



附属履行机构

第三十九届会议

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临时议程项目 18 (a)

行政、财务和体制事项

2012-2013 两年期预算执行情况

截至 2013 年 6 月 30 日的 2012-2013 两年期预算执行情况

执行秘书的说明

概要

本文件介绍秘书处管理的各信托基金在 2012-2013 两年期头 18 个月的预算执行情况，旨在向缔约方通报截至 2013 年 6 月 30 日的收入、支出和成果。截至 2013 年 6 月 30 日，秘书处已收到 3,620 万欧元，占两年期核心预算指示性缴款预计总额的 80.5%。参与《气候公约》进程信托基金收到自愿捐款 545 万美元；补充活动信托基金收到自愿捐款 2,930 万美元。2012-2013 核心预算已支出约 70.7%。已支出 2,630 万美元用于补充活动信托基金下的各种项目，并从参与《气候公约》进程信托基金中支出了 790 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持费用状况的信息。本文件还提供关于人力资源的资料，并详细报告方案执行情况。

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## 一. 引言

### A. 任务

1. 《公约》缔约方会议(缔约方会议)和作为《京都议定书》缔约方会议的《公约》缔约方会议(《议定书》/《公约》缔约方会议)分别在第 18/CP.17 号决定和第 17/CMP.7 号决定中核可了 2012-2013 两年期方案预算。缔约方会议还请执行秘书向其报告收入和预算执行情况，提出可能需要对方案预算作出的任何调整。

### B. 本说明的范围

2. 本文件报告秘书处管理的各信托基金截至 2013 年 6 月 30 日的收入和预算执行情况。本文件应与 FCCC/SBI/2011/2/Add.1 号文件和 FCCC/SBI/2012/INF.15 号文件一并阅读，前者载有秘书处 2012-2013 两年期工作方案，后者提供了截至 2013 年 10 月 31 日的缴款情况。本文件还提供了有关人力资源和方案执行情况的资料。

### C. 附属履行机构可采取的行动

3. 附属履行机构(履行机构)不妨注意本文件提供的资料，并决定若干可能需要列入行政和财务事项决定草案的行动，这些决定草案将作为建议供缔约方会议第十九届会议和《议定书》/《公约》缔约方会议第九届会议通过。

## 二. 收入和支出报告

### A. 《气候公约》核心预算信托基金

4. 缔约方会议第 18/CP.17 号决定和《议定书》/《公约》缔约方会议第 17/CMP.7 号决定核可的 2012-2013 两年期预算总额为 4,850 万欧元(见表 1)。

表 1  
核定的 2012-2013 两年期核心方案预算和收入

	2012 (欧元)	2013 (欧元)	总计 (欧元)
方案支出	21 507 201	21 258 557	42 765 758
方案支持费用	2 795 936	2 763 612	5 559 548
周转准备金调整	185 875	0	185 875
<b>核定预算总计</b>	<b>24 489 012</b>	<b>24 022 169</b>	<b>48 511 181</b>

	2012 (欧元)	2013 (欧元)	总计 (欧元)
指示性缴款	22 722 074	22 255 231	44 977 305
以往财务周期的缴款结余(结转)	1 000 000	1 000 000	2 000 000
东道国政府的捐款	766 938	766 938	1 533 876
<b>收入总计</b>	<b>24 489 012</b>	<b>24 022 169</b>	<b>48 511 181</b>

5. 表 2 显示《气候公约》核心预算信托基金在两年期头 18 个月的实际收入，为 4,860 万欧元。这一收入主要包括缔约方 2012-2013 两年期的指示性缴款 3,620 万欧元、以往财务周期的缴款结余(即 2010-2011 两年期的结转额)920 万欧元，以及东道国政府的自愿捐款 150 万欧元。

表 2

## 截至 2013 年 6 月 30 日的核心预算收入

	2012-2013 (欧元)
2010-2011 年的结转额 <sup>a</sup>	9 232 047
2012-2013 年《公约》指示性缴款	24 490 208
2012-2013 年《京都议定书》指示性缴款	11 710 724
东道国政府的自愿捐款	1 533 876
预收未来年份的缴款 <sup>a</sup>	905 778
利息、杂项收入和上期结余 <sup>a</sup>	679 878
<b>收入总计<sup>b</sup></b>	<b>48 552 511</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元=0.767 欧元)是 2013 年 6 月 30 日的联合国官方汇率。

<sup>b</sup> 周转准备金为 2,017,160 欧元。

6. 截至 2013 年 6 月 30 日，《公约》195 个缔约方中有 113 个缔约方尚未支付 2013 年缴款，《京都议定书》192 个缔约方中有 118 个缔约方尚未支付 2013 年缴款。

7. 表 3 按方案显示核定的 2012-2013 两年期核心预算，以及两年期头 18 个月的支出情况。截至 2013 年 6 月 30 日，支出额为 3,020 万欧元，占 2012-2013 两年期核定预算的 70.7%。

表 3

## 各方案核定的 2012-2013 年核心预算及截至 2013 年 6 月 30 日的支出情况

	预算 (欧元)	支出 (欧元)	支出占预算的百分比
<b>A. 方案</b>			
行政领导和管理	4 371 974	3 065 133	70.1
减缓、数据和分析	10 193 264	7 078 431	69.4
财务、技术和能力建设	5 648 394	3 547 696	62.8

	预算(欧元)	支出(欧元)	支出占预算的百分比
减缓	3 873 544	2 580 502	66.6
可持续发展机制	1 120 318	794 754	70.9
法律事务	2 710 628	1 765 533	65.1
会议事务服务	3 286 432	2 353 880	71.6
通信和知识管理服务	3 414 864	2 367 744	69.3
信息技术服务	6 229 090	4 459 401	71.6
B. 全秘书处业务费用 <sup>a</sup>	3 239 902	2 203 078	68.0
<b>合计(A + B)</b>	<b>44 088 410</b>	<b>30 216 152</b>	<b>68.5</b>
减去: 特别效率红利	1 322 652		
<b>总计<sup>b</sup></b>	<b>42 765 758</b>	<b>30 216 152</b>	<b>70.7</b>

<sup>a</sup> 全秘书处业务费用由行政事务方案管理。

<sup>b</sup> 不包括方案支持费用和周转准备金调整数。

8. 表 4 按照支出用途显示 2012-2013 年核定核心预算及截至 2013 年 6 月底的支出情况。“工作人员费用”包括工资和一般人事费、短期工作人员薪金、临时助理费用以及加班费。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 4

按支出用途分列的 2012-2013 年核定核心预算及截至 2012 年 6 月 30 日的支出情况

支出用途	预算(欧元)	支出(欧元)	支出占预算的百分比
工作人员费用	33 060 721	22 500 134	68.1
顾问	1 488 718	1 353 180	90.9
专家组	2 039 656	945 278	46.3
工作人员旅费	1 473 301	1 227 856	83.3
一般业务开支	4 363 760	3 096 664	71.0
赠款和捐款	1 662 254	1 093 040	65.8
<b>合计</b>	<b>44 088 410</b>	<b>30 216 152</b>	<b>68.5</b>
减去: 特别效率红利	1 322 652		
<b>总计<sup>a</sup></b>	<b>42 765 758</b>	<b>30 216 152</b>	<b>70.7</b>

<sup>a</sup> 不包括方案支持费用和周转准备金调整数。

9. 截至 2013 年 6 月 30 日，一些支出用途仍处于 75%的理想执行率之下。例如，专家小组的支出较低，主要是因为履约委员会的一些会议，以及由减缓、数据和分析(MDA)方案协调的所有集中审评都计划于 2013 年下半年进行。工作人员费用支出预计在后 6 个月中有所增加，反映出 2012-2013 学年教育津贴结算的情况。顾问费用的执行率高于 75%，反映出因工作急需，在无法尽快填补空缺职位时聘用了一些顾问。工作人员旅费较高的原因是与下列活动相关的差旅需要高于预期：外联活动、参加关于土地利用、土地利用变化与林业(LULUCF)及 REDD+的国际论坛、<sup>1</sup> 以及为非《公约》附件一所列缔约方(非附件一缔约方)提供支持，以便利其制定国家适当减缓行动(NAMAs)。

## B. 参与《气候公约》进程信托基金

10. 参与《气候公约》进程信托基金利用自愿捐款支持符合条件的发展中国家缔约方和经济转型缔约方代表参加缔约方会议及其附属机构的会议。根据联合国贸易和发展会议公布的统计资料，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，该上限提高至 14,000 美元。

11. 表 5 显示参与《气候公约》进程信托基金截至 2013 年 6 月 30 日的收入和支出情况。秘书处在此期间收到的自愿捐款为 540 万美元。迄今收到的捐款，再加上 2010-2011 年的结转额、利息、杂项收入和调整数，收入总计为 1,090 万美元。

12. 2012-2013 两年期头 18 个月的支出为 790 万美元，用以支付符合条件的缔约方代表参加 5 届会议的费用，收入超出支出的余额为 290 万美元，不包括 60 万美元的业务准备金。该余额，加上对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代表参加 2013 年底在波兰华沙举行第十九届缔约方会议和第九届《议定书》/《公约》缔约方会议。

表 5

参与《气候公约》进程信托基金截至 2013 年 6 月 30 日的状况  
(美元)

收入	
2010-2011 年结转额	5 121 373
2012 年收到的自愿捐款	4 887 083
2013 年收到的自愿捐款	557 962
利息	52 669
杂项收入	247 862
<b>收入总计</b>	<b>10 866 949</b>

<sup>1</sup> 关于减少发展中国家毁林和森林退化所致排放量方面问题的政策方针和积极管理办法；以及发展中国家养护、可持续管理森林和加强森林碳储存的作用。

## 支出

199 名与会者出席 SBI 36、SBSTA 36、AWG-KP-17、AWG-LCA 15 和 ADP 1 的旅费	1 310 488
194 名与会者出席 AWG-KP 17 非正式会议、AWG-LCA 15 和 ADP 1 的旅费	956 185
338 名与会者出席 COP 18、CMP 8、SBI 37、SBSTA 37、AWG-KP 17-2、AWG-LCA 15-2 和 ADP 1-2 的旅费	2 844 515
130 名与会者出席 ADP 2 的旅费	539 082
204 名与会者出席 SBI 38、SBSTA 38 和 ADP 2-2 的旅费	1 329 343
其它差旅相关费用	45 941
方案支持费用	914 944
<b>支出总计</b>	<b>7 940 498</b>
<b>余额<sup>a</sup></b>	<b>2 926 451</b>

缩略语：ADP=德班加强行动平台问题特设工作组、AWG-KP=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、AWG-LCA=《公约》之下的长期合作行动问题特设工作组、CMP=作为《京都议定书》缔约方会议的《公约》缔约方会议、COP=缔约方会议、SBI=附属履行机构、SBSTA=附属科学技术咨询机构。

<sup>a</sup> 不包括业务准备金 596,582 美元。

### C. 补充活动信托基金

13. 补充活动信托基金通过缔约方的自愿捐款，继续为许多规定的核心活动提供资金，使秘书处能够更有效地执行本两年期工作方案，包括支持特设工作组的谈判。

14. 表 6 显示补充活动信托基金截至 2013 年 6 月 30 日的收入和支出情况。

15. 报告所述期间收到的自愿捐款为 2,930 万美元。补充活动信托基金的其他收入来源包括 2010-2011 两年期的结转资金余额 2,650 万美元、联合执行(JI)收费、利息收入和杂项收入，截至 2013 年 6 月 30 日，总计 3,520 万美元。

16. 截至 2013 年 6 月 30 日，补充活动信托基金的支出为 2,630 万美元。尚未支出的余额 3,810 万美元，加上今后收到的自愿捐款，将用于资助本两年期剩余时间正在进行的的活动。

表 6  
补充活动信托基金截至 2013 年 6 月 30 日的状况  
(美元)

收入	
2010-2011 年结转额	26 534 977
2012 年收到的自愿捐款	22 223 308
2013 年收到的自愿捐款	7 047 118
联合执行收费	6 984 465
利息	332 393
杂项收入	1 330 645
<b>收入总计</b>	<b>64 452 906</b>
支出	
支出	23 347 992
方案支持费用	2 985 309
<b>支出总计</b>	<b>26 333 301</b>
<b>余额<sup>a</sup></b>	<b>38 119 605</b>

<sup>a</sup> 不包括业务准备金 250 万美元。

#### D. 清洁发展机制信托基金

17. 表 7 说明清洁发展机制信托基金截至 2013 年 6 月 30 日的收入和支出情况。2012-2013 两年期的收入为 2.603 亿美元，主要包括前一个两年期结转的资金 1.192 亿美元和清洁发展机制(CDM)收费 1.389 亿美元。

18. 截至 2013 年 6 月 30 日的支出为 5,920 万美元，未支出余额为 2.011 亿美元，如扣除 4,500 万美元业务准备金，则未支出余额为 1.561 亿美元。

表 7  
清洁发展机制信托基金截至 2013 年 6 月 30 日的状况  
(美元)

收入	
2010-2011 年结转额	119 203 135
清洁发展机制收费	138 927 168
利息	1 623 883
杂项收入	544 725
<b>收入总计</b>	<b>260 298 911</b>



支出	
支出	52 504 505
方案支持费用	6 694 141
支出总计	<b>59 198 646</b>
余额 <sup>a</sup>	<b>201 100 265</b>

<sup>a</sup> 不包括业务准备金 4,500 万美元。

## E. 国际交易日志信托基金

19. 表 8 显示国际交易日志信托基金截至 2013 年 6 月 30 日的收入状况。2012-2013 年的收入为 960 万欧元，主要包括上一个两年期结转的资金 390 万欧元和收费 560 万欧元(占本两年期收费的 99%)。

表 8

国际交易日志信托基金截至 2012 年 6 月 30 日的收入状况  
(欧元)

收入	
2010-2011 年的结转额 <sup>a</sup>	3 853 078
2012-2013 年收到的国际交易日志收费	5 590 020
利息、杂项收入和前期结余 <sup>a</sup>	136 384
收入总计 <sup>b</sup>	<b>9 579 482</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元=0.767 欧元)是 2013 年 6 月 30 日的联合国官方汇率。

<sup>b</sup> 业务准备金为 239,680 欧元。

20. 表 9 按支出用途显示国际交易日志信托基金 2012-2013 年的核定预算及截至 2013 年 6 月 30 日的支出情况。关于国际交易日志(ITL)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/SBI/2013/INF.16)。

表 9

按支出用途分列的国际交易日志信托基金 2012-2013 年核定预算及截至 2013 年 6 月 30 日的支出状况

支出用途	预算 (欧元)	支出 (欧元)	支出占预算的百分比
工作人员费用	1 469 568	755 702	51.4
订约人和顾问	3 295 728	2 154 941	65.4
专家组	35 496	5 493	15.5
工作人员旅费	35 016	11 469	32.8
一般业务开支和共同服务缴款	275 184	93 369	33.9
<b>总计<sup>a</sup></b>	<b>5 110 992</b>	<b>3 020 974</b>	<b>59.1</b>

<sup>a</sup> 不包括方案支持费用和周转准备金调整数。

#### F. 德国政府特别年度捐款信托基金(波恩基金)

21. 作为将秘书处设在波恩的条件之一，德国承诺每年向秘书处支付 180 万欧元特别捐款。截至 2013 年 6 月 30 日，已全额收到 2013 年的捐款。德国政府特别年度捐款信托基金(波恩基金)收到的捐款用于支付报告所述期间在波恩举行会议的后勤安排的费用。

22. 表 10 显示波恩基金截至 2013 年 6 月 30 日的收入和支出情况。在减去支出总额 320 万欧元和业务准备金 241,200 欧元后，基金的未支出余额为 374,186 欧元；该余额预计将于 2013 年底前全部支出。

表 10

波恩基金截至 2013 年 6 月 30 日的状况  
(欧元)

收入	
2010-2011 年的结转额 <sup>a</sup>	210 953
捐款	3 579 044
利息收入和前期收入	17 769
<b>收入总计</b>	<b>3 807 766</b>
支出	
会议支持	2 367 222
会议信息支持	420 763
共同服务费用分摊	25 291
方案支持费用	379 104
<b>支出总计</b>	<b>3 192 380</b>
减去：业务准备金	241 200
<b>结余</b>	<b>374 186</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元=0.767 欧元)是 2013 年 6 月 30 日的联合国官方汇率。

## G. 方案支持费用

23. 按照联合国的财务程序，《气候公约》的所有信托基金需支付 13% 的一般管理费用，以涵盖行政管理服务费用。这些服务大多由秘书处内部的“行政服务”(AS)方案提供。审计、薪资、投资、财政等中央服务以及与司法行政相关的服务由联合国有偿提供。

