



附属履行机构

第四十七届会议

2017年11月6日至15日，波恩

临时议程项目 21(a)

行政、财务和体制事项

2016-2017 两年期预算执行情况

截至 2017 年 6 月 30 日的 2016-2017 两年期预算执行情况

执行秘书的说明

概要

本报告介绍秘书处管理的各信托基金在 2016-2017 两年期头 18 个月的预算执行情况，旨在向缔约方通报截至 2017 年 6 月 30 日的成果及收支情况。在本报告所述期间，方案要点包括：2016 年 11 月《巴黎协定》生效后，在举行《公约》缔约方会议和作为《京都议定书》缔约方会议的《公约》缔约方会议相关会议的同时，举行了作为《巴黎协定》缔约方会议的《公约》缔约方会议第一届会议第一期会议；为组成机构、技术专家和区域集团的谈判及 129 次会议和/或讨论会提供了战略咨询、技术支持和后勤支持；协调《公约》附件一规定的缔约方国际评估和审评过程；支持所有组成机构的工作。截至 2017 年 6 月 30 日，秘书处收到 4,260 万欧元，占 2016-2017 两年期核心预算指示性缴款预计总额的 80.1%。本两年期和前一两年期核心预算未缴摊款数额高，对《气候公约》工作方案的实施构成风险。参与《气候公约》进程信托基金收到自愿捐款 320 万美元；补充活动信托基金收到自愿捐款 2,160 万美元。核心预算已支出约 72.6%，补充活动信托基金支出 2,210 万美元用于各种项目。本报告载有关于清洁发展机制信托基金、国际交易日志信托基金、德国政府特别年度捐款信托基金和方案支助费用状况的信息。本文件还提供关于人力资源的资料，并详细报告方案执行情况。



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## 一. 导言

### A. 任务

1. 《公约》缔约方会议(COP)和作为《京都议定书》缔约方会议的《公约》缔约方会议(CMP)分别第 22/CP.21 号决定和第 12/CMP.11 号决定中核可了 2016-2017 两年期方案预算。《公约》缔约方会议请执行秘书向其报告收入和预算的执行情况, 并提出可能需要对方案预算做出的任何调整。

### 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 2017 年 6 月 30 日的收入和预算执行情况。本文件应与 FCCC/SBI/2015/3/Add.1 号文件和 FCCC/SBI/2017/INF.14 号文件一并阅读, 前者载有秘书处 2016-2017 两年期工作方案, 后者在印发时将会提供截至 2017 年 10 月 15 日的缴款情况。本文件还提供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, 并就可能需要列入行政和财务事项决定草案的行动作出决定, 作为建议供 COP23 和 CMP13 通过。

## 二. 内容提要

### A. 方案执行要点

4. 2015 年 12 月, COP 在巴黎联合国气候变化问题会议上达成了雄心勃勃的协定。《巴黎协定》2016 年 11 月 4 日生效后, 秘书处安排了作为《巴黎协定》缔约方会议的《公约》缔约方会议(CMA)第一届会议第一期会议, 于 2016 年 11 月与 COP、CMP、履行机构(SBI)、附属科学技术咨询机构(科技咨询机构)(SBSTA)和《巴黎协定》特设工作组(APA)会议一并举行。在报告期内, 秘书处协助缔约方努力加速特设工作组的工作, 以确保尽早商定《巴黎协定》工作方案, 并继续为实施《公约》和《京都议定书》提供支持。

5. 此外, 秘书处为各组成机构、技术专家和区域集团的谈判以及 129 次会议和/或讨论会提供了战略指导、技术支持和后勤支持。在同一期间, 秘书处安排了附属机构的 9 次会议。此外, 秘书处还编写分发了 682 份正式文件和 212 份非正式文件。

