, 4/CMP.2 and 4/CMP.4. Transmittal to the bureau of the Compliance Committee of the note by the Executive Secretary entitled "Evidence from a Party which may indicate a conflict of interest" was slightly delayed while the secretariat ascertained if the information received constituted evidence of a conflict of interest under the terms of the rules of procedure of the Compliance Committee
The Compliance Committee takes decisions based on the best available information	Level of satisfaction expressed by members of the Compliance Committee and alternate members with documents prepared by the secretariat	Information on the level of satisfaction expressed by members of the Compliance Committee and alternate members with documents prepared by the secretariat will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011

The CMP is provided with adequate and effective support in the development of policy guidance to the Compliance Committee	Absence of complaints raised by Parties with respect to the legal support provided by the secretariat in the development of policy guidance	No session of the CMP was held during the reporting period. The secretariat provides support in the development of policy guidance to the Compliance Committee towards the end of each year, when the annual report of the Compliance Committee to the CMP is made available
Information on the actions taken by the Compliance Committee is made available in a clear and timely fashion	Proportion of Compliance Committee documents made available to the members and alternate members of the Compliance Committee, Parties concerned and the general public in accordance with the rules of procedure of the Compliance Committee	In the reporting period, all the Compliance Committee documents prepared by the secretariat were made available to the members and alternate members of the Compliance Committee, the Party with respect to which a question of implementation had been raised, and the public, as appropriate, in accordance with the timelines set out in the "Procedures and mechanisms relating to compliance under the Kyoto Protocol" (annex to decision 27/CMP.1) and the "Rules of procedure of the Compliance Committee of the Kyoto Protocol" (annex to decision 4/CMP.2 as amended by decision 4/CMP.4). In one instance, given the sensitive nature of the document, the bureau of the Compliance Committee decided that the plenary should consider whether to make the note on a possible conflict of interest available to the public. The document was posted on the website as soon as the plenary decided to make the document publicly available

Table 25

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat's relations with Parties are strengthened through networking, the provision of information, in-depth insight and analysis, problem solving and the appropriate treatment of delegates according to protocol	Number of responses to communications from official sources	A total of 7,720 responses to communications were provided
	Proportion of communications responded to	All communications from official sources were responded to
	Average response time	The average response time was two hours
Representatives from eligible Parties, including those eligible for funding through the Trust Fund for Participation in the UNFCCC Process, can attend all relevant meetings and actively participate in this process	Share of required funds that are actually available	One hundred per cent of the required funds were actually available
	Proportion of eligible participants actually funded	In April 2010, 92 per cent of eligible participants were actually funded. In June 2010, 96 per cent of eligible participants were actually funded
	Efficiency of admission process (waiting and processing time)	The average waiting time was five minutes The average processing time was two to three minutes

Eligible members of civil society and intergovernmental organizations are admitted and increasingly participate in the sessions	Proportion of observers out of the total number of participants	A total of 1,379 members of civil society and intergovernmental organizations participated at UNFCCC sessions in the reporting period, representing 34 per cent of the total number of participants
Parties receive inputs from observers and have opportunities for exchanges	Proportion of representatives from Parties that attend side events	A survey of participants at side events will be conducted during the thirty-fourth sessions of the Subsidiary Body for Implementation and the Subsidiary Body for Scientific and Technological Advice, scheduled to be held in June 2011, in Bonn, Germany. Data on the proportion of representatives from Parties that attend side events during that sessional period will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011
	Number of side events per session	A total of 112 side events were held at UNFCCC sessions (21 in April and 91 in June) during the reporting period

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Documents are of high quality		
Official documents are available on time	Percentage of documents, including versions in the six official languages of the United Nations, available to Parties within United Nations deadlines (sessional documents) and deadlines mandated by Convention and/or Kyoto Protocol bodies (other documents)	A total of 66 documents were mandated to be made available during the reporting period. All documents were actually made available and 16 per cent of the documents were made available on time. Delays in the availability of the remaining 84 per cent of the documents were mainly due to the additional negotiating sessions in April 2010