24. 表 11 显示方案支持费用的状况。截至 2013 年 6 月 30 日，收入为 3,080 万美元，包括从上一个两年期结转的资金 1,330 万美元、方案支持费用收入 1,710 万美元，以及利息和杂项收入 40 万美元。

25. 报告所述期间，将 1,430 万美元用于支付工作人员和非工作人员费用。这包括 2012 年联合国日内瓦办事处所提供的主要费用。但截至 2013 年 6 月 30 日，2013 年前 6 个月的费用尚未支付。在减去业务准备金 230 万美元后，方案支持费用特别账户未支出余额为 1,430 万美元。

表 11

方案支持费用特别账户截至 2013 年 6 月 30 日的状况  
(美元)

收入	
2010-2011 年的结转额	13 317 393
各信托基金支付的方案支持费用收入	17 141 645
利息和杂项收入	364 515
<b>收入总计</b>	<b>30 823 553</b>
支出	
秘书处工作人员费用	10 811 611
秘书处非工作人员费用	2 476 306
联合国提供的服务费用	969 429
<b>支出总计</b>	<b>14 257 346</b>
减去：业务准备金	2 251 200
<b>结余</b>	<b>14 315 007</b>

## 三. 方案执行

26. 方案执行所依据的是 2012-2013 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/2011/2/Add.1 号文件一并阅读。

27. 以下章节概述各方案的责任，说明是否正在实现两年期工作方案的预期成果，并概述对秘书处工作成果作出贡献的活动。

## A. 行政领导和管理

28. “行政领导和管理”方案(EDM)的总体目标是提供战略指导，确保秘书处工作的总体连贯性及保持与其他组织，包括联合国系统和气候变化进程中的关键利害关系方的战略合作和伙伴关系。

29. 报告所述期间“行政领导和管理”方案的工作重点包括：落实国际支持基础设施关键内容，例如技术机制和绿色气候基金在设立独立秘书处之前的运作。其他优先事项包括：执行衡量、报告和核实(MRV)制度，执行《京都议定书》第二承诺期，提高《公约》支持基础设施的一致性和影响。

30. “行政领导和管理”方案直接支持缔约方会议和《议定书》/《公约》缔约方会议主席和主席团，推动缔约方会议第十八届会议和《议定书》/《公约》缔约方会议第八届会议取得圆满成功及筹备缔约方会议第十九届会议和《议定书》/《公约》缔约方会议第九届会议。方案的执行战略股协调秘书处为德班加强行动平台问题特设工作组(ADP)提供的支持，并支持附件一缔约方在《京都议定书》之下的进一步承诺问题特设工作组(进一步承诺问题特设工作组)和《公约》之下的长期合作行动问题特设工作组(长期合作行动问题特设工作组)的工作，它们已经结束了 2012 年的工作。在支持谈判方面，执行秘书已经除其他外，加紧努力，通过更多利用《气候公约》网站和社交媒体工具，提高向缔约方提供的谈判进展信息的透明度。

31. 为了使秘书处的业务及其对缔约方的支持更具影响和效率，执行秘书继续努力，将若干重要机构改革举措合并为以“人员”、“进程”和“影响”三大支柱为中心的、连贯的、注重结果的战略框架。

32. 在“影响”支柱下，秘书处确定了提高工作影响的具体措施，包括支持落实商定的制度和机制及加强与民间社会和其他利害关系方的战略伙伴关系。各项活动包括：与洛克菲勒基金会和世界经济论坛建立合作，扩大“驱动变革”倡议的范围，<sup>2</sup> 扩大与联合国环境署和联合国全球契约办公室在“关注气候”倡议中的现有合作规模。<sup>3</sup> “行政领导和管理”方案还为联合国秘书长办公室筹备 2014 年气候峰会提供了战略支持。

33. 在战略框架的“进程”支柱下，执行秘书将重点放在采取具体行动，旨在提高秘书处业务工作的效率、治理和环境可持续性。为了提高其业务工作的成本效

<sup>2</sup> 见 [http://unfccc.int/secretariat/momentum\\_for\\_change/items/6214.php](http://unfccc.int/secretariat/momentum_for_change/items/6214.php)。

<sup>3</sup> 见 [http://www.unglobalcompact.org/issues/environment/climate\\_change/](http://www.unglobalcompact.org/issues/environment/climate_change/)。

益，秘书处采用精益六西格玛(Lean Six Sigma)工具对其内部程序进行了深入审查，在报告所述期间成功完成了 9 个项目。<sup>4</sup>

34. 在“人员”支柱下，通过了 2012-2014 综合人力资源战略框架。该框架包括一些具体措施，以实现专业和更高级别岗位的男女平衡、维持适当的工作人员地域分布以及促进所有层面的业绩管理和问责制。“行政领导和管理”方案开展的另一些举措侧重于创造一个更为健康的工作环境。报告所述期间，91%的高级管理人员完成了领导才能发展方案；56%的中层管理人员参加了管理发展方案；70%的领导人员中，参加了领导技能培训。

## B. 减缓、数据和分析

35. “减缓、数据和分析”方案(MDA)支持与发达国家和发展中国家缔约方与减缓相关的活动、REDD+活动、部门方针和舱载燃油及应对措施有关的政府间进程。“减缓、数据和分析”方案便利审议所有缔约方在国家信息通报、温室气体清单及其他相关材料中提供的信息和数据，还为非附件一缔约方编写国家信息通报和两年期更新报告提供技术援助。

36. “减缓、数据和分析”方案积极参与有关衡量、报告和核实发达国家和发展中国家减缓行动的谈判，包括长期合作问题特设工作组和进一步承诺问题特设工作组与减缓有关的行动，及履行机构和附属科学技术咨询机构(科技咨询机构)的相关工作方案。“减缓、数据和分析”方案还支持德班加强行动平台问题特设工作组工作流程 1 和 2 之下与减缓有关的谈判，重点放在 2015 年协议中的减缓内容和关于加大减缓力度的工作计划。

37. 关于本方案对《公约》附件一所列缔约方(附件一缔约方)信息通报和审评提供的支持，应特别指出的是：完成了附件一缔约方第五次国家信息通报审查，继续开展附件一缔约方温室气体清单和补充资料的年度审评进程，为《京都议定书》履约委员会的工作提供支持，多次为专家审评员组织进修研讨会等培训活动，开发通用报告模式的新版本报告软件，为《京都》议定书第二承诺期筹备信息技术系统和程序，例如国际交易日志及汇编和核算数据库。

38. 支持非附件一缔约方信息通报和审评的活动包括：组织 4 次非《公约》附件一所列缔约方国家信息通报问题专家咨询小组(CGGE)会议，执行专家咨询小组广泛的技术和能力建设活动，升级软件以协助非附件一缔约方编写温室气体清单。报告所述期间收到非附件一缔约方的 5 份初次国家信息通报、28 份第二次国家信息通报、1 份第三次国家信息通报和 1 份第五次国家信息通报。

<sup>4</sup> 此外，工作人员接受了有针对性的培训，并在各自工作领域采用精益六西格玛工具实施了众多小型举措。人员培训、辅导和指导一直在继续，使秘书处的工作人员能够就本职工作开展过程审查，并报告通过这些改进获得的成效。关于至 2012 年底获得的动态效益的详情，载于 FCCC/SBI/2013/INF.5 号文件。

39. 报告所述期间，“减缓、数据和分析”方案配置了国家适当减缓行动登记册的功能型版本。配置过后维护登记册的运行，与国家适当减缓行动倡议方联络，组织区域研讨会以支持国家适当减缓行动的筹备进程，还与有可能提供支持的各方进行联系。“减缓、数据和分析”方案支持执行履行机构/科技咨询机构关于执行应对措施的影响问题工作方案，组织了几次关于执行应对措施的影响问题论坛的会议。

40. “减缓、数据和分析”方案就广泛的方法论和科学事项促进缔约方会议和《议定书》/《公约》缔约方会议及其附属机构的工作。应特别指出的是：关于 REDD+、土地利用、土地利用变化与林业和农业相关大量问题的谈判；为缔约方会议关于基于成果的融资问题工作方案提供支持，以促进 REDD+相关活动的全面执行；通过网络平台保持关于 REDD+相关事项的信息交流；为关于国际空运和海运所使用的燃料引起的排放和通用指标问题的的工作提供支持。

41. 最后，“减缓、数据和分析”方案已经开始准备启动和开展附件一缔约方国际评估和审评(包括提交和审议其两年期报告)和非附件一缔约方国际磋商和分析(包括提交和审议其两年期更新报告)。已经通过规划工作确定了 2014-2015 两年期相关任务与活动的内容和时间安排；本两年期内，两个进程均需付诸实施并取得具体成果，标志着由“衡量、报告和核实”制度的构想阶段(2012-2013)过渡至“衡量、报告和核实”制度的全面执行阶段(2014-2015)。

### C. 财务、技术和能力建设

42. “财务、技术和能力建设”(FTC)方案支持缔约方，特别是非附件一缔约方执行《公约》和《京都议定书》，包括在履行机构、科技咨询机构、缔约方会议、《议定书》/《公约》缔约方会议和德班加强行动平台问题特设工作组就以下领域进行谈判：财务、技术开发与转让、能力建设、教育、培训和宣传。方案还协调秘书处为科技咨询机构提供支持，促进对履行机构的支持，以确保其有效、高效地运转。

43. 报告所述期间，“财务、技术和能力建设”方案为财务常设委员会(财委会)举办的 4 次会议<sup>5</sup>和制定执行其工作计划提供了支持，并组织了 2013 年 5 月与巴塞罗那碳博会一起举行的首届财委会信息交流论坛。<sup>6</sup>它还支持制定和执行长期财务问题工作方案，组织了 2012 年的 2 次研讨会、2 次网络研讨会并开发了网络工具，还支持联合主席编写提交缔约方会议第十八届会议的报告。<sup>7</sup>方案继续

<sup>5</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/standing\\_committee/items/6881.php](http://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/6881.php)。

<sup>6</sup> 见 [https://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/standing\\_committee/items/7624.php](https://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/7624.php) 和 [https://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/standing\\_committee/items/7554.php](https://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/7554.php)。

<sup>7</sup> 可参阅 [http://unfccc.int/cooperation\\_support/financial\\_mechanism/long-term\\_finance/items/7421.php](http://unfccc.int/cooperation_support/financial_mechanism/long-term_finance/items/7421.php)。

更新财务门户网站，<sup>8</sup> 并编制了一份关于发达国家缔约方提交快速启动资金相关材料的缔约方会议信息文件。此外，方案还与适应基金董事会秘书处合作举办了 2 次区域研讨会。<sup>9</sup> 它继续就若干事项与全球环境基金保持联络，包括财务门户网站和全球环境基金信托基金之下的气候变化活动。

44. “财务、技术和能力建设”方案为技术执行委员会(技执委)举办 5 次会议<sup>10</sup> 和制定执行技执委 2012-2013 年滚动工作计划提供了支持，包括举行 3 次专题对话会，讨论技术转让的扶持型环境和面临的障碍，无害环境技术的研究、开发和示范，还举行了 1 次关于技术路线图的专家会议。此外，方案建立了现有技术路线图和工具清单，还就非附件一缔约方的技术需求收集资料并进行综述。它开发并实施了《气候公约》技术信息交换所(TT: CLEAR)内部的新技术资料平台。<sup>11</sup> “财务、技术和能力建设”方案为气候技术中心(CTC)东道方的选择过程提供便利，包括征求建议书、组织和支持评价小组评估收到的建议书，及在选择过程中与提议方联络。它还为拟定缔约方会议与环境署关于气候技术中心东道方的谅解备忘录提供了便利，该备忘录已由缔约方会议第十八届会议通过。

45. “财务、技术和能力建设”方案举办了德班能力建设论坛第一次和第二次会议；<sup>12</sup> 改进了《气候公约》能力建设专题网页的设计和布局；<sup>13</sup> 每周在《气候公约》的 Facebook 和 Twitter 网页上发起能力建设日。此外，“财务、技术和能力建设”方案通过以下方式为执行“关于《公约》第六条的多哈工作方案”提供便利：通过举办研讨会<sup>14</sup> 和关于《公约》第六条的首次对话会<sup>15</sup> 促进伙伴关系和催化作用；进一步开发和增强信息网络交换所 CC:iNet；<sup>16</sup> 协调联合国气候变化教育、培训和公众宣传联盟<sup>17</sup> 与联合国儿童、青年与气候变化问题联合框架倡议；<sup>18</sup> 促进联合国教育促进可持续发展十年机构间委员会<sup>19</sup> 与联合国机构间青

<sup>8</sup> <http://unfccc.int/pls/apex/f?p=116:1:1273473751496967>。

<sup>9</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/adaptation\\_fund/items/6193.php](http://unfccc.int/cooperation_and_support/financial_mechanism/adaptation_fund/items/6193.php)。

<sup>10</sup> 见 [http://unfccc.int/ttclear/templates/render cms\\_page?TEC\\_meetings](http://unfccc.int/ttclear/templates/render cms_page?TEC_meetings)。

<sup>11</sup> <http://unfccc.int/ttclear/pages/home.html>。

<sup>12</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/capacity\\_building/items/7503.php](http://unfccc.int/cooperation_and_support/capacity_building/items/7503.php)。

<sup>13</sup> [http://unfccc.int/cooperation\\_and\\_support/capacity\\_building/items/1033.php](http://unfccc.int/cooperation_and_support/capacity_building/items/1033.php)。

<sup>14</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/education\\_and\\_outreach/items/6903.php](http://unfccc.int/cooperation_and_support/education_and_outreach/items/6903.php)。

<sup>15</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/education\\_and\\_outreach/items/7670.php](http://unfccc.int/cooperation_and_support/education_and_outreach/items/7670.php)。

<sup>16</sup> 见 [http://unfccc.int/cc\\_inet/cc\\_inet/items/3514.php](http://unfccc.int/cc_inet/cc_inet/items/3514.php)。

<sup>17</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/education\\_and\\_outreach/items/7403.php](http://unfccc.int/cooperation_and_support/education_and_outreach/items/7403.php)。

<sup>18</sup> 各项活动包括谈判机构主席与联合主席的高级别情况说明会及与联合国秘书长的虚拟对话(见 <http://bit.ly/196I7mQ>)。见 [http://unfccc.int/cc\\_inet/cc\\_inet/youth\\_portal/items/6578.php](http://unfccc.int/cc_inet/cc_inet/youth_portal/items/6578.php)。

<sup>19</sup> 见 <http://bit.ly/19wJgEy>。

年发展网络<sup>20</sup>的工作。为了加强青年的参与，“财务、技术和能力建设”方案进一步开发了 CC:iNet 青年门户网站，<sup>21</sup> 协调一份联合出版物<sup>22</sup> 并推动由联合国秘书长领导的相关倡议。

#### D. 适应

46. “适应”方案支持缔约方，尤其是发展中国家缔约方评估、制定和执行适应计划、政策与行动，旨在减少脆弱性和建设抗御能力，改善国际气候政策和气候变化行动的科学基础，包括为审查长期气温全球目标的适当性提供便利。方案支持政府间组织的工作和就这些事项及长期合作行动共同愿景开展的谈判。

47. “本方案在报告所述期间通过支持以下活动为执行《坎昆适应框架》提供便利：

(a) 通过附属机构协助适应委员会筹备会议。<sup>23</sup> 委员会已经成功地在若干领域开始执行其三年期工作计划；<sup>24</sup>

(b) 执行有关特别易受气候变化不利影响的发展中国家与气候变化影响相关的损失和损害问题的工作方案；<sup>25</sup>

(c) 酌情支持最不发达国家和其他感兴趣的发展中国家缔约方制定和执行国家适应计划(NAPs)<sup>26</sup> 的进程，方式包括发布两份综合报告<sup>27</sup> 等。

48. 支持最不发达国家专家组执行其工作方案。<sup>28</sup>

49. 继续努力使广泛的利害关系方参与支持关于气候变化影响、脆弱性和适应的《内罗毕工作方案》(NWP)，已经使工作方案伙伴组织和相关行动承诺的数量均有所提高。<sup>29</sup>

50. 本方案为各缔约方、组织、专家、社区和私营部门之间共享《内罗毕工作方案》相关知识提供便利。<sup>30</sup> 秘书处创建了更加便于使用的新网站，使伙伴组织能

<sup>20</sup> 见 <http://undesadspd.org/Youth/UNInterAgencyNetworkonYouthDevelopment.aspx>。

<sup>21</sup> 见 [http://unfccc.int/cc\\_inet/cc\\_inet/youth\\_portal/items/6578.php](http://unfccc.int/cc_inet/cc_inet/youth_portal/items/6578.php)。