6. 秘书处负责协调衡量、报告和核查进程, 例如《公约》附件一所列缔约方(附件一缔约方)国际评估和审评进程(审评进程), 包括对 43 份两年期报告的技术审评和相关多边评估; 《公约》附件一未列的缔约方(非附件一缔约方)的国际协商和分析进程(协商分析进程), 包括对 22 份两年期更新报告的技术分析及为 30 个缔约方安排的方便式意见交流; 对 2015 年和 2016 年附件一缔约方(分别为 37 个和 43 个缔约方)提交的温室气体清单的审评; 便利《京都议定书》第二承诺期分配数量计算的报告(36 个缔约方)。

7. 秘书处还为《坎昆适应框架》的实施、适应委员会的工作、与应对发展中国家气候变化影响相关损失和损害有关的工作、气候变化影响相关损失和损害华沙国际机制执行委员会的工作以及国家适应计划的拟订和实施提供了协助。

8. 秘书处于 2017 年 5 月举办了巴黎能力建设委员会第一次会议，包括在《巴黎协定》框架内落实国家自主贡献能力建设活动的技术交流。

9. 秘书处继续加强与秘书长办公厅和联合国系统其他关键行为体以及许多其他利益攸关方的协作，确保《巴黎协定》和《2030 年可持续发展议程》全面一致结合实施。在报告期内，秘书处与联合国各组织、非政府组织和其他利益攸关方结成了 50 多项伙伴关系，帮助落实《公约》及其成果。

10. 在报告期内，秘书处提出了 2018-2019 两年期拟议预算，供履行机构第四十六届会议审议及缔约方商定。预算是在为取得最大影响力而制定活动优先次序、高效安排工作及部署有限资源的基础上编制的。

## B. 财务状况总结

11. 截至 2017 年 6 月 30 日，已收到的缴款额为 4,260 万欧元，占 2016-2017 两年期核心预算指示性缴款预计总额的 80.1%。本两年期和前一两年期核心预算未缴摊款数额高，对《气候公约》工作方案的实施构成风险。

12. 参与《气候公约》进程信托基金收到自愿捐款 320 万美元；补充活动信托基金收到自愿捐款 2,160 万美元。截至 2017 年 6 月 30 日，承付和未缴摊款 390 万美元。

13. 截至 2017 年 6 月 30 日，支出额为 3,510 万欧元，占 2016-2017 年核心预算拨款 72.6%。补充活动信托基金支出 2,210 万美元用于各种项目，参与《气候公约》进程信托基金支出 374 万美元用于支付符合条件的缔约方代表参加各届会议。

## C. 管理事项

14. 秘书处正在其力所能及的范围内采取一切措施，提高缔约方拖欠指示性摊款的收缴率。秘书处仍然严重关注指示性摊款拖欠构成的财政风险，因为这对秘书处实施《气候公约》工作方案的持续性及能力可能会产生负面影响。

15. 方案支助费用支出超过收入 580 万美元。差额由前两年期的结余支付。秘书处正在审查行政服务方案，设法使费用与现有收入保持平衡。审查工作旨在精简流程，提高效率，而不对方案执行造成负面影响。

## 三. 收入和支出报告<sup>1</sup>

16. 本文件所列收入和支出数额是暂定的，依据的是本文件编写之时会计系统的数据。

<sup>1</sup> 《气候公约》核心预算信托基金、国际交易日志信托基金和德国政府特别年度捐款信托基金的数额以欧元表示。参与《气候公约》进程信托基金、补充活动信托基金、清洁发展机制信托基金和方案支助费用特别账户的数额以美元表示。

17. 由于四舍五入，整个文件中所列数字相加后不一定恰好与相应总数相等。

#### A. 《气候公约》核心预算信托基金

18. COP 和 CMP 通过上文第 1 段提及的决定，核可了 2016-2017 两年期预算总额 5,460 万欧元(见表 1)。

表 1  
2016-2017 两年期核定核心方案预算和收入

	2016 年(欧元)	2017 年(欧元)	合计(欧元)
方案支出	24 200 679	24 197 867	48 398 546
方案支助费用	3 146 088	3 145 723	6 291 811
周转准备金调整	(41 609)	(264)	(41 873)
<b>核定核心方案预算合计</b>	<b>27 305 158</b>	<b>27 343 326</b>	<b>54 648 484</b>
指示性缴款	26 538 220	26 576 388	53 114 608
东道国政府捐款	766 938	766 938	1 533 876
<b>收入合计</b>	<b>27 305 158</b>	<b>27 343 326</b>	<b>54 648 484</b>