Objective 3: To provide suitable surroundings and comprehensive, state-of-the-art logistical and technical support in order that meetings proceed smoothly and productively

<i>Expected result(s)</i>	<i>Performance indicator</i>	<i>Performance data</i>
Comprehensive and functional conference facilities for participants in the climate change negotiation process are planned and provided for during the sessions, workshops and meetings		

Comprehensive and functional working conditions for staff are planned and provided for during the sessions, workshops and meetings	Number of reports of technical failures for sound, projectors, electricity, and so on, relative to the size, duration and frequency of workshops and meetings	A total of 58 workshops and meetings were held during the reporting period. No technical failure was reported. Feedback received from staff on technical arrangements made by the programme, including for sound, projectors and electricity, was positive
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^a Unless otherwise stated, expected results relate to both work under the Convention and work under its Kyoto Protocol.

Table 26

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Journalists in developed and developing countries consistently attend intersessional and sessional meetings	Frequency of reference in the media to the UNFCCC messages issued during the sessions of the Conference of the Parties (COP)	A total of 1,306 press items relating to COP 14 have been identified through an analysis of print, online and broadcast media in all world regions. The number of press items relating to COP 15 was almost five times higher (6,247). Twenty-three per cent of the media items relating to COP 15 referenced UNFCCC's top message, as compared with only 20 per cent relating to COP 14
External communication efforts regarding the UNFCCC are coordinated across the United Nations system		The secretariat leads the development of the United Nations system communications plan for COP 16. This plan was endorsed by the United Nations Communications Group at its annual meeting in June 2010
The UNFCCC website is recognized as the central location for authoritative, up-to-date, comprehensive and user-friendly information on the UNFCCC process	Number of users accessing website content Level of satisfaction of Parties with the UNFCCC website	A total of 5.5 million users accessing the UNFCCC website and downloaded, inter alia, 14 million portable document format files during the reporting period. The webcast service was used by some 750,000 people Information on the level of satisfaction of Parties with the UNFCCC website will be made available in the budget performance report covering the period 1 January 2010 to 30 June 2011

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat's information and communication technology (ICT) architecture facilitates the implementation of mandated activities. The secretariat's information systems are adequately supported	ICT network availability in support of information systems mandated by Parties ICT resolutions of incidents are in accordance with the service-level agreements	According to assessments for 2010 engagement agreements, the secretariat's ICT infrastructure facilitated the implementation of 38 business information systems supporting mandates for substantive programmes. Excluding planned maintenance, all systems were available during at least 99 per cent of the reporting period Two operational-level agreements for delivery of system services were in place during the performance period. All ICT resolutions were in accordance with the agreements

Business continuity management of mission-critical information systems is in place	ICT solutions for identified mission-critical information systems are established	Draft disaster recovery plans for the four most mission-critical systems (the clean development mechanism (CDM) and joint implementation information system, the CDM registry, the compilation and accounting database and the greenhouse gas database) have been established. Procurement of the additional external data centre services required for the implementation of sustainable disaster recovery and business continuity solutions was ongoing
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Objective 3: To facilitate the search for, and retrieval of, UNFCCC documents (Article 6(b) and Article 8, para. 2, of the Convention, Article 10(e) and Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties, observers, staff and the general public have ready access to well-organized and comprehensive official documentation of the climate change negotiating process	Number of official documents published on the UNFCCC website within the agreed time frames Level of satisfaction of internal and external users with the official document publishing service	A total of 239 official documents were published by the UNFCCC secretariat during the reporting period, and all were available on the UNFCCC website within the agreed time frames The secretariat received oral and written feedback from internal and external users on the official document publishing system. This feedback suggests that the level of satisfaction of all users remained high during the reporting period. The secretariat will systematically gauge the level of satisfaction of internal and external users through surveys and interviews to be conducted in 2011
Records are archived or disposed of in accordance with secretariat policy and guidelines	Volume of records deposited in permanent archives or disposed of	A total of 3,676 electronic records were captured into the electronic records management system An archive of physical records was opened in June 2010