<sup>22</sup> 可参阅 [http://unfccc.int/cc\\_inet/cc\\_inet/six\\_elements/public\\_awareness/items/3529.php?displayPool=1584](http://unfccc.int/cc_inet/cc_inet/six_elements/public_awareness/items/3529.php?displayPool=1584)。

<sup>23</sup> 见 unfccc.int/6989。

<sup>24</sup> 可参阅 unfccc.int/7517。

<sup>25</sup> 见 unfccc.int/6989 和 unfccc.int/7585。

<sup>26</sup> 见 unfccc.int/6057。

<sup>27</sup> 可参阅 unfccc.int/7576。

<sup>28</sup> 见 unfccc.int/7517 和 unfccc.int/6989。

<sup>29</sup> 见 unfccc.int/6989 和 unfccc.int/7509。

<sup>30</sup> <http://unfccc.int/3633>。



够更有效地交流关于所采取行动和经验教训的信息和知识。此外，还组织了各种活动，通过人员互动加强各利害关系方之间的合作与学习。<sup>31</sup> 秘书处还与伙伴组织合作主办并举行了知识交流活动。此外，秘书处发布了最新电子信息(eUpdate)系列新闻简报，<sup>32</sup> 向所有利害关系方通报与《气候公约》之下的适应行动有关的活动，特别是《内罗毕工作方案》之下的活动。<sup>33</sup>

51. 私营部门举措网上数据库的案例数目有所增加，该数据库的目的是便利广大区域和部门的私营单位参与适应行动。<sup>34</sup>

52. 在研究和系统观测方面，本方案继续依照第 9/CP.11 和第 16/CP.17 号决定，为信息流动、沟通研究活动和成果及研究需要提供便利。本方案按照任务授权组织了研究对话，包括在科技咨询机构第三十六届和第三十八届会议期间举办会议，来自区域和国际研究方案及组织、气专委和所有主要缔约方集团的缔约方代表参加了会议。<sup>35</sup> 本方案继续担任气专委活动联络点，包括审议气专委即将发布的第五次评估报告。

53. 本方案还为长期合作行动问题特设工作组关于定期审评长期全球目标充分性的谈判提供支持，经过谈判于 2012 年多哈的联合国气候变化会议上就审评范围和方法达成了协议；本方案还为科技执行机构和履行机构关于 2013-2015 审评的工作及系统专家对话的工作提供了支持。<sup>36</sup>

54. 本方案支持下列部门的谈判：

(a) 长期合作问题特设工作组关于长期合作行动共同愿景的谈判，其中包括如何适用平等原则的讨论；<sup>37</sup>

(b) 德班加强行动平台问题特设工作组的谈判，其中包括为工作组第二届会议第一期会议期间的适应问题圆桌会议提供支持<sup>38</sup> 及在第二届会议第二期会议期间组织了一次适用问题研讨会。<sup>39</sup>

<sup>31</sup> 见 [unfccc.int/6989](http://unfccc.int/6989) 和 [unfccc.int/4623](http://unfccc.int/4623)。

<sup>32</sup> 见 <http://unfccc.int/7565>。

<sup>33</sup> 见 <http://unfccc.int/7565>。

<sup>34</sup> 见 [unfccc.int/6547](http://unfccc.int/6547)。

<sup>35</sup> 见 <http://unfccc.int/6793.php>。

<sup>36</sup> 见 <http://unfccc.int/7521>。

<sup>37</sup> 见 <http://unfccc.int/6658>。

<sup>38</sup> 见 <http://unfccc.int/7733>。

<sup>39</sup> 报告即将发布。

55. 本方案继续在各工作流程之下与许多多边、国际、区域和国家组织开展合作，合作方包括全球基金、气专委、世界气象组织、全球气候观测系统、全球对地观测分布式系统、全球陆地观测系统和联合国国际减少灾害战略。

## E. 可持续发展机制

56. 报告所述期间，“可持续发展机制”方案(SDM)的主要作用仍然是向清洁发展机制执行理事会和联合执行监督委员会(监委会)提供实质性支持，这两个机构是为监督《京都议定书》之下基于项目的机制的实施工作而组建的。此外，“可持续发展机制”方案继续支持关于市场方针和非市场方针所有问题的谈判，包括进一步承诺问题特设工作组、长期合作问题特设工作组、履行机构、科技执行机构和德班加强行动平台问题特设工作组开展的所有相关工作。“可持续发展机制”方案大部分活动的基金来自于清洁发展机制和联合执行的收益分成。只有非清洁发展机制/联合执行活动的费用由秘书处方案预算支付。

57. 本方案为清洁发展机制政策对话高级别小组提供支持，就清洁发展机制进行评估，包括评估其影响、治理，及其作为支持实现《京都议定书》和《公约》目标的工具，今后可能发挥的作用。高级别小组的最后报告于 2012 年 9 月在清洁发展机制政策对话的网站<sup>40</sup>上发布，并在第 5/CMP.8 号决定第 7 段和第 8 段中提及。

58. “可持续发展机制”方案为清洁发展机制安排了 8 次执行董事会会议和 22 次小组和工作组会议。方案为执行董事会会议编写了 174 份文件，帮助董事会制定或修改关于清洁发展机制项目活动和活动方案(PoAs)的标准和程序。这涵盖了范围广泛的问题，其中包括：登记的项目活动和活动方案的重大缺陷管理；突出强调项目活动和活动方案可持续发展共同效益的自愿工具；标准化基线；被抑制需求处理办法指南；治理事项；就清洁发展机制模式和程序的可能变化向履行机构提出的建议。

59. 为了回应《议定书》/《公约》缔约方会议向清洁发展机制中代表性不足的区域的项目开发者提供直接支持的请求，方案开始实行伙伴关系方针，建立清洁发展机制区域合作中心网络。目前已有 4 个中心投入使用(2 个在非洲，2 个在拉丁美洲和加勒比区域)。

60. 本方案支持了以下工作：登记 3,247 个清洁发展机制项目，发放 5.37 亿核证的减排量，还处理登记后的变更、方法的变化和偏差及申请延长入计期的请求。关于认证程序，报告所述期间对 138 个实体进行了评估。本方案还支持评估了 41 种新方法、6 个标准基线、52 项修改请求和 122 项澄清请求。此外，本方案制定并修改了 42 个自上而下的方法，为代表性不足的区域参与清洁发展机制提供便利。

<sup>40</sup> <http://www.cdmpolicydialogue.org>。

61. 本方案组织了 19 次利害关系方干预活动，包括与《内罗毕框架》<sup>41</sup> 的伙伴合作，在波恩为指定国家主管部门(DNAs)举行了一次培训，并在非洲、亚洲和拉丁美洲举行了 4 次区域培训。

62. 宣传工作包括 21 次新闻发布会和清洁发展机制信息服务中心对 400 余次问询的答复。本方案对有关清洁发展机制、联合执行和碳市场相关事项的 40 余次单独媒体问询做出了答复。社交媒体工作还在继续，报告所述期间，Twitter 与 Facebook 相关网页的读者分别增加了 34%和 32%。

63. “可持续发展机制”方案组织并支持了 5 次监委会会议和 2 次联合执行认证小组会议，还编写了 21 份文件，帮助监委会制定和修改联合执行程序 and 标准并促进该机制的长期运作。“可持续发展机制”方案还就相对重要性和二氧化碳的捕获及储存等专题以及与氢氟碳化物相关的问题，为科技咨询机构提供实质性技术支持。

## F. 法律事务

64. “法律事务”方案(LA)的总体目标是就执行《公约》及其《京都议定书》、执行“巴厘岛路线图”之下商定的成果相关事项，以及就秘书处的运行，向以下机构提供法律咨询和支持：

(a) 《公约》和《京都议定书》机构，以及可能根据第 1/CMP.1 和第 1/CMP.13 号决定商定的成果设立的机构；

(b) 执行秘书、秘书处各方案和缔约方。

65. 报告所述期间，“法律事务”方案就涉及《多哈修正案》和顺利过渡至《京都议定书》第二个承诺期的各种程序和法律问题向缔约方提供支持，包括侧重报告和审查要求的方法问题，及有关参与市场机制资格的规则。“法律事务”方案还为德班加强行动平台问题特设工作组之下的谈判进程提供程序和实质事项方面的支持。方案为落实和执行《巴厘路线图》的成果提供法律支持，特别是金融和技术方面的支持。方案向适应委员会、技执委和财委会就程序、体制和实质性问题提供法律咨询。“法律事务”方案还支持拟定及最终确定环境署任气候技术中心东道方的安排，并为制定缔约方会议与作为《公约》资金机制经营实体的绿色气候基金之间的相关安排提供法律咨询和支持。

66. 此外，“法律事务”方案就与谈判有关的若干程序和实质性法律问题提供咨询，包括结束长期合作问题特设工作组和进一步承诺问题特设工作组的工作、通过议程、安排工作和观察员参与等事项涉及的法律和程序问题。方案就任命和甄选《公约》和《京都议定书》机构官员的程序向缔约方提供了重要支持。

<sup>41</sup> [http://cdm.unfccc.int/Nairobi\\_Framework/index.html](http://cdm.unfccc.int/Nairobi_Framework/index.html)。

67. 此外，“法律事务”方案在《京都议定书》履约委员会举办会议和闭会期间，向委员会提供了实质性法律咨询和组织方面的支持。“法律事务”方案应《议定书》/《公约》缔约方会议的要求，编写了一份技术文件，概述程序要求和适用法律的范围和内容，用于审议针对执行事务组的决定向《议定书》/《公约》缔约方会议提出的上诉。<sup>42</sup> 方案还就国际交易日志的运行、执行《公约》及其《京都议定书》之下的报告和审评指南，以及制定更多指南提供了咨询意见。

68. 清洁发展机制执行理事会在其工作的以下各个方面得到法律咨询意见与支持：审议项目活动、执行现有的模式、指南、方法和程序以及制定新的模式、指南、方法与程序，为清洁发展机制项目活动设立区域合作中心等。此外，“法律事务”方案就在有争议领土和受到联合国安全理事会决议限制的国家执行清洁发展机制，以及清洁发展机制登记册的运作方法，包括安全事项提供法律咨询。

69. “法律事务”方案确保秘书处的运行符合联合国的规则与条例及《气候公约》的要求。这方面的工作包括审查/拟订和批准秘书处将与第三方签订的所有法律文书，为第十八届缔约方会议和第八届《议定书》/《公约》缔约方会议及第十九届缔约方会议和第九届《议定书》/《公约》缔约方会议尽快缔结《东道国协定》，以及为《公约》和《京都议定书》机构在秘书处固定总部之外安排会议提供便利。“法律事务”方案向联合地方产业调查理事会和联合地方契约委员会提供法律咨询和支助。它还就与秘书处的管理和运行相关的问题，包括就采购、体制、行政及人力资源方面的政策和问题，例如解决与顾问和私营实体的争端等问题提供定期法律咨询。

## G. 会议事务服务

70. “会议事务服务”方案(CAS)的总体目标是为《气候公约》活动提供一个有利的环境。方案还确保缔约方在开展谈判和执行活动时及时收到联合国六种正式语文的高质量正式文件，使其能够进行知情审议与决策。“会议事务服务”方案与所有利害关系方联络，尤其为符合资格的缔约方及观察员组织出席会议提供便利，并确保一个安全的会议环境。方案提供全方位的会议相关设施与服务，满足缔约方的高标准要求。

71. 报告所述期间，“会议事务服务”方案为履行机构、科技咨询机构、德班加强行动平台问题特设工作组、进一步承诺问题特设工作组、长期合作行动问题特设工作组、缔约方会议和《议定书》/《公约》缔约方会议于 2012 年举行的会议，以及德班加强行动平台问题特设工作组、履行机构和科技咨询机构于 2013 年 4 月和 6 月举行的会议提供了后勤安排，包括安保安排，便利缔约方和观察员组织参会和登记的安排，以及编辑和处理《气候公约》文件的服务。除这些机构的全体会议以外，届会还包括联络小组、谈判小组、代表团和观察员组织的各种

<sup>42</sup> FCCC/TP/2011/6。

会议，会外活动和媒体活动。此外，报告所述期间还为 4 个谈判小组举办了 27 天的会前会议、为相关机构主席和 13 个谈判小组举办了 167 次双边会议。报告所述期间还为 2013 年下半年的缔约方会议、《议定书》/《公约》缔约方会议、履行机构和科技执行机构的届会及 2014 年上半年的德班加强行动平台问题特设工作组届会作了充分准备。

72. 此外，报告所述期间，“会议事务服务”方案通过编写谅解备忘录、与会者预先登记，为办理护照和观察员参与提供便利及/或协助后勤安排等工作，为在波恩和国外举办的 173 次会议和研讨会提供支持。

73. “会议事务服务”方案共处理合格的缔约方代表的 1,115 份资金支持请求，以便利他们参加《公约》及其《京都议定书》之下设立的机构举办的会议，以及与这些会议同时举办的研讨会和活动。

74. 方案将重点放在执行履行机构 2010-2011 年关于观察员参与政府间进程的结论<sup>43</sup>，采取了一些旨在提高政府间进程透明度和促进观察员组织参与的活动，其中包括：简化和改造发布观察员提交材料的网页，以便利缔约方获取材料；促进观察员更多参与闭会期间的研讨会和会议；要求缔约方在申请于届会期间举办会外活动和/或展览时与观察员组织结成伙伴关系。后者得到缔约方的广泛接受，已有 35 个缔约方在缔约方会议第十八届会议和《议定书》/《公约》缔约方会议第八届会议期间与观察员组织成功合作举行了会边活动。<sup>44</sup>

75. “会议事务服务”方案实施了一些效率措施，以应对补充资金减少所致与观察员组织之间联络人员减少的问题，例如：

(a) 由主持会议的人员和执行秘书进行自由交流简介会，从而不必再事先收集问题或举行介绍会；

(b) 除非主持会议的主席提出要求，否则在全体会议之前不再向观察员组织收集发言者的姓名或发言稿；

(c) 更加严格地执行申请举办会外活动、登记参加届会以及请求在全体会议上发言的最后期限。

(d) 实行新的准予参会的最后期限，以确保在资源减少的情况下，及时向缔约方发放缔约方会议的文件。

76. 报告所述期间，本方案继续执行旨在减少会议碳足迹的各项措施。其中，与前一年相比，履行机构第三十六届会议和科技咨询机构第三十六届会议期间，工作人员运输至会址的货物重量减少了 12%，履行机构第三十八届会议和科技咨询

<sup>43</sup> FCCC/SBI/2010/27，第 139 至 152 段，FCCC/SBI/2011/7，第 168 至 179 段。

<sup>44</sup> 见 [http://unfccc.int/files/parties\\_and\\_observers/notifications/application/pdf/information\\_note\\_on\\_party\\_eligibility\\_criterion\\_for\\_see.pdf](http://unfccc.int/files/parties_and_observers/notifications/application/pdf/information_note_on_party_eligibility_criterion_for_see.pdf)。

机构第三十八届会议期间减少了 36%，同时回收参会代表用过的挂绳，用于以后的届会。

77. 此外，对缔约方和观察员组织实行运输限额。就内部而言，缔约方会议第十八届会议和《议定书》/《公约》缔约方会议第八届会议工作人员运输至会址的货物重量较之于缔约方会议第十七届会议和《议定书》/《公约》缔约方会议第七届会议减少了 18%。此外，为了能够在今后的届会采取更多有针对性的行动，建立了某些可持续性指标的监测和报告制度。

78. 执行节约用纸倡议的方式除其他外包括：履行机构第三十六届会议和科技咨询机构第三十六届会议实行按需印刷的方针；履行机构第三十八届会议和科技咨询机构第三十八届会议减少印刷作业时间，而且仅以电子版发布每日工作计划；这些措施的结果是，与前一年相比，履行机构第三十六届会议和科技咨询机构第三十六届会议的用纸总量减少了 44%(正式文件用纸减少了 62%)，履行机构第三十八届会议和科技咨询机构第三十八届会议的用纸总量减少了 72% (正式文件用纸减少了 60%)。缔约方会议第十八届会议和《议定书》/《公约》缔约方会议第八届会议期间，与“综合可持续无纸化服务秘书处”合作采用无纸系统，使正式文件更易获取，而且取得了成效：与缔约方会议第十七届会议和《议定书》/《公约》缔约方会议第七届会议相比，正式文件的用纸量减少了 89%(用纸总量减少了 78%)。

## H. 通信和知识管理服务

79. “通信和知识管理服务”方案(CKM)的总体目标是管理外部通信、在线公共信息、媒体关系及内部知识管理等服务，以支持《公约》及其《京都议定书》进程，并执行在缔约方会议上通过的决定，以便通过促进应多气候变化的积极行动与政策，尽可能施加最大影响。