19. 表 2 显示《气候公约》核心预算信托基金 2016-2017 年的收入情况和两年期头 18 个月的支出情况。2016-2017 年的收入为 4,410 万欧元。收入包括缔约方 2016-2017 年的指示性缴款 4,110 万欧元、前两年期收到的为本两年期的缴款 150 万欧元、东道国政府的自愿捐款 150 万欧元和杂项收入 41,006 欧元。

20. 截至 2017 年 6 月 30 日，《公约》197 个缔约方和《京都议定书》192 个缔约方中有 132 个尚未支付 2017 年缴款，计为 750 万欧元，占 2017 年核定预算的 27.3%。

表 2  
截至 2017 年 6 月 30 日的核心预算状况

	2016-2017 年(欧元)
收到的 2016-2017 年《公约》指示性缴款 <sup>a b</sup>	30 902 534
收到的 2016-2017 年《京都议定书》指示性缴款 <sup>a b</sup>	11 652 085
东道国政府的自愿捐款	1 533 876
杂项收入 <sup>b</sup>	41 006
<b>收入合计</b>	<b>44 129 501</b>
支出	
支出	35 140 625
方案支助费	3 121 029
<b>支出合计</b>	<b>38 261 654</b>
<b>结余</b>	<b>5 867 847</b>

<sup>a</sup> 包括前两年期收到的 2016-2017 年缴款。

<sup>b</sup> 在适用情况下，所使用的汇率(1 美元 = 0.879 欧元)为 2017 年 6 月 30 日的联合国官方汇率。

21. 表 3 按方案列出 2016-2017 年核定核心预算以及两年期头 18 个月的方案支出情况。截至 2017 年 6 月 30 日，支出额为 3,510 万欧元，占 2016-2017 年核定核心预算的 72.6%。

表 3

2016-2017 年核定核心预算及截至 2017 年 6 月 30 日按方案分列的支出情况

	预算(欧元)	支出(欧元)
<b>A. 方案</b>		
行政领导和管理	4 461 724	3 438 386
减缓、数据和分析	15 223 376	11 010 295
财务、技术和能力建设	5 464 887	3 619 942
适应	4 671 964	3 566 438
可持续发展机制	776 240	583 160
法律事务	2 608 910	1 563 943
会议事务服务	3 324 279	2 486 406
传播和外联	3 069 899	2 477 628
信息和通信技术 <sup>a</sup>	5 565 551	4 009 674
<b>B. 全秘书处业务费用<sup>b</sup></b>	<b>3 231 716</b>	<b>2 384 754</b>
<b>合计<sup>c</sup></b>	<b>48 398 546</b>	<b>35 140 626</b>

<sup>a</sup> 信息和通信技术方案在 2016 年 4 月 1 日结构调整之前称为信息和通信技术服务方案。

<sup>b</sup> 全秘书处业务费用由行政事务方案管理。

<sup>c</sup> 不包括方案支助费用和周转准备金调整数。

22. 表 4 显示 2016-2017 年核定核心预算以及截至 2017 年 6 月 30 日按支出用途分列的支出情况。“工作人员费用”包括薪金和一般人事费、短期工作人员薪金、临时人员费用和加班费。外部专家(包括个人和机构)列在“顾问”项下。“差旅费”包括工作人员、专家和政府代表的公务差旅费。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在“一般业务开支”项下。

表 4

2016-2017 年核定核心预算及截至 2017 年 6 月 30 日按支出用途分列的支出情况

支出用途	支出(欧元)
工作人员费用	27 809 667
顾问	441 144
差旅	1 710 971
培训	272 724
一般业务开支	3 292 557
用品和材料/设备	380 858
共同服务缴款	787 251
赠款和捐款	445 454
<b>合计<sup>a</sup></b>	<b>35 140 626</b>