Objective 4: To improve communication, collaboration and knowledge sharing within the secretariat and with Parties and other stakeholders through the implementation of knowledge management systems (Article 8, para. 2, of the Convention, Article 14, para. 2, of the Kyoto Protocol)

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Availability of an extranet for secretariat staff and external users to support collaboration between the secretariat and Parties, as well as with other external stakeholders	Number of projects supported by the collaborative system	Extranet functionality is planned to be made available towards the end of 2010. Preparatory activities to this effect were undertaken during the reporting period
Personal computer and laptop users have ready access to collaborative workplaces and can identify the expertise needed to complete tasks		A new collaboration platform was introduced in 2009. A total of 10 pilot projects are being implemented in order to facilitate collaboration by secretariat staff. Full implementation of the platform is planned for the end of the 2010–2011 biennium

Knowledge sharing and information distribution mechanisms are established and communication, collaboration and knowledge sharing is subsequently improved

A knowledge management strategy framework was adopted in March 2010 and is being implemented

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

Table 27

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

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

<i>Expected result(s)</i>	<i>Performance indicator</i>	<i>Performance data</i>
Parties are kept fully informed on the receipt and use of financial resources	Financial statements are made available to Parties in a timely manner	No financial statement was to be made available to Parties during the reporting period
Coherence and transparency in fund-raising and use of funds	Proportion of donor reports sent on time	Seven donor reports were due during the reporting period. Six were sent on time and one is still outstanding
Optimal budget implementation rate	Proportion of actual expenditure compared with the approved budget	The core budget as at 30 June 2010 had a budget implementation rate of 41.5 per cent for the year 2010, which is below the ideal implementation rate of 50 per cent
Compliance with United Nations financial regulations and rules and with UNFCCC financial procedures	Implementation rate of audit recommendations relating to financial and administrative matters	Of the 13 open audit recommendations from the 2006–2007 biennium, one was overtaken by events and nine were fully implemented. The remaining three were under implementation, some of which are of an ongoing nature. The United Nations Board of Auditors did not categorize any recommendation as not implemented following its audit of the 2008–2009 biennium

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

<i>Expected result(s)</i>	<i>Performance indicators(s)</i>	<i>Performance data</i>
Competent and motivated staff reflecting a broad geographic spectrum and gender balance are recruited and retained	Percentage of staff from non-Annex I Parties and women in posts at the Professional and higher levels	Fifty-six per cent of staff in the professional and higher levels are from non-Annex I Parties. Forty-one per cent of staff in the Professional and higher levels are women
	Rate of staff turnover	The rate of voluntary staff turnover during the first half of 2010 was 4 per cent. The annual voluntary staff turnover rates for 2008 and 2009 were 6 per cent and less than 1 per cent, respectively

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

<i>Expected result(s)</i>	<i>Performance indicator</i>	<i>Performance data</i>
Travel of delegates and staff to official meetings is arranged effectively and efficiently	Proportion of participants attending meetings versus nominations	Ninety-one per cent of nominated participants attended meetings (1,286 out of 1,410) Nominees cancelled their participation mainly due to other commitments; some cancelled due to illness or immigration problems. A few meetings and trips had to be postponed due to the volcanic ash cloud that hindered air traffic over Europe in April 2010. No journey was cancelled because of inability to provide a ticket on time
Procurement of goods and services is carried out in a timely manner in accordance with United Nations regulations and rules with and UNFCCC policies	Percentage of procurement cases processed within established time frames	One hundred per cent of procurement cases were processed within the established time frames It is now intended to make the established time frames more ambitious by adjusting them downwards

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