80. 报告所述期间，秘书处于 2012 年里约+20 活动期间与《联合国防治荒漠化公约》和《生物多样性公约》设立了里约公约展馆，并出版了 2012 和 2013 年里约公约日历。方案以英语和西班牙语发布了 5 份秘书处电子通讯。<sup>45</sup> 英文版约有读者 15,000 名，西班牙文版约有读者 6,000 名。

81. 《气候公约》网站改进了 4 个版块，以加强信息获取；特别是“焦点”版块成为适应、融资、减缓和技术这四大专题支柱的一站式入口。得到改进的其他版块有：“会议发言”和“最新执行信息”，其中包括一个新版块重点介绍性别问题和气候变化之间的联系。报告所述期间，《气候公约》网站被浏览的页面达 1.558 亿页次，文档下载次数达 4,670 万次。《气候公约》的 iPhone/iPad 应用——Negotiator 约被下载了 1 万次。秘书处的 YouTube 视频被观看 22.5 万次，观看次

<sup>45</sup> 见 [http://unfccc.int/press/news\\_room/newsletter/items/3642.php](http://unfccc.int/press/news_room/newsletter/items/3642.php)。

数在报告所述期间增加了 3.2 万次。该频道现载有视频 170 条。秘书处的 Flickr 账户目前载有会议和执行秘书外联活动的照片 1,100 张，共被查阅 22 万次。报告所述期间，秘书处建立了 Google+ 网页，目前有 5,000 名用户定期观看网页。

82. “通信和知识管理服务”方案于 2013 年开展了网站用户满意度调查，受调查者表示《气候公约》网站是用处极大的信息来源。例如，超过 80% 的受调查者为《气候公约》主页的新版块、正式文件和会议专题资料打出肯定的分数。然而，各专题之间的用户导航被视为一项挑战，尤其是在《气候公约》网站上找到所需资料耗时过多。预计 2014 年网站项目的下个阶段将找出应对这一挑战的办法。

83. “通信和知识管理服务”方案启动了一系列改进措施和举措，通过社交媒体与公众、媒体和关键的业界及政府利害关系方加强联系，重点放在全球气候行动和政策制定。德班加强行动平台问题特设工作组第二届会议和附属机构 2013 年 6 月届会期间的几次会期活动中，德班加强行动平台问题特设工作组和长期融资工作方案联合主席通过社交媒体向利害关系方征求意见。

84. 本方案为一些机构和小组<sup>46</sup>的会议和研讨会提供网播服务，以促进政府间进程的透明度。在报告所述期间，《气候公约》网站有 21.8 万余名访客观看了网播节目。

85. 本方案继续与媒体密切合作，以促进对气候变化和政府间进程的理解和准确报道。“通信和知识管理服务”方案共满足了 656 项有关提供资料的请求，处理了媒体对执行秘书的 90 次采访请求，编写了 48 份新闻稿，组织了 12 次新闻发布会，介绍谈判或执行活动的状况。“通信和知识管理服务”方案继续编写每日要闻<sup>47</sup>概述全球对联合国气候变化进程及气候变化相关活动关键报道的情况。

86. 为了准备 2013 年将工作人员转移到波恩 Altes Abgeordnetenhaus 的秘书处新址，“通信和知识管理服务方案”继续为将记录移至记录中心提供指导。已经将约 20 延长米的无效记录由各方案转移到记录中心，还有约 10 延长米的无效记录已被销毁或正待销毁。

87. “通信和知识管理服务”方案继续为共享信息与新闻提供局域网服务，提供了 5 份秘书处内部通讯，目的是促进全秘书处的合作与参与的气氛。报告所述期间，通讯被浏览近 9,800 次。2013 年，局域网网页被浏览 46 万余次。

88. 图书馆服务部门答复了 673 条有关提供参考资料请求，对 115 个事项进行编目，并订购了 35 本书。为了具有成本效益，管理部门决定在 2013 年暂时关闭实体图书馆，代之以更现代的以电子方式访问的资源。

<sup>46</sup> 履行机构、科技咨询机构、进一步承诺问题特设工作组、长期合作行动问题特设工作组、德班加强行动平台问题特设工作组、清洁发展机制执行理事会、联合执行监督委员会、指定国家主管部门、履约委员会和技术执行委员会。

<sup>47</sup> 可参阅 [http://unfccc.int/press/news\\_room/items/2768.php](http://unfccc.int/press/news_room/items/2768.php)。

## I. 信息技术服务

89. “信息技术服务”方案(ITS)为支持秘书处执行任务提供信息技术基础设施和专门化的信息系统。“信息技术服务”方案确保通过实施与运行以信通技术为支持的可靠安全的基础设施及专门化应用，推进缔约方规定的工作。方案还负责根本基础设施的运行，以确保《气候公约》网站可持续使用，缔约方可便捷地获得正式文件、信息、数据、会议记录和活动的详细情况。

90. 除了运行、升级和维护等正常工作以外，报告所述期间，“信息技术服务”方案采取了 5 项加强信息技术基础设施和促进信息系统的主要举措。加强信息技术基础设施的举措如下：将系统外包给一个商业数据中心运营商(Bedag)和满足秘书处工作人员搬迁到新办公楼 Altes Abgeordnetenhaus 过程中的 IT 需要。加强信息系统的主要举措包括实施 SharePoint(合作平台)及开发几个新系统用于支持各方案和缔约方执行各项决定。例如，SDM 信息系统(SDM IS)、NAMA 登记册、两年期报告软件和非附件一清单报告软件。在报告所述期间，向 Bedag 操作系统迁移的首期工作已经完成，SharePoint 平台的建设已完成 90%，SDM IS 项目已对提供的第一个程序试点推出，2010 版 Office 软件的普及工作已经完成，向新办公楼搬迁已制定全面规划，而且继 2013 年 7 月办公楼交接后，将部署 IT 基础设施。在信息系统方面，SharePoint 平台的技术基础已经奠定，SDM IS 项目初始程序已经交付使用，几个系统和解决方案也已交付使用。除了这五项主要举措以外，还在继续努力提高“信息技术服务”方案基础设施服务水平及改进信息系统，包括精简组织结构，IT 能力成熟度评估，工作人员再培训与再分配等。已根据承诺协议改进了“信息技术服务”方案工作方案的定义，提供的服务实现了更高效率，并规定定期向顾客报告有关提供的服务状况的方案。一些创新的服务或产品已得到推广，包括向高级工作人员提供 iPad，各种“服务软件”产品，Numara 服务台系统，以及 WebEx 互联网合作工具等虚拟临场设施。使用虚拟临场设施对远程候选人进行面试，提供一些培训课程并开展其他活动，使远程代表能够积极参与研讨会。还为信息技术安全作出大量努力，包括进行脆弱性分析与报告及调查各种意外事件等。

91. 本方案维持可靠安全的信息技术网络基础设施与服务，使秘书处能够满足政府间进程的要求。本方案为以下会议和系统提供了服务：在《公约》及其《京都议定书》之下设立的机构举办的会议，119 次研讨会和较小型的会议，一些规定的系统，如《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执行信息系统及清洁发展机制登记册，以及全秘书处的系统，如《气候公约》网站的内容管理系统和记录管理系统。此外，国际交易日志的技术监督和合同管理也得以有效执行。在这方面取得的主要成就包括测试和将欧洲联盟登记册并入国际交易日志。



## J. 行政服务

92. “行政服务”方案(AS)的总体职能是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、拟定财务和行政管理政策与指南，以及提供采购、房舍管理和旅行安排服务。

93. 2012年间，“行政服务”方案为绿色气候基金临时秘书处提供了行政支持，包括人力资源、采购、财政/预算和设施方面的支持。报告所述期间，“行政服务”方案为联合国审计委员会审计截至2011年12月31日的两年期财务报表和到2012年12月31日结束的年度中期审计工作提供了便利。委员会注意到，与上一个两年期38%的执行率相比，这一两年期的执行率已提高至70%，委员会仅对2010-2011年的审计发布了三条新的审计建议。

94. 于2012年相比，秘书处专业和更高级别工作人员的性别分布状况未发生变化，专业和更高级别女性工作人员的比例达到40%。同时，报告所述期间，来自非附件一缔约方的专业和更高级别工作人员的比例略有增加，由49.4%上升至51%。

95. 本方案采取了几项出自于“人力资源战略”的战略性人力资源行动，以推动建设健康的工作环境，这些行动包括：试行新的业绩管理制度；执行道德战略；继续学习和发展努力；采用精益方法论审查聘用和遴选程序，以提高效率及更有效地吸引和选择合适人选任职。

96. 2012年1月至2013年6月期间，本方案共为4,470名获得提名的与会者作了旅行安排，以帮助他们参加缔约方会议、《议定书》/《公约》缔约方会议、附属机构、特设工作组的届会，以及各组成机构及其专家小组的会议、专家会议、研讨会国内审评、及《气候公约》其他正式活动。实际出席会议者占所作旅行安排人数的89%。但有一次，与会者的提名报送过迟，秘书处无法买到能使其及时到会的机票。提名者最终未能到会的其他情况中，报告的原因包括业务或个人事务冲突、健康问题、签证问题或出发/中转时误机。

97. “行政服务”方案按照联合国的规章制度和《气候公约》的政策，以竞争性和具有效益成本的方式进行采购活动，确保公平、透明，实现资金的最大价值。

“行政服务”方案共举行了108次招标活动，最后选定的投标、报价或提案平均比出价最高者便宜33%。平均而言，每次招标活动都收到4个报价。方案在规定的时间期限内处理了98%的采购项目(1,025个项目中的1,005个项目)。现有长期协议涵盖了1,025个采购项目中的917个。

98. “行政服务”方案协调秘书处为 Altes Abgeordnetenhaus 办公楼竣工和筹备秘书处部分搬迁所做的工作。东道国政府与联合国之间的仪式性交接于2012年10月31日举行，实际的技术性交接于2013年7月15日举行，因此实际搬迁工作可以于2013年第三季度进行。“行政服务”方案还支持执行秘书担任波恩联合国办公区新建筑设计评审团成员，并就此事和与正在竣工的波恩会议中心有关的事项向她提供咨询。

#### 四. 补充信息

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

## Annex I

[English only]

### Human resources

#### A. Staff

1. Table 12 shows the number of approved posts and filled posts by grade and source of funding. As at 30 June 2013, of the 519 approved posts, 447.5 were filled. In addition, 24 Professional and 25 General Service level staff members were hired under temporary assistance contracts, bringing the total number of staff at the secretariat to 496.5.

Table 12  
Approved established posts and filled posts by source of funding as at 30 June 2013

	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1	Subtotal	GS	Total
<i>Trust Fund for the Core Budget</i>											
Approved	1	3	7	15	30	37	13		106	51.5	157.5
Filled <sup>a</sup>	1	3	7	9	28	31	11		90	50.0	140.0
<i>Trust Fund for Supplementary Activities</i>											
Approved				3	6	15	20		44	20	64
Filled				2	4	9	13		28	18	46
<i>Trust Fund for the Clean Development Mechanism</i>											
Approved			2	4	19	47	65	1	138	58	196
Filled			1	4	18	41	59	1	124	49.5	173.5
<i>Trust Fund for the International Transaction Log</i>											
Approved					2	2	1		5	2	7
Filled						2	1		3	1.5	4.5
<i>Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund)</i>											
Approved						1	1		2	6	8
Filled						1			1	5	6
<i>Special account for conferences and other recoverable costs<sup>b</sup></i>											
Approved							1		1	4	5
Filled							1		1	1	2
<i>Programme support (overhead)</i>											
Approved			1	2	4	13	7		27	54.5	81.5
Filled			1	2	3	12	5		23	52.5	75.5
<i>Total</i>											
Approved	1	3	10	24	61	115	108	1	323	196	519.0
Filled	1	3	9	17	53	96	90	1	270	177.5	447.5

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

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

<sup>b</sup> These posts are in support of operating the split office premises and are funded by the Government of Germany.

2. Table 13 provides information on the geographical distribution of the staff appointed at the Professional level and above. As at 30 June 2013 Western European and other States accounted for the highest percentage (40.4 per cent) of staff appointed at the Professional level and above, whereas Eastern European States accounted for the lowest (8.1 per cent).

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

Table 13

**Geographical distribution of staff members appointed at the Professional level and above as at 30 June 2013**

<i>Grade</i>	<i>African States</i>	<i>Asia-Pacific States</i>	<i>Latin America and Caribbean States</i>	<i>Eastern European States</i>	<i>Western European and other States</i>	<i>Total</i>
ASG			1			<b>1</b>
D-2	1				2	<b>3</b>
D-1	3	1	1		4	<b>9</b>
P-5	3	4	1	3	6	<b>17</b>
P-4	5	10	7	6	25	<b>53</b>
P-3	6	36	11	4	39	<b>96</b>
P-2	6	29	14	9	32	<b>90</b>
P-1					1	<b>1</b>
<b>Total</b>	<b>24</b>	<b>80</b>	<b>35</b>	<b>22</b>	<b>109</b>	<b>270</b>
Percentage of total	8.9	29.6	13.0	8.1	40.4	<b>100.0</b>

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

4. Table 14 highlights the distribution of staff members appointed at the Professional level and above between Parties included in Annex I to the Convention (Annex I Parties) and non-Annex I Parties. As at 30 June 2013 the percentage of staff from non-Annex I Parties at the Professional and higher levels was 49.3 per cent, compared with 50.7 per cent for Annex I Parties.

Table 14

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

<i>Grade</i>	<i>Annex I Parties</i>	<i>Non-Annex I Parties</i>
ASG		1
D-2	2	1
D-1	4	5
P-5	9	8
P-4	32	21
P-3	48	48
P-2	41	49
P-1	1	
<b>Total</b>	<b>137</b>	<b>133</b>
Percentage of total	50.7	49.3

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

5. Table 15 highlights the distribution of staff members by gender. As at 30 June 2013 the percentage of female staff at the Professional and higher levels was 42.4 per cent, slightly down by 1.3 per cent from June 2012. The percentage of female staff at all levels was 54.2 per cent.

Table 15  
**Distribution of staff members by gender**

<i>Grade</i>	<i>Male</i>	<i>Female</i>
ASG		1
D-2	3	
D-1	7	2
P-5	14	3
P-4	33	20
P-3	52	44
P-2	49	41
P-1	1	
GS	46	131.5
<b>Total</b>	<b>205</b>	<b>242.5</b>
Percentage of total	45.8	54.2

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

## B. Individual consultants and individual contractors

6. Between 1 January 2012 and 30 June 2013 a total of 245 individual consultants and individual contractors were hired. They provided a combined total of 572.6 working months at a total cost of USD 5.25 million under all sources of funding. Table 16 provides information on the distribution of these services by programme.

Table 16  
**Services of individual consultants and individual contractors by programme from 1 January 2012 to 30 June 2013**

<i>Programme</i>	<i>Person-months</i>	<i>Cost (USD)</i>
Executive Direction and Management	28.1	251 629
Mitigation, Data and Analysis	60.4	643 650
Finance, Technology and Capacity-building	61.5	530 011
Green Climate Fund	43.2	476 167
Adaptation	28.3	204 395
Sustainable Development Mechanisms	180.2	1 745 753
Legal Affairs	0.8	9 542
Conference Affairs Services	70.3	421 431
Communications and Knowledge Management Services	15.1	103 199
Information Technology Services	23.9	186 312
Administrative Services	60.8	678 617
<b>Total</b>	<b>572.6</b>	<b>5 250 706</b>

## Annex II

[English only]

**Projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2012–2013**

Table 17

**Income and expenditure of projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2012–2013 as at 30 June 2013**

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
<i>Executive Direction and Management</i>			
Enhancing and strengthening cooperation with the United Nations through the Office of the Secretary-General	143 717	134 666	9 051
Momentum for Change	1 436 235	862 133	574 102
Supporting negotiations and new institutional arrangements aimed at enhancing the implementation of the Convention and its Kyoto Protocol	2 245 965	902 305	1 343 660
Momentum for Change: Women for Results	400 000	72 064	327 936
Kyoto Protocol eligibility consultation	53 996	53 727	269
<i>Mitigation, Data and Analysis</i>			
Supporting communication by and the consideration of information from developing countries on the implementation of the Convention	2 582 091	1 484 653	1 097 438
Maintaining the database system for the annual compilation and accounting of emission inventories and assigned amounts under the Kyoto Protocol	355 731	155 988	199 743
Supporting activities relating to land use, land-use change and forestry: reducing emissions from deforestation and forest degradation, enhancement of carbon sinks and the role of sinks in future mitigation actions	1 156 486	293 266	863 220
Providing training for expert review teams and organizing meetings of the lead reviewers	1 781 937	791 744	990 193
Supporting the implementation of national greenhouse gas (GHG) inventories and related activities by non-Annex I Parties, including national forest monitoring systems	2 051 616	848 773	1 202 843
Developing and maintaining the UNFCCC information systems for the receipt and processing of GHG data, including the UNFCCC submission portal, the Virtual Team Room and the GHG data interface	273 774	136 144	137 630
Supporting activities relating to scientific, technical and socioeconomic aspects of mitigation of climate change	7 486	–	7 486

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
Facilitating the implementation of the work programme for the revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories” and the use of the Intergovernmental Panel on Climate Change (IPCC) 2006 IPCC Guidelines for National Greenhouse Gas Inventories	365 248	87 077	278 171
Supporting the implementation of enhanced action on mitigation by developing country Parties	1 246 691	449 984	796 707
Supporting activities relating to the impact of the implementation of response measures	70 000	36 101	33 899
Supporting the work programme for the development of modalities and guidelines for enhanced reporting and review by developed country Parties, in accordance with decision 1/CP.16, paragraph 46, and implementing the relevant requirements of decision 2/CP.17	1 402 039	166 157	1 235 882
Redesigning and developing the software for the reporting of GHG emissions by all Parties to the Convention	2 072 705	933 705	1 139 000
Organizing a workshop on common metrics to calculate the carbon dioxide equivalence of anthropogenic GHG emissions by sources and removals by sinks	41 462	41 415	47
Developing, deploying and operating a beta version of the nationally appropriate mitigation action (NAMA) registry	186 318	212 286	(25 968)
Holding a side event at the eighteenth session of the Conference of the Parties (COP): joint effort to support the preparation and implementation of the NAMA registry	17 012	15 036	1 976
<i>Finance, Technology and Capacity-building</i>			
Supporting capacity-building in developing countries and countries with economies in transition	411 935	176 488	235 447
Supporting the implementation of a work programme on Article 6 of the Convention and Article 10, paragraph (e), of the Kyoto Protocol: networking and exchange of information and good practices	553 778	187 286	366 492
Organizing workshops on the process and requirements of the accreditation of national implementing entities that can access resources from the Adaptation Fund directly	646 023	422 995	223 028
Supporting the full operation of the Technology Mechanism	1 133 992	541 590	592 402
Support to the functioning of the Standing Committee	487 848	343 473	144 375
Supporting the work programme on long-term finance	1 488 009	791 048	696 961
Enhancing the participation of youth in COP 18 and the eighth session of the Conference of the Parties serving as the	99 380	99 380	–

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
meeting of the Parties to the Kyoto Protocol			
<i>Adaptation</i>			
Supporting the least developed countries and the Least Developed Countries Expert Group	2 324 737	1 159 645	1 165 092
Supporting the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change	1 384 752	605 784	778 968
Supporting activities relating to climate change science, research and systematic observation	215 228	11 592	203 636
Supporting the implementation of the Cancun Adaptation Framework	3 034 537	880 922	2 153 615
Supporting the periodic review of the adequacy of the long-term global goal referred to in decision 1/CP.16, paragraph 4	158 398	3 793	154 605
<i>Sustainable Development Mechanisms</i>			
Supporting the operation of joint implementation	11 342 860	2 298 640	9 044 220
Elaborating modalities and procedures for the inclusion of carbon capture and storage in geological formations as project activities under the clean development mechanism	39 996	–	39 996
Implementing the two work programmes mandated under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention agenda item on various approaches, relating to: (a) a framework for various approaches; and (b) the new market-based mechanism	425 877	11 870	414 007
Organizing a workshop on the review of the modalities and procedures of the clean development mechanism	60 948	29 671	31 277
<i>Legal Affairs</i>			
Handbook on the UNFCCC	48 842	–	48 842
Support to the Compliance Committee	418 290	254 929	163 361
<i>Conference Affairs Services</i>			
Providing interpretation services during the thirty-fourth sessions of the subsidiary bodies and COP 17	2 522	2 479	43
Supporting stakeholder engagement in the UNFCCC process	466 401	149 303	317 098
Servicing the ad hoc working group session in Bangkok, Thailand, in 2012	3 792 795	3 564 243	228 552
Providing temporary structure during the thirty-sixth sessions of the subsidiary bodies	547 798	547 675	123



<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
Developing a handbook and film documentary on conference management	499 967	172 081	327 886
Servicing the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action in April 2013	1 059 941	1 041 282	18 659
Providing temporary structure during the thirty-eighth sessions of the subsidiary bodies	612 565	657 639	(45 074)
<i>Communications and Knowledge Management Services</i>			
Developing an online portal for UNFCCC information in Spanish	237 213	51 931	185 282
Developing country media training in the run-up to COP 17 in Durban, South Africa, in 2011	131 414	123 007	8 407
Providing information technology services	189 996	188 326	1 670
Relaunching the website for the UNFCCC: phase II – from negotiation support to climate action	275 000	–	275 000
Establishing an electronic library and knowledge management	150 000	113 894	36 106
Maintaining internal communications	181 120	119 103	62 017
<i>Administrative Services</i>			
Administering the UNFCCC Fellowship Programme	3 667	867	2 800
<i>Information Technology Services</i>			
Project implementation of the secretariat's office move to the Altes Abgeordnetenhaus	231 541	234 896	(3 355)
Replacing the e-mail and instant messaging system	45 964	–	45 964
Undertaking phase I of developing sustainable support for the UNFCCC collaboration platform	252 264	–	252 264
<i>Other expenditure</i>			
Junior Professional Officers	1 719 446	942 932	776 514
<i>Green Climate Fund</i>			
Supporting the work of the Transitional Committee for the design of the Green Climate Fund	145 587	31 824	113 763
Supporting the interim secretariat of the Green Climate Fund	5 558 859	2 895 493	2 663 366
<b>Total</b>	<b>58 269 999</b>	<b>26 333 305</b>	<b>31 936 694</b>

<sup>a</sup> Note that not all income available under the Trust Fund for Supplementary Activities has been allocated to projects.

## Annex III

[English only]

**Programme performance data for the period from 1 January 2012 to 30 June 2013**

Table 18

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

**Objective 1: To continue to enhance the secretariat's responsiveness to the needs of the Convention and the 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 Party priorities and requests and supports emerging issues, including those that relate to the implementation of the Cancun Agreements and subsequent mandates by Parties	Proportion of mandated outputs delivered and delivered on time  Level of satisfaction of Parties with the work of the secretariat	A total of 819 mandates required the secretariat to deliver outputs during the reporting period, including some that required ongoing output delivery. In 99 per cent of cases outputs were fully delivered or output delivery was ongoing. Ninety-five per cent of the outputs were delivered on time  A survey on the level of satisfaction of Parties with the work of the secretariat was conducted in July 2013. The results of the survey, <sup>b</sup> which had an overall response rate of 36.5 per cent (71 of 195 possible respondents), indicate that Parties have a high level of satisfaction with the work of the secretariat. For example, 92 per cent of all respondents somewhat agreed, agreed or strongly agreed with the statement that their level of satisfaction with the work of the secretariat was consistently high
Activities undertaken are coherent across programmes. The strategic objectives of programmes and the distribution of tasks and responsibilities among the programmes are clear	The members of the secretariat management consult each other and take decisions on a regular basis (bilaterally and in management bodies)	The secretariat Management Team met 22 times during the reporting period (from 1 January 2012 to 30 June 2013)  The Executive Secretary and Deputy Executive Secretary held regular bilateral meetings with senior management

**Objective 2: To ensure optimal 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 in the intergovernmental process**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
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Climate change intergovernmental meetings provide a forum for taking decisions and advancing the process of responding to climate change	Level of satisfaction of Parties with the secretariat's support of negotiation sessions	Respondents to the above-mentioned satisfaction survey indicated a high level of satisfaction with the support provided by the secretariat to negotiation sessions, with 85 per cent of all respondents somewhat agreeing, agreeing or strongly agreeing with the statement that the secretariat effectively supported the intergovernmental process
Presidents of the COP and the COP Bureau are well informed and able to carry out their functions effectively	Level of satisfaction of the COP President and the COP Bureau with secretariat support	A survey on the level of satisfaction of the COP President and the COP Bureau with secretariat support was conducted in June and July 2013. The results of the survey, which had a 50 per cent response rate (9 of 18 possible respondents), indicate that the President and Bureau of the COP and the CMP have a high level of satisfaction with the services provided to them by the secretariat. Matters of process, documentation, timing and logistical arrangements were acknowledged as entirely satisfactory. They were also very satisfied with the overall communication, keeping them updated on any urgent information. Changes in practical matters were proposed by some Bureau members, including the following: increasing the number of meetings for decision-making purposes; and exploring options for more efficient means of collaboration among Bureau members, such as an online discussion forum and a web-based repository for meeting agendas, minutes and documents. The Bureau members also suggested areas where the Bureau could play a more active role, such as: addressing improvements to the intergovernmental process and having more involvement in the arrangements and agendas for the sessions of the COP and the CMP. The secretariat will address the suggestions made in the survey in collaboration with the President of COP 19 and CMP 9
The high-level segment provides political impetus to the intergovernmental process	One or more political issues is/are resolved with the help of high-level participants	Ministerial outreach on high-level issues undertaken by the President of COP 18 and CMP 8, with the support of the secretariat, has assisted in resolving or advancing key outstanding issues relating to the Kyoto Protocol, finance, reporting and loss and damage

**Objective 3: To ensure effective communication and outreach on the intergovernmental process and close liaison with Parties, intergovernmental organizations and other stakeholders, 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 sessions of the COP	No relevant data are available. Previously data were provided by the United Nations Department of Public Information, but it has discontinued this practice, and within the secretariat it was not possible to carry out continuous analysis with existing communications resources

<p>Number and duration of visits to the UNFCCC website and the volume of content downloads</p>	<p>A total of 155.8 million pages were viewed and 46.7 million files were downloaded from the UNFCCC website. The UNFCCC iPhone/iPad application Negotiator was downloaded approximately 10,000 times. Eighty per cent of responses to the website survey gave a positive score to the UNFCCC homepage news section, official documents and meeting-specific information</p>
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Support provided by the United Nations and intergovernmental agencies to Parties in the implementation of the Convention is enhanced<sup>a</sup>

**Objective 4: To continue to develop the secretariat as a well-managed, high-performance institution with a healthy working culture**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Competent and motivated staff representing a broad geographical spectrum and gender balance are recruited, trained and retained</p>	<p>Percentage of staff from Parties not included in Annex I to the Convention and women in posts in the Professional and higher levels</p>	<p>Forty-nine per cent of staff in the Professional and higher levels are from non-Annex I Parties. Forty-two per cent of staff in the Professional and higher levels are women</p>
<p>Internal processes function smoothly and staff are satisfied with their work and management</p>	<p>Level of staff satisfaction with their job, management and development opportunities</p>	<p>A staff survey was conducted in July 2013, with a 43 per cent response rate (222 of 500 possible respondents). Over 73 per cent of the respondents expressed a high level of satisfaction with their job and the secretariat's management. Thirty-nine per cent of the respondents expressed the view that they had adequate opportunities to advance their career</p>
<p>The secretariat has the required financial resources to implement mandates given to it by the COP and the CMP</p>	<p>Percentage of mandated outputs that cannot be delivered as a result of insufficient funding</p>	<p>Sufficient funding was available for the delivery of almost all mandated outputs. Insufficient funding resulted in delays in relation to the nationally appropriate mitigation action registry and the common reporting format Reporter software</p>
	<p>Contribution rate to core budget</p>	<p>EUR 36.2 million, or 80.5 per cent of the total core budget indicative contributions expected for 2012–2013, had been received as at 30 June 2013</p>
	<p>Level of contribution to the Trust Fund for Supplementary Activities</p>	<p>During the reporting period, the secretariat received USD 29.3 million in voluntary contributions from Parties, against an initial requirement of USD 33 million for the biennium</p>
<p>Financial resources are managed in a sound manner and are utilized to maximize the benefit to the UNFCCC process</p>	<p>Proportion of actual expenditure compared with the approved budget</p>	<p>The 2012–2013 core budget for the secretariat had a budget implementation rate of 70.7 per cent through to June 2013, which is below the ideal implementation rate of 75 per cent</p>

Level of expenditure under the Trust Fund for Supplementary Activities	The actual expenditure incurred to support mandated supplementary funded activities as at the end of June 2013 amounted to USD 26.3 million, using contributions received in 2013 and the carry-over from 2010–2011
Implementation rate of audit recommendations relating to financial and administrative matters	The three audit recommendations made for the biennium 2010–2011, related to International Public Sector Accounting Standards and information technology equipment, are under active implementation

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

<sup>b</sup> For further information on the results of the survey, see <<http://unfccc.int/secretariat/items/7724.php>>.

Table 19

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

**Objective 1: To support Parties in the communication and consideration of information relating to implementation**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The launch and operation of the process for international assessment of emissions and removals relating to quantified economy-wide emission reduction targets for developed country Parties is facilitated	Proportion of mandated outputs delivered and delivered on time	The operation of the process for international assessment is expected to start in January 2014  In 2013, the Mitigation, Data and Analysis (MDA) programme initiated the preparation of the internal processes and procedures to operationalize international assessment and review once it has been launched
The development of modalities for measurement, reporting and verification (MRV) of developed countries' commitments and actions is facilitated	Proportion of mandated outputs delivered and delivered on time	All mandated activities were performed and all outputs were delivered on time  The MDA programme prepared papers and a workshop held in October 2012 to facilitate the work of the Subsidiary Body for Scientific and Technological Advice (SBSTA) on reporting in biennial reports and on modalities for MRV of developed countries' commitments and actions. The reporting formats were adopted at the eighteenth session of the Conference of the Parties (COP)  The MDA programme is now preparing papers and a workshop, to be held in October 2013, to facilitate the work of the SBSTA on the revision of the review guidelines for the national communications of developed country Parties, including biennial reports

<p>Parties are informed about available guidelines, methods and tools for preparing and submitting their national communications, greenhouse gas (GHG) inventories and other reports</p>	<p>Number of visits to the UNFCCC website to download guidelines, methods and tools</p>	<p>The relevant web pages were visited about 1,021,000 times during the reporting period</p>
<p>Data reported by Parties included in Annex I to the Convention under the Convention and its Kyoto Protocol are processed, stored and published in a timely and accurate manner</p>	<p>Number of booklets and CD-ROMs collected by Parties from the UNFCCC information kiosk during sessions</p> <p>All relevant UNFCCC data systems (e.g. the GHG database, the compilation and accounting database, the GHG online data interface and common reporting format (CRF) Reporter) and their interlinkages, including those to the international transaction log where relevant, are kept operational without unplanned interruptions</p>	<p>This indicator is no longer monitored because of the 'paper-light' policy of the secretariat</p> <p>Five full updates of the online GHG data interface have been implemented, in March, June and November 2012 and in March and June 2013, in order to ensure that the data are correct and up to date</p> <p>All systems have operated in accordance with their availability requirements</p> <p>Changes in Parties' eligibility in response to decisions of the Compliance Committee under the Kyoto Protocol have been implemented in the international transaction log and the compilation and accounting database in real time for all eligibility cases considered in the reporting period</p>
<p>The UNFCCC is recognized as an authoritative source of GHG data for Annex I Parties</p>	<p>All queries and reports required to support the reporting and review processes for Annex I Parties are made available in accordance with agreed timelines</p> <p>The two key annual UNFCCC data reports (the GHG data reports and the compilation and accounting reports) have been considered by the COP and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP)</p> <p>Ninety-five per cent or more of all data-related inquiries received by the secretariat have been answered within one week</p>	<p>Forty-three reports on the technical review of GHG inventories of Annex I Parties conducted in the 2011 inventory reporting and review cycle for Annex I Parties and 27 such reports from the 2012 cycle were published during the reporting period</p> <p>All 43 annual status reports for the GHG inventory submissions from Annex I Parties in 2012 and all 44 annual status reports in 2013 have been prepared and published in accordance with the mandated time frame</p> <p>The 2012 and 2013 editions of part I of the synthesis and assessment report for Annex I Parties has been prepared and published in accordance with the mandated time frame</p> <p>The two key annual UNFCCC data reports (the GHG data report and the compilation and accounting report) were considered at COP 18 and CMP 8</p> <p>MDA responded to about 140 requests for GHG data or data clarifications from Parties, national and international organizations, the media and individuals; the responses were provided within the agreed time frame of one week</p>

Effective support is provided for the fulfilment of reporting requirements and for the review of the implementation of the Convention and its Kyoto Protocol by Annex I Parties	All GHG inventories from Annex I Parties submitted on time in the biennium 2012–2013 are received and reviewed by international expert teams within the mandated time frames	The 2012 and 2013 GHG inventory submissions from all Annex I Parties (43 Parties in 2012 and 44 Parties in 2013) have been received and processed, including the submissions of supplementary information under Article 7, paragraph 1, of the Kyoto Protocol for relevant Annex I Parties  MDA organized and supported the 9 <sup>th</sup> meeting of the lead reviewers of the GHG inventories of Annex I Parties in March 2012 and their 10 <sup>th</sup> meeting in March 2013  Arrangements for conducting the 2012 cycle of technical reviews of GHG inventories of Annex I Parties were completed in a timely manner; such arrangements for the 2013 cycle are currently being made
Effective support is provided for the implementation of the work programme for the revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories”	Proportion of mandated outputs delivered and delivered on time	All mandated inputs have been provided on time, except for the delivery of the pilot version of the new CRF Reporter, which reflects the revised guidelines on 22 October 2012 as per the mandate in decision 15/CP.17. The release of that version was made later than on the mandated date of 1 October 2012 because of the lack of funding for the project
A sufficient number of experts are trained and ready to participate in GHG inventory reviews	Number of GHG inventory review experts passing the relevant examination annually	Three training cycles for GHG inventory review experts under the Convention were organized. Eighty-nine experts received training and 88 experts passed the mandatory examinations. Two training cycles were organized under the Kyoto Protocol and 72 experts passed the mandatory examinations

**Objective 2: To support non-Annex I Parties in preparing and submitting national communications and national inventory and biennial reports and preparing and implementing nationally appropriate mitigation actions (NAMAs) required for the implementation of the Convention**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The launch and operation of the process of international consultation and analysis of biennial reports from developing countries is facilitated	Proportion of mandated outputs delivered and delivered on time  All NAMA submissions are made available on the UNFCCC website in a timely manner	One paper on the cost implications of the international consultation and analysis process was prepared in a timely manner  NAMAs were received and made available on the UNFCCC website in document FCCC/SBI/2013/INF.12/Rev.2
	All NAMAs are accurately recorded in the registry in a timely manner	The working prototype of the registry was launched in June 2013, which is accessible only to Parties. The final web-based platform accessible to Parties and open to the public will be completed by October 2013

<p>The development of modalities for MRV of developing countries' actions and the support received for those actions is facilitated</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>A draft decision on the general guidelines for domestic MRV may be adopted at COP 19</p>
<p>The NAMA registry is established effectively and updated regularly, including, as appropriate, the 'matching' function</p>	<p>Number of mitigation actions recorded</p>	<p>Over 50 mitigation actions and one source of support have been recorded in the registry. However, the matching of action with support will happen outside of the registry</p>
<p>Parties are informed about available guidelines, methods and tools for preparing and submitting their national communications, GHG inventories and other reports</p>	<p>Number of visits to the UNFCCC website to download guidelines, methods and tools</p>	<p>The relevant web pages with information on national communications from Parties not included in Annex I to the Convention, including the pages for downloading guidelines, methods and tools, were visited about 90,000 times during the reporting period</p>
	<p>Number of booklets and CD-ROMs collected by Parties from the UNFCCC information kiosk during sessions</p>	<p>About 1,500 national experts from the Asia-Pacific States, the African States and the Latin America and Caribbean States were provided with CD-ROMs and/or access, via a file transfer protocol, to updated training materials from the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention on the preparation of national communications by non-Annex I Parties</p>
<p>Effective support is provided to non-Annex I Parties in their fulfilment of the reporting requirements under the Convention</p>	<p>Number of non-Annex I Parties that have submitted their subsequent national communications</p>	<p>Four initial national communications, 28 second national communications, one third national communication and one fifth national communication were submitted by Parties and received and processed by the secretariat during the reporting period</p>
	<p>Number of national reports received by the secretariat</p>	
	<p>Number of non-Annex I experts that have been trained</p>	<p>More than 950 experts from the Asia-Pacific States, the African States and the Latin America and Caribbean States participated either on site or remotely in the training workshops on national GHG inventories; over 300 experts participated on site or remotely in the workshops on mitigation assessment; and over 450 experts participated on site or remotely in the workshops on vulnerability assessment</p>
<p>Data reported by non-Annex I Parties under the Convention and its Kyoto Protocol are processed, stored and published in a timely and accurate manner</p>	<p>All relevant UNFCCC data systems (e.g. the GHG database, the online GHG data interface and the non-Annex I software for the preparation of inventory data) are kept operational without unplanned interruptions</p>	<p>All relevant systems operated without unplanned interruptions</p> <p>Five updates of the online GHG data interface were implemented during the reporting period, in order to incorporate the latest data on GHG emissions reported in the latest national communications</p> <p>The development of non-Annex I Party software for the preparation and submission of inventory data led to a first release in June 2013; further developments are ongoing</p>



<p>The UNFCCC is recognized as an authoritative source of GHG data for non-Annex I Parties</p>	<p>All queries and reports required for supporting the reporting of GHG data by non-Annex I Parties are made available in accordance with agreed timelines</p> <p>Ninety-five per cent or more of all data-related inquiries received by the secretariat have been answered within one week</p>	<p>During the reporting period, neither queries nor reports were required for supporting the reporting of GHG data by non-Annex I Parties</p> <p>All of the 19 inquiries relating to national communication processes were responded to within one week of their receipt</p>
<p>The development of modalities for MRV of anthropogenic forest-related emissions by sources and removals by sinks, forest carbon stock and forest area changes resulting from the implementation of REDD-plus<sup>b</sup> activities is facilitated</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>All mandated outputs in the context of supporting relevant negotiations following decision 1/CP.16, appendix II, were delivered on time</p>
<p>The identification of land use, land-use change and forestry (LULUCF) activities in developing countries, in particular those that are linked to the drivers of deforestation and forest degradation, is facilitated</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>All mandated outputs in the context of supporting relevant negotiations following decision 1/CP.16, paragraph 72, were delivered on time</p>
<p>A sufficient number of experts are trained and ready to contribute to the preparation of national communications and to other national reporting obligations</p>	<p>Number of national reports received by the secretariat</p> <p>Number of non-Annex I experts that have been trained</p>	<p>All 14 countries (there are eight participating countries in the Southern and Eastern African regional capacity-building project: Botswana, Malawi, Mauritius, Namibia, Rwanda, South Africa, United Republic of Tanzania and Zambia; the South-East Asian regional capacity-building project involves six countries: Cambodia, Malaysia, Philippines, Papua New Guinea, Thailand and Viet Nam) have prepared national reports that were incorporated into annual and mid-year regional reports</p> <p>Approximately 110 experts were trained in the use of agriculture, land-use and forestry software</p>

**Objective 3: To improve the methodological and scientific bases for enhancing the implementation of the Convention and its Kyoto Protocol**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Effective support is provided for the consideration of matters related to targets for Annex I Parties</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>A total of eight outputs were mandated to be delivered during the reporting period and all were delivered on time, including supporting negotiations, the preparation of a technical paper on developed country targets, the organization of an in-session workshop on developed country mitigation actions and a briefing in relation to the clarification of developed country targets</p>

<p>Work on the methodological and scientific basis for long-term cooperative action on policy approaches and positive incentives on issues relating to REDD-plus in developing countries is facilitated</p>	<p>Proportion of mandated outputs delivered and delivered on time</p> <p>Number of submissions that are posted on the reducing emissions from deforestation and forest degradation in developing countries (REDD) Web Platform, developed in response to decision 2/CP.13</p>	<p>A total of nine outputs were mandated to be delivered during the reporting period and all of them were delivered on time, including the preparation of: (a) three workshops; (b) a technical paper on modalities and procedures for financing results-based actions and considering activities related to decision 1/CP.16, paragraphs 38 and 39; and (c) two compilations of relevant views of Parties</p> <p>A total of 69 submissions were posted on the REDD Web Platform during the reporting period</p> <p>A total of 174 registrations were recorded on the REDD Web Platform during the reporting period</p>
<p>Work on methodological and scientific matters is facilitated, including in the areas of LULUCF, sectoral approaches, international aviation and maritime transport, and fluorinated gases</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>A total of 12 outputs were mandated to be delivered during the reporting period, all of which were on time</p> <p>The outputs included the provision of support by MDA for the launch of work programmes on LULUCF and work on agriculture under the SBSTA, and five compilations of views of Parties (one on agriculture and four on LULUCF)</p> <p>They also included the support by MDA of the ongoing work of the SBSTA on: (a) international aviation and maritime transport; (b) common metrics and the organization of a workshop on common metrics in April 2012; and (c) implications of decisions 2/CMP.7 to 5/CMP.7 in relation to the second commitment period of the Kyoto Protocol on the previous decisions of the CMP on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8, as well as the preparation of a relevant technical paper and the organization of a workshop</p>

**Objective 4: To support Parties, in particular developing country Parties, in meeting their specific needs and concerns arising from the impact of the implementation of response measures**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Effective support is provided to work on the impact of the implementation of response measures, including support for the implementation of the work programme under the subsidiary bodies to address said impact, and a possible forum</p>	<p>Proportion of mandated outputs delivered and delivered on time</p>	<p>Seven in-forum workshops were held and one in-forum expert meeting was conducted</p> <p>Seven in-forum workshop reports and one in-forum expert meeting report were prepared on time</p>

<sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under the Kyoto Protocol.  
<sup>b</sup> See <[http://unfccc.int/methods/redd/redd\\_finance/items/7671.php](http://unfccc.int/methods/redd/redd_finance/items/7671.php)>.

Table 20

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Financial, Technology and Capacity-building programme**
**Objective 1: To support the intergovernmental process with regard to the provision of financial resources to developing country Parties for adaptation and mitigation**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are effectively supported in intergovernmental negotiations on the financial mechanism of the Convention and on the provisions of the Cancun Agreements relating to fast-start finance, long-term finance, the Green Climate Fund and the Standing Committee on Finance (SCF)	Number of mandated outputs delivered in a timely manner	A total of seven mandates required output delivery. The required outputs were two regional workshops on the process and the requirements for the accreditation of national implementing entities for direct access under the Adaptation Fund. Both workshops were held on time. In addition, one official Conference of the Parties (COP) information document on the submissions from developed country Parties relating to fast-start finance was prepared and delivered on time. Two workshops on long-term finance were organized and the Co-Chairs' report was delivered. Four meetings of the SCF and one forum of the SCF were held on time. A report from the SCF was made available to COP 18 in a timely manner, as was a report from the Green Climate Fund
Parties are regularly provided with information on financial resources to assist developing country Parties in implementing mitigation and adaptation measures	Proportion of mandated outputs delivered and delivered on time	The finance portal modules on fast-start finance and the Global Environment Facility (GEF) have been updated and a new module on the Adaptation Fund has been developed. New web pages on long-term finance and the SCF, including its virtual forum, have been developed
	Number of visits to the section on the financial mechanism on the UNFCCC website	A total of 268,000 visits were made to the sections on the financial mechanism, long-term finance and the SCF
Information on the implementation of the COP guidance to the GEF as an operating entity of the financial mechanism, as well as on the work of the Adaptation Fund, is provided regularly and in accordance with mandates under the Convention	Number of reports prepared by the GEF made available by the secretariat in a timely manner	One report from the GEF was made available to COP 18 in a timely manner. One GEF information document was produced on time for the thirty-eighth session of the Subsidiary Body for Implementation (SBI)
	Number of reports prepared by the Adaptation Fund Board made available by the secretariat in a timely manner	One report prepared by the Adaptation Fund Board was made available to the eighth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in a timely manner. One technical report and one information document were prepared for SBI 38
Parties are supported effectively in the fifth review of the financial mechanism	Proportion of mandated outputs delivered and delivered on time	No outputs were mandated to be delivered during the reporting period

**Objective 2: To support and enhance cooperation among Parties and relevant organizations on the research, development, demonstration, deployment, diffusion and transfer of technologies for adaptation and mitigation**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided for making the Technology Mechanism fully operational, as mandated by the Cancun Agreements and in response to other subsequent decisions of the COP	Proportion of mandated outputs delivered and delivered on time	A total of five outputs were required to be delivered during the reporting period. All were delivered on time
Effective support is provided to the Technology Executive Committee (TEC)	The draft business plans of the TEC are developed in accordance with its decisions	A rolling workplan was developed by the TEC at its 2 <sup>nd</sup> meeting and made available at the thirty-sixth sessions of the subsidiary bodies, in accordance with decision 4/CP.17
	The annual report of the TEC is made available in a timely manner	The report on activities and performance of the TEC for 2012 was made available to the subsidiary bodies at their thirty-seventh sessions in a timely manner
Effective support is provided in relation to the Climate Technology Centre and Network (CTCN), as mandated by the COP and relevant bodies	The selection process for the host of the CTCN is launched and completed in a timely manner, in accordance with relevant decisions of the COP	The call for proposals for hosting the Climate Technology Centre (CTC) was issued in a timely manner and all related documents were made available on the UNFCCC website
		The report on the evaluation of the proposals to host the CTC was made available to SBI 36  The report on the discussions on key elements of the potential host agreement for the CTC was made available to SBI 37
Effective support is provided for the implementation of the technology transfer framework in collaboration with partner organizations	Proportion of mandated outputs delivered and delivered on time	A total of two outputs were required to be delivered during the reporting period. An experience-sharing workshop on technology needs assessments was organized in collaboration with the United Nations Environment Programme and the report thereon was made available on time for consideration by the Subsidiary Body for Scientific and Technological Advice at its thirty-seventh session
The technology information clearing house (TT:CLEAR) is transformed to become the technology information platform of the Technology Mechanism	Number of visits to the technology information platform	A total of 205,533 visits were made to the technology information platform
	Number of page displays and file downloads	Data on the number of file downloads are not available as the new and improved platform is still being finalized

**Objective 3: 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**

<i>Expected result(s) under the Convention</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	Annual reports are made available in a timely manner	Seven reports were mandated and made available during the reporting period. Five reports were made available on time and two were delayed, owing to a temporary shortage of human resources
Information is made available on the support provided by developed country Parties for capacity-building in developing country Parties as well as on the use of that support	Information from submissions is compiled and made available on the UNFCCC website in a timely manner	Seven submissions were received during the reporting period, which were made available on the UNFCCC website in a timely manner
The implementation of the capacity-building frameworks is facilitated through coordination with United Nations agencies and other relevant institutions	Number of partner agencies and organizations that contribute to the implementation of the capacity-building frameworks Number of activities undertaken by partner agencies and relevant organizations to contribute to the implementation of the capacity-building frameworks as listed in annual reports	A total of 356 partner agencies and organizations contributed to the implementation of the capacity-building frameworks A total of 506 activities were submitted during the reporting period by partner agencies and relevant organizations and are listed in the annual report
Effective support is provided to the review of the implementation of the amended New Delhi work programme on Article 6 of the Convention	Proportion of mandated outputs delivered on time	Five outputs were mandated to be delivered during the reporting period. Three documents were made available to the SBI on time and two were delayed, owing to a temporary shortage of human resources
Relevant United Nations agencies and other organizations are mobilized to provide coordinated input to the implementation of the work programme on Article 6 of the Convention	Number of relevant United Nations agencies and other organizations mobilized by the secretariat to provide input to the implementation of the work programme on Article 6 of the Convention	A total of 19 intergovernmental and 23 non-governmental organizations was mobilized by the secretariat during the reporting period
The information network clearing house (CC:iNet) is used actively as a tool to enhance the exchange of information on activities under Article 6 of the	Number of registered users in different world regions Number of page displays and file downloads	A total of 593 users from different world regions were registered More than 133,000 page displays and more than 900 downloads were registered on CC:iNet during the reporting period

Convention	Level of satisfaction with CC:iNet of users surveyed	A total of 84 responses were received to an online user survey on CC:iNet conducted in January and February 2012. Eighty-six per cent of survey respondents found that that the navigation structure of CC:iNet provides easy access to information and 70 per cent rated the layout of the CC:iNet web pages and the quality of the information provided as good or excellent. The survey was advertised on the UNFCCC website and the homepage of CC:iNet and e-mail notifications were sent to all Parties and more than 1,600 admitted observer organizations, as well as to registered CC:iNet users and participants in regional workshops on the implementation of Article 6 of the Convention
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<sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under the Kyoto Protocol.

Table 21  
**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Adaptation programme**

**Objective 1: To support Parties, in particular developing country Parties, in assessing impacts, vulnerability and risks and in developing and implementing adaptation plans, policies and actions**

<i>Expected result(s) under the Convention</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The overall coherent implementation of the Cancun Adaptation Framework is facilitated	Proportion of mandated outputs delivered and delivered on time	A total of 21 mandates required output delivery during the reporting period, pertaining to all three components of the Cancun Adaptation Framework. All mandates were delivered. Those that had a specific delivery date were delivered on time, except several documents depending on timely receipt of submissions and those documents that were slightly delayed owing to the timing of related activities
The work of the Adaptation Committee (AC) is facilitated	Proportion of mandated AC reports delivered and delivered on time	The first report of the AC to the Conference of the Parties (COP), through the subsidiary bodies, was delivered with a slight delay, which was caused by the delayed 1 <sup>st</sup> meeting of the AC
	Number of working papers and information products prepared in support of the work programme of the AC	The 1 <sup>st</sup> , 2 <sup>nd</sup> and 3 <sup>rd</sup> meetings of the AC were held during the reporting period. A total of 20 working papers were made available, which were all well received by the AC
	Level of satisfaction of the AC members with the secretariat's support for the work of the AC	AC members have expressed their full satisfaction with the support provided by the secretariat

The process for the formulation and implementation of national adaptation plans (NAPs) is facilitated	Proportion of mandated outputs delivered and delivered on time	Four mandates to the secretariat required output delivery during the reporting period, including requests for two miscellaneous documents and two synthesis reports. There are also ongoing mandates pertaining to the use and enhancement of existing databases and the collection and compilation of information for the Subsidiary Body for Implementation (SBI) to monitor and evaluate the NAP process. All mandates with specific deadlines were delivered on time
	Number of experts trained in the modalities and guidelines for NAPs	A total of 66 experts were trained in the modalities and guidelines for NAPs during the Least Developed Countries Expert Group (LEG) workshop on adaptation for francophone least developed countries (LDCs), which took place in Lomé, Togo, on 18–22 March 2013. Additional experts were introduced to the modalities and guidelines for NAPs during the NAP Expo, which took place on 9 June 2013 and was aimed at launching the NAP process in the LDCs
The implementation of the work programme on loss and damage is facilitated	Proportion of mandated outputs delivered and delivered on time	A total of 10 concrete mandates required output delivery during the reporting period. Five expert meetings were organized and two meeting reports, two technical papers and one literature review were produced. The secretariat also complied with the mandates to invite experts from regional centres and networks to expert meetings and to engage stakeholders
The implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change is facilitated	Proportion of mandated outputs delivered and delivered on time	A total of 10 concrete mandates required output delivery during the reporting period. These included three progress reports to the Subsidiary Body for Scientific and Technological Advice (SBSTA), which were delivered on time, and ongoing mandates relating to stakeholder engagement and the development of information and knowledge products and their dissemination. One knowledge product on the private-sector initiative, two leaflets and four issues of the electronic newsletter (eUpdate) were produced during the reporting period. Stakeholder engagement is ongoing
	Number of action pledges by Nairobi work programme partners	During the reporting period, the secretariat received a total of 18 new action pledges, bringing the total number of action pledges received to 178
The work of the LEG is facilitated	Proportion of mandated LEG reports delivered and delivered on time	Three LEG reports were mandated to be delivered during the reporting period and were made available on time
	Number of working papers and information products prepared in support of the work programme of the LEG	A total of 12 such working papers and information products were prepared. Some of them were disseminated and made available in English, French and Portuguese
	Level of satisfaction of the LEG members with the secretariat's support of the work of the LEG	The results of a recently conducted survey indicate that the LEG expresses satisfaction with the support provided by the secretariat

Collaboration between the LEG and the Global Environment Facility (GEF) and its agencies is facilitated	Number of joint activities between the GEF and its agencies and the LEG facilitated by the secretariat	Eight such activities were facilitated by the secretariat: three LEG meetings, two LEG regional training workshops and two LEG side events each at SBI 36 and SBI 37/COP 18; the contribution to the development of training materials for the LEG 2012–2013 regional training workshops on adaptation for the LDCs through electronic means and interaction during sessions of the subsidiary bodies; the contribution to the facilitation of the above-mentioned workshops; and active participation in the review meeting of the LEG technical guidelines and the NAP Expo
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**Objective 2: To support the review of the adequacy of the long-term global goal and the consideration of various matters related to science, research and systematic observation**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Work by the Convention bodies on matters related to science, research and systematic observation is facilitated	Proportion of mandated outputs delivered and delivered on time	Eight mandates required output delivery during the reporting period. These included the continuation of the organization of the research dialogue, the production of miscellaneous documents containing additional views on the research dialogue, and enhancing the visibility of scientific information relevant to the Convention on the UNFCCC website (redesigned web pages for research). All achieved outputs were delivered on time; one is still ongoing and is on schedule
	Number of international and regional programmes and organizations taking part in the research dialogue under the Convention	A total of 24 presentations were made during the research dialogues held during SBSTA 36 and 38, with 16 presentations being made on behalf of 10 international research programmes and organizations and the Intergovernmental Panel on Climate Change, and eight presentations made on behalf of Parties, with four of them representing groups of Parties
The review of the adequacy of the long-term global goal is facilitated	Proportion of mandated outputs delivered and delivered on time	Four mandates required output delivery during the reporting period. These included the consideration without delay of available inputs to the 2013–2015 review and the initiation of the structured expert dialogue (SED) on the 2013–2015 review, which was established at COP 18. An in-session workshop under the SED was held during the thirty-eighth sessions of the subsidiary bodies to consider such inputs and the two co-facilitators of the SED were selected. The web page of the review was developed and made available to Parties in May 2013. A total of nine presentations were made during the workshop under the SED, with three presentations made by experts and six presentations made on behalf of Parties, with three of them representing groups of Parties



A shared vision for long-term cooperative action was facilitated under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention	Proportion of mandated outputs delivered and delivered on time	A workshop on equitable access to sustainable development was held during the thirty-sixth sessions of the subsidiary bodies. A total of 14 presentations were made, with two presentations made by experts, 12 presentations made on behalf of Parties, with three of them representing groups of Parties, and two presentations made by intergovernmental organization and non-governmental organizations
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**Objective 3: To engage a wide range of stakeholders and to widely disseminate information by effective means, including through the UNFCCC website**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
A wide range of stakeholders is engaged in the implementation of all relevant mandates	Number of collaborative activities facilitated between organizations and between Parties and organizations	The programme continued the facilitation of collaborative activities between organizations and between Parties and organizations under all of its different workstreams. This included organizing 22 workshops, expert meetings and informal meetings and two research dialogue meetings, producing a wide range of documents with stakeholder input, contributing to the Momentum for Change initiative and ongoing communication with all stakeholders across all workstreams
	Diversity of engaged stakeholders, including by geographical region, type and sector	The diversity of engaged stakeholders spans all regions, types, sectors and climate hazards. Statistical data are constantly updated and available on the programme's database of partners, action pledges and experts <sup>b</sup>
Comprehensive user-friendly information is made available in a timely manner	Number of visits to the sections of the UNFCCC website dedicated to adaptation	During the reporting period the main page of the adaptation portal <sup>c</sup> was accessed 142,533 times. All related subpages had a total of 4,942,159 views
	Information contained in the sections of the UNFCCC website dedicated to adaptation is regularly updated	Information contained in the sections of the UNFCCC website dedicated to adaptation was updated on a continuous basis. In May 2013 the web representation of the Adaptation programme under the UNFCCC was restructured to present information in a more coherent, consistent and user-friendly manner
	Level of satisfaction of users of the section of the UNFCCC website dedicated to adaptation	Parties and other stakeholders have expressed satisfaction with the accessibility of adaptation information after the launching of new web pages

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

<sup>b</sup> See <<http://unfccc.int/5005.php>>.

<sup>c</sup> See <<http://unfccc.int/4159>>.

Table 22

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

**Objective 1: To support and optimize the operation of the clean development mechanism (CDM)**

<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 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	Eighty-three per cent (10 of 12) of the SDM survey respondents expressed satisfaction with the support provided
	Proportion of meeting documents made available fully in accordance with the rules of procedure of the CDM Executive Board	The secretariat organized and supported meetings of the CDM Executive Board, such that 92 per cent (160 of 174) of all documents were made available fully in accordance with the rules of procedure. The remaining documents were late submissions
The work of the CDM Executive Board on methodologies is facilitated	Level of satisfaction of the members of the Methodologies Panel, Afforestation and Reforestation Working Group, Carbon Capture and Storage, and Small-Scale CDM Working Group with the support provided by the secretariat for their work	Eighty-one per cent (13 of 16) of the SDM survey respondents expressed satisfaction with the support provided
	Proportion of new methodologies processed fully in accordance with the established procedures and timelines	The secretariat facilitated the work of the CDM Executive Board on methodologies, such that all 24 requests for 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	The secretariat facilitated the work of the CDM Executive Board on methodologies, such that all requests for revisions (51) and clarifications (106) 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	Ninety-six per cent of the summary notes were delivered within the specified timelines (i.e. 3,183 of 3,326 for registration and 3,315 of 3,465 for issuance)
	Proportion of project completeness checks conducted within the specified timelines	Ninety-five per cent of the checks for registration and issuance commenced during the reporting period were conducted within the specified timelines, of which 94 per cent were completeness checks (i.e. 3,776 of 4,085 for registration and 3,664 of 3,848 for issuance) and 97 per cent were information and reporting checks (i.e. 3,857 of 3,989 for registration and 3,708 of 3,826 for issuance)

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
	Proportion of issuance instructions acted upon within one day	<p>The secretariat facilitated the registration of CDM projects and the issuance of CERs. However, upon closer scrutiny, the indicator chosen to measure performance was found not to be suitable for accurately reflecting the secretariat's performance. The indicator will therefore be revised and performance will be reported on in the next biennium</p> <p>The secretariat processed 3,490 issuance instructions</p>
The operation of the CDM registry is facilitated	Proportion of forwarding instructions for CERs acted upon within two weeks	<p>The secretariat facilitated the operation of the CDM registry. However, upon closer scrutiny, the indicator chosen to measure performance was found not to be suitable for accurately reflecting the secretariat's performance. The indicator will therefore be revised and performance will be reported on in the next biennium</p> <p>The secretariat processed 4,878 requests for forwarding instructions for CERs, which is an increase of 26 per cent in comparison with the previous 18 months</p>
	Proportion of requests to change modalities of communication statements processed within one month	The secretariat facilitated the operation of the CDM registry. However, upon closer scrutiny, the indicator chosen to measure performance was found not to be suitable for accurately reflecting the secretariat's performance. The indicator will therefore be revised and performance will be reported on in the next biennium
	Proportion of requests to change the status of project participants and focal points processed within one month	The secretariat processed 5,174 requests to change the modalities of communication (including digitization of the modalities of communication form)
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 (DOEs) and applicant entities with the support provided by the programme for their work	Sixty per cent (23 of 38) of the DOEs and applicant entities expressed satisfaction with the support provided. The low survey response rate from the CDM Accreditation Panel did not allow for any conclusions to be drawn
	Proportion of cases processed fully in accordance with the procedure for accrediting operational entities	<p>Ninety-four per cent (352 of 374) of the cases brought to the Accreditation Panel were processed fully in accordance with the specified timelines. The remaining documents were mostly late submissions from the assessment team or DOEs</p> <p>All of the 205 cases were brought to the CDM Executive Board for consideration in accordance with the procedure for accrediting operational entities</p>

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
	Proportion of cases prepared for consideration by the CDM Executive Board and its Accreditation Panel fully in accordance with the accreditation procedures	The secretariat facilitated the accreditation of operational entities, such that 100 per cent of cases prepared for consideration by the CDM Executive Board (205) and its Accreditation Panel (374) were fully in accordance with the accreditation procedures

**Objective 2: To support and optimize the operation of joint implementation (JI)**

<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  Proportion of meeting documents made available fully in accordance with the rules of procedure of the JISC	All (11 of 11) of the SDM survey respondents expressed satisfaction with the support provided  The secretariat organized and supported meetings of the JISC, such that 16 of the 21 meeting documents (76 per cent) were made available fully in accordance with the rules of procedure. The remaining documents were late submissions
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  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	A low SDM survey response rate did not allow for any conclusions to be drawn.  The (i.e. one re-accreditation) application for accreditation is being processed in accordance with JI regulations
The work of the JISC on the full project cycle of the Joint Implementation Track 2 <sup>b</sup> procedure is facilitated	Level of satisfaction of project participants, applicant/ accredited IEs and members of the JISC with the support provided by the programme for the handling of JI Track 2 procedures  Proportion of submissions and calls for input processed fully in accordance with the established modalities and procedures	A low SDM survey response rate did not allow for any conclusions to be drawn.  All of the 210 submissions for Track 2 and the one call for input were processed within the given timelines

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Work programmes under the intergovernmental bodies concerning the further development of the project-based mechanisms are facilitated	Proportion of mandated outputs delivered on time	All nine mandated outputs were delivered on time (i.e. publication of three submissions, organization of one workshop, preparation of one synthesis report and one compilation report, establishment of the CDM loan scheme, addressing significant CDM deficiencies, and CDM information made publicly available)
Parties are supported in their consideration and development of further market-based and other collaborative mechanisms	Proportion of mandated outputs delivered on time	All 10 mandated outputs (i.e. publication of five submissions, organization of four workshops and preparation of one technical paper) were delivered on time  All eight mandated outputs (i.e. publication of three submissions, preparation of two technical syntheses and organization of three workshops) to be delivered in the second half of 2013 are on track
Overall strategic, policy and administrative management is provided to the development and implementation activities of the programme, including in relation to the support of existing market-based mechanisms and further relevant work mandated by Parties	Proportion of mandated outputs delivered on time	All three mandated outputs were delivered on time (i.e. adjusted UNFCCC practice on the costs of travel and the daily subsistence allowance; publication of Party-specific amount of issuance of emission reductions; and further measures to improve the efficiency of the project cycle)  Both mandated outputs to be delivered in the second half of 2013 are ongoing (i.e. reducing the average waiting time for registration and issuance of CDM project activities and enhancing support for countries underrepresented in the CDM)
Compliance with United Nations financial regulations and rules, and UNFCCC financial procedures	Implementation rate of audit recommendations relating to financial and administrative matters	All recommendations from the preceding audits have been implemented. There was an audit during the reporting period. The SDM management is aiming to implement the recommendations from the most recent audit report by the first quarter of 2014

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

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

Table 23

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

**Objective 1: To provide legal advice and support so that the Convention and its Kyoto Protocol, as well as the outcomes from the negotiations under the Bali Road Map, are implemented and the associated intergovernmental process is conducted in accordance with legal, procedural and institutional requirements**

<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 raised by Parties and other stakeholders regarding the timeliness and soundness of legal advice and support provided by the secretariat	During the first 18 months of 2013, the Legal Affairs (LA) programme issued at least 47 legal opinions on different legal issues, six of them directly to Parties, and provided legal advice on at least 22 different legal issues. The secretariat did not receive any complaints from Parties or other stakeholders regarding the timeliness and soundness of such legal advice or the legal support provided by the secretariat during the reporting period
The 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 concentration for the legal advice provided by LA during the reporting period. Sixteen of the 47 legal opinions issued from 1 January 2012 to 30 June 2013 dealt with the legal, procedural and institutional requirements of the intergovernmental process
[repeat of above]	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	The concerns and issues that were raised by public or private entities against constituted bodies or their members in the reporting period were expeditiously resolved and did not lead to legal action against any individuals serving on constituted bodies

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</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 and the Conference of the Parties serving as the meeting of the	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	In the period from 1 January 2012 to 30 June 2013, LA provided final clearance to 168 legal instruments that could be concluded on behalf of the secretariat. During the same period, the secretariat concluded 158 legal instruments with third parties after these instruments had been reviewed or drafted and cleared by LA. No disputes in the implementation of these instruments were raised that could not be settled amicably between the parties

Parties to the Kyoto Protocol (CMP) and UNFCCC requirements	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	In the period from 1 January 2012 to 30 June 2013, 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
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**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 and 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 2012 to 30 June 2013, five meetings of the enforcement branch, three meetings of the facilitative branch and three meetings of the plenary took place. In the reporting period, LA delivered all of its mandated outputs relating to the Compliance Committee on time and therefore 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). One of the supporting documents for the 22 <sup>nd</sup> meeting of the enforcement branch (document CC/EB/22/2013/2) was not posted on the UNFCCC website in accordance with the secretariat's internal working arrangements (i.e. the next business day after it was made available to the members and alternate members of the branch). This slight delay was due to competing demands on the time of the staff member responsible for website posting
	Level of satisfaction expressed by the members and alternate members of the Compliance Committee regarding secretariat support	A web-based survey on the level of satisfaction expressed by members and alternate members of the Compliance Committee with the support of the secretariat was conducted by an independent expert from 10 to 26 July 2013. The results of the survey, which had a 52 per cent response rate (22 of 42 possible respondents), indicate that members and alternate members of the Committee have a high level of satisfaction with the support provided by the secretariat to the Compliance Committee

<p>The CMP is provided with adequate and effective support in the development of policy guidance to the Compliance Committee</p>	<p>Absence of complaints raised by Parties with respect to the legal support provided by the secretariat in the development of policy guidance</p>	<p>The secretariat provided the CMP with support for the development of policy guidance to the Compliance Committee at CMP 7 and 8. Support was provided, in particular, for the consideration by the CMP of the sixth and seventh annual reports of the Compliance Committee, the appeal by Croatia against a final decision of the enforcement branch, and the proposed amendment to the Kyoto Protocol in respect of procedures and mechanisms relating to compliance. CMP 7 terminated its consideration of the appeal by Croatia after taking note of the withdrawal of the appeal. CMP 8 concluded its consideration of the proposed amendment to the Kyoto Protocol. No complaints were raised by Parties with respect to the legal support provided by the secretariat in these instances</p>
<p>Information on the actions taken by the Compliance Committee is made available in a clear and timely fashion</p>	<p>Proportion of Compliance Committee documents made available to the members and alternate members of the Compliance Committee, Parties concerned and the general public in accordance with the rules of procedure of the Compliance Committee</p>	<p>In the reporting period, all 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 or questions of implementation had been raised and the public, as appropriate, in accordance with the timelines set out in the annex to decision 27/CMP.1 and the annex to decision 4/CMP.2, as amended by decision 4/CMP.4. One document for consideration at the 22<sup>nd</sup> meeting of the enforcement branch (document CC/EB/22/2013/2) was posted on the UNFCCC website a few days after it had been made available to members and alternate members of the enforcement branch. This slight delay in posting was due to competing demands on the time of the staff member responsible for website posting</p>

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

Table 24  
**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Conference Affairs Services programme**

**Objective 1: To advance the climate change intergovernmental process as a result of participation in UNFCCC conferences and events**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>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</p>	<p>Proportion of communications responded to  Average response</p>	<p>The programme responded to all communications in a timely manner  The average response time was 53 minutes</p>



<p>Representatives of eligible Parties, including those eligible for funding through the Trust Fund for Participation in the UNFCCC Process, can attend all relevant meetings and actively participate in the process</p>	<p>Proportion of eligible participants funded</p>	<p>A total of 218 participants were eligible for funding for each of the four sessions of the subsidiary bodies, while 359 participants were eligible for funding for the eighteenth session of the Conference of the Parties (COP) and the eighth session of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) during the reporting period</p> <p>A total of 1,115 nominations were received and reviewed</p> <p>Ninety-five per cent of eligible participants were actually funded. The remaining 5 per cent did not take advantage of the offer for funding, mainly because they did not respond to the offer or declined the offer for unknown reasons</p>
<p>Eligible members of civil-society and intergovernmental organizations are admitted and participate within the capacity limit of the venue</p>	<p>Efficiency of admission process (waiting and processing time)</p>	<p>Of the 150 applications reviewed, 84 were assessed to be eligible by the secretariat and admitted by COP 18. Of those forwarded to COP 18, none were rejected. In the first half of 2013, 118 applications were reviewed for the eligibility assessment in time for COP 19 and CMP 9</p> <p>The majority of the applications were initially responded to within 10 working days. The maximum time required for a response is 20 working days</p> <p>The deadline for applications was 1 March 2012. The Bureau of COP 18 and CMP 8 granted provisional admission to the eligible applicants by 17 August 2012, and the COP admitted those eligible applicants as observers at the first meeting of the eighteenth session, held on 26 November 2012</p> <p>In the first half of 2013, the deadline for applications was 1 March 2013. The Bureau of COP 18 and CMP 8 is expected to grant provisional admission to the eligible applicants after the reporting period</p>
<p>Input by observer organizations to the intergovernmental process is facilitated</p>	<p>Proportion of timely applications that are reviewed and processed in time for possible admission to the sessions of the COP</p>	<p>All of the timely applications were reviewed and processed in time for admission to COP 18 in 2012 and 100 per cent of the timely applications were reviewed and processed in time for possible admission to COP 19 in 2013</p> <p>A total of 89 opportunities to make submissions were provided and a total of 303 submissions were cleared and all posted within two weeks of the clearance</p> <p>A total of 195 intervention opportunities were provided for non-governmental organization constituencies and 92 interventions were made in the reporting period</p>
<p>Input by observer organizations to the intergovernmental process is facilitated</p>	<p>Number of opportunities to make submissions to the negotiation process and opportunities to intervene at plenary and in contact groups and in-session workshops of UNFCCC sessions</p>	<p>A total of 89 opportunities to make submissions were provided and a total of 303 submissions were cleared and all posted within two weeks of the clearance</p> <p>A total of 195 intervention opportunities were provided for non-governmental organization constituencies and 92 interventions were made in the reporting period</p>

**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>
Official documents are available on time	Percentage of documents, including versions in the six official languages of the United Nations, that have been submitted to the Conference Affairs Services programme in accordance with United Nations deadlines available to Parties on time	A total of 318 documents were mandated to be made available during the reporting period. All documents were made available and 39 per cent (34 of 87) were made available in accordance with the United Nations deadlines for translated documents

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</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	Number of complaints received with regard to conference facilities	No complaints were received with regard to conference facilities during the reporting period
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, etc., relative to the size, duration and frequency of workshops and meetings	No reports of technical failures for sound, projectors, electricity, etc., were received during the reporting period

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

Table 25  
**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Communications and Knowledge Management Services programme**

**Objective 1: To make available to Parties, observer organizations, the public and other stakeholders authoritative and up-to-date information regarding the UNFCCC process in a user-friendly and cost-efficient manner**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The UNFCCC website is recognized as the central information source for authoritative, up-to-date, comprehensive and user-friendly information on the UNFCCC process	Number of users accessing website content	A total of 155.8 million pages were viewed during the reporting period
	Amount of data downloaded	46.7 million files were downloaded from the UNFCCC website
	Number of webcast visits	218,000 visitors to the UNFCCC website viewed webcasts

<p>The UNFCCC publications meet the needs of Parties and stakeholders</p>	<p>Level of satisfaction of Parties and stakeholders with the publications</p>	<p>The 2013 website survey indicated a high level of satisfaction with publications. In total, 82.2 per cent of the respondents gave publications a positive score</p>
<p>Journalists from developed and developing countries consistently attend intersessional and sessional meetings</p>	<p>Number of journalists from developed and developing countries attending the sessional meetings</p>	<p>A total of 43 journalists attended the sessions of the subsidiary bodies in May 2012; 23 journalists attended the ad hoc working group session in August and September 2012; 22 journalists attended the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action in April and May 2012; 861 journalists attended the eighteenth session of the Conference of the Parties (COP) in December 2012; and 45 journalists attended the June 2013 sessions of the subsidiary bodies. Funding was provided under the Trust Fund for Supplementary Activities for 17 journalists to attend COP 18</p>
<p>External communication efforts regarding the UNFCCC are coordinated across the United Nations system</p>	<p>Evaluation of the outcomes of the annual communications plan of the United Nations Communications Group (UNCG) Task Force on Climate Change</p>	<p>The programme worked with United Nations agencies and affiliated organizations (e.g. the World Bank) to ensure UNFCCC messaging was shared with all UNCG Task Force members and reinforced by them. This happened in the form of six telephone conferences, to which all the representatives of the member organizations in the UNCG Task Force were invited. In addition, the programme shared key talking lines and all UNFCCC press releases with the group via a common e-mail distribution list and liaised on a one-on-one basis with the individual communications officers of the United Nations Department of Public Information, the United Nations Environment Programme the World Meteorological Organization and the Intergovernmental Panel on Climate Change. This ensured that all organizations were on the same page in terms of expected key deliverables, notably for COP 18 and the four other sessions during the reporting period</p>

<p>Global and specialist media and non-governmental organizations are informed about the progress and the decisions of the intergovernmental process and its objectives</p>	<p>Assessment of information and data on online access to information on the website and comments posted to Facebook and retweets of secretariat tweets on Twitter</p>	<p>During the reporting period, the secretariat posted a total of 1,840 tweets on Twitter and 2,160 items on the UNFCCC Facebook page. Many of these messages were spread within the stakeholder community, with individual tweets by the Executive Secretary on the United Nations climate process and related events retweeted up to 70,000 times. Following the programme's social media support of the first long-term finance workshop, the head of Climate Action Network International, an umbrella organization comprising more than 700 non-governmental organizations, personally thanked the Executive Secretary for fully enabling civil-society participation via social media and webcasts</p>
	<p>Number of media that the UNFCCC reaches</p>	<p>The programme reached more than 3,226 journalists via its global media distribution lists. A total of 107,000 individuals and organizations were reached via social media (Twitter and Facebook) and around 19,500 via the UNFCCC electronic newsletter</p>

**Objective 2: To facilitate search and retrieval of UNFCCC documents and to improve knowledge-sharing and collaboration**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Parties, observers, secretariat staff and the general public have ready access to well-organized and comprehensive official documentation on the climate change negotiation process</p>	<p>Number of official documents published on the UNFCCC website within the agreed time frames</p>	<p>A total of 1,434 official documents, including language versions, were posted in a timely manner</p>
<p>Records are managed in accordance with secretariat policy and guidelines</p>	<p>Number of electronic records captured in the secretariat's records management system</p>	<p>During the reporting period, no additional records were captured in the secretariat's records management system. The total number of records captured so far is 3,472</p>
<p>Internal communication, collaboration and knowledge-sharing is improved through the use of the appropriate tools and systems, including an enhanced Intranet</p>	<p>Level of staff satisfaction with the relaunched Intranet</p>	<p>Five internal newsletter publications were published, with over 9,800 page views. The Intranet is now scheduled to be relaunched in 2014. Information on the level of satisfaction of staff will be provided in the 2015 budget performance report</p>

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

Table 26

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Information Technology Services programme**
**Objective 1: To maintain and strengthen the secretariat's information technology (IT) infrastructure**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The IT network infrastructure and support provide an enabling environment for the secretariat to service the Parties' requirements for conferences and mandated activities	Ninety-eight per cent overall planned information and communications technology network availability	<p>For the period from 1 January 2012 to 30 June 2013:</p> <p>Out of 17 monitored systems, 14 reached an availability of over 98 per cent. Three of the systems reached an availability of between 97 per cent and 98 per cent, owing to failures of ageing hardware. For those three systems, technology redesign projects have already been initiated</p> <p>For the period from 1 July 2012 to 30 June 2013:</p> <p>Excluding planned maintenance periods, out of 17 monitored systems, 16 reached an availability of over 98 per cent. A single system reached an availability of between 97 and 98 per cent. The redesign project for that system is still under way in the second half of 2013</p>
Service levels in relation to the help desk and security and disaster recovery meet the requirements	Incident/problem management times meet at a minimum the agreed times in the service-level agreement (SLA)	<p>During the reporting period, 25,648 work orders were created by the in-house service desk (which excludes the externally contracted international transaction log (ITL) service desk). A total of 99.82 per cent were answered within the timelines specified in the SLA and 86.57 per cent were resolved within the timelines specified in the SLA</p> <p>During the reporting period, a total of 219 incoming calls and 17,822 e-mails were received</p> <p>The performance metrics set for the ITL service desk are: 90 per cent of phone calls answered within 10 seconds, no more than 5 per cent of calls abandoned (user hanging up before being answered) within 20 seconds and 85 per cent of e-mails answered within 30 minutes. These three targets were met and exceeded for the 18-month period ending in June 2013: 96.99 per cent of phone calls were answered within 10 seconds, 2.35 per cent of phone calls were abandoned within 20 seconds and 95.45 per cent of e-mails were answered within 30 minutes</p>

<p>Information systems for use by Parties and the secretariat are well developed and supported</p>	<p>All systems are delivered and/or supported in accordance with the requirements defined in the engagement agreements (EAs)</p>	<p>During the current EA season 2013, five out of seven expected EAs have been signed between Information Technology Services (ITS) and the programmes. For the two additional EAs, the client programme's finalization of requirements is pending</p> <p>The EAs represent a list of candidate projects and services which ITS may execute during the year, depending on actual priorities, capacity and funding availability. The current set of EAs identifies 64 prospective projects and 50 potential services. For the 64 candidate projects that have been identified, 35 of them have been initiated at the request of client programmes in 2013, meaning that they have been, are being or will be executed during the year. Of the 35 active ITS projects: six have been completed and closed, 21 are in progress, of which 13 are in execution and eight are in the 'startup' stage (meaning they are in progress and being planned), and eight have not yet started</p> <p>A Project Dashboard, available across the secretariat and containing the actual status of all active projects, was implemented as a new means of communicating information about projects within ITS and the secretariat. Regular meetings are scheduled with coordinators of programmes and ITS to review the Project Dashboard and budgets as part of improved IT governance</p>
<p>The UNFCCC systems supporting the operation of market-based mechanisms under the Kyoto Protocol function properly</p>	<p>The ITL, the clean development mechanism registry and other information systems supporting the market-based mechanisms are available without unplanned interruptions and their downtimes are kept to a minimum</p>	<p>The ITL availability target of 99.9 per cent for its production system was met. The availability target for its non-production system of 98.5 per cent was exceeded</p> <p>For the last 12-month period (from July 2012 to June 2013), the production system annual availability stood at 99.88 per cent, missing the targeted threshold. For the 18-month period ending in June 2013, the average monthly availability reached 99.86 per cent</p> <p>The availability of the non-production systems for the last 12-month period (from July 2012 to June 2013) was 100 per cent, exceeding the target. The 18-month availability of the non-production systems for the period ending in June 2013 was 99.90 per cent</p> <p>Remedial actions will be investigated during the second half of 2013 in order to improve the availability rate of the production system</p> <p>The clean development mechanism and joint implementation information system reached an availability rate of 99.28 per cent, exceeding the target of 98 per cent</p>

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

Table 27

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Administrative Services programme**
**Objective 1: To facilitate the mobilization, allocation and utilization of resources (Article 8, paragraph 2(f), of the Convention, Article 14, paragraph 2, of the Kyoto Protocol, and decision 15/CP.1)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are kept fully informed on the receipt and use of financial resources	Financial statements are made available to Parties in a timely manner	The audited interim financial statements for 2012 were completed on time and will be presented to the Subsidiary Body for Implementation in November 2013
Coherence and transparency of fundraising and use of funds	Proportion of donor reports sent on time	A total of 57 donor reports were due during the reporting period, of which 23 (or 40.3 per cent) were issued on time
Optimal budget implementation rate	Proportion of actual expenditure compared with the approved budget	The 2012–2013 core budget for the secretariat had a budget implementation rate of 70.7 per cent through to June 2012, which is below the ideal implementation rate of 75 per cent
Compliance with United Nations financial rules and regulations and with UNFCCC financial procedures	Implementation rate of audit recommendations relating to financial and administrative matters	The three audit recommendations made for the biennium 2010–2011, related to International Public Sector Accounting Standards and information technology equipment, are under active implementation

**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, paragraph 2(f), of the Convention, and Article 14, paragraph 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 geographical spectrum and gender balance are recruited and retained	Percentage of staff from Parties not included in Annex I to the Convention	As at 30 June 2013 a share of 51 per cent of staff in the Professional and higher levels were from non-Annex I Parties
	Percentage of recruitment completed within the required time frame	The targeted time frame for recruiting UNFCCC staff (from the posting of the vacancy announcement on the UNFCCC website to the notification of the selected candidate) is four months. Of the 54 posts advertised in the first six months of 2013, a total of 19 (35 per cent) recruitment cases were completed during the reporting period in accordance with that time frame
	Percentage of women in Professional and higher-level posts	As at 30 June 2013 42 per cent of staff in the Professional and higher levels were women
	Number of training programmes designed and implemented	A total of 384 classroom training sessions took place during the reporting period  A total of 18 e-learning courses were made available to staff

The Skillsoft courses library, comprising 2,664 course titles, was partially made available to staff in some programmes

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Travel of delegates and staff to official meetings is arranged effectively and efficiently	Proportion of participants attending meetings versus nominations	Eighty-nine per cent of nominated participants attended meetings (3,994 of 4,470)
Procurement of goods and services is carried out in a timely manner in accordance with United Nations rules and regulations and with UNFCCC policies	Percentage of procurement cases processed within established time frames	Over 98 per cent of procurement cases were processed within the established time frames (1,005 of 1,025)
	Average number of responses received per tender	On average, more than four offers, bids and proposals were received in response to each of the secretariat's 108 tenders conducted in the reporting period
	Difference between vendors selected and highest offer received	On average, the offers selected following a tendering process were 33 per cent less expensive than the highest offers received

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