<sup>a</sup> 不包括方案支助费用和周转准备金调整数。

23. 截至 2017 年 6 月 30 日，支出计为 3,510 万欧元。工作人员费用支出预计今后 6 个月会增加，反映 2016-2017 学年教育津贴结算的情况。

## B. 参与《气候公约》进程信托基金

24. 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 COP、CMP、CMA 及其附属机构的会议。

25. 表 5 显示参与《气候公约》进程信托基金截至 2017 年 6 月 30 日的收入和支出情况。秘书处报告期内收到的自愿捐款为 320 万美元。迄今收到的捐款，加上 2014-2015 年的结转额、利息和杂项收入，共计 650 万美元。

26. 2016-2017 两年期头 18 个月的支出为 370 万美元，用于支付符合条件的缔约方代表参加《气候公约》届会的费用，收入超出支出的余额为 280 万美元，不包括 50 万美元的业务准备金。该余额，加上对信托基金的进一步自愿捐款，将用于资助符合条件的缔约方代表参加定于 2017 年 11 月在波恩举行的联合国气候变化问题会议。截至 2015 年 6 月 30 日，收到的 2014-2015 两年期自愿捐款为 530 万美元；截至 2017 年 6 月 30 日，收到的 2016-2017 两年期自愿捐款为 320 万美元。为资助符合条件的缔约方代表与会，2017 年仍需要额外捐款。符合资助条件的缔约方，若有能力，望能自行克制，不寻求参与《气候公约》进程信托基金的资助。这样，现有资金可分配给最需要资助的缔约方。

表 5

参与《气候公约》进程信托基金截至 2017 年 6 月 30 日的状况  
(美元)

收入	
2014-2015 年结转额	2 293 253
2016-2017 年收到的自愿捐款	3 202 316
利息	56 102
杂项收入和转款 <sup>a</sup>	972 618
<b>收入合计</b>	<b>6 524 289</b>
支出	
支出	3 331 736
方案支助费用	411 960
<b>支出合计</b>	<b>3 743 696</b>
<b>总计</b>	<b>2 780 593</b>
减去：业务准备金	520 886
<b>余额</b>	<b>2 259 707</b>

<sup>a</sup> 包括汇率波动收益和补充活动信托基金应捐款缔约方的请求的转账。

## C. 补充活动信托基金

27. 补充活动信托基金通过缔约方自愿捐款，继续为许多法定核心活动提供资金，使秘书处得以更有效地执行本两年期工作方案。

28. 表 6 显示补充活动信托基金截至 2017 年 6 月 30 日的收入和支出情况。
29. 在报告期内收到的自愿捐款为 2,160 万美元。补充活动信托基金的其他收入来源包括 2014-2015 两年期的结转额、利息收入和杂项收入，截至 2017 年 6 月 30 日，共计 4,350 万美元。
30. 截至 2017 年 6 月 30 日，补充活动信托基金的支出为 2,210 万美元。基金余额 2,040 万美元，加上今后收到的自愿捐款，将用于履行财政义务及支付正在开展的项目和活动的今后费用，详情如表 6 所示。这些项目是根据《公约》、《京都议定书》和《巴黎协定》在各不同工作领域实施的，如适应气候变化、气候融资、报告、支持谈判和技术。补充活动信托基金收到的现金 60 万美元在接到捐款缔约方关于分配的进一步指示前暂存。

表 6  
补充活动信托基金截至 2017 年 6 月 30 日的状况  
(美元)

收入	
2014-2015 年结转额	26 624 104
2016-2017 年收到的自愿捐款	21 600 375
联合执行收费	-
利息	281 408
杂项收入和转账 <sup>a</sup>	(5 009 336)
<b>收入合计</b>	<b>43 496 551</b>
支出	
支出	19 756 103
方案支助费用	2 393 613
<b>支出合计</b>	<b>22 149 716</b>
<b>总计</b>	<b>21 346 835</b>
减去：业务准备金	921 907
<b>结余</b>	<b>20 424 928</b>

<sup>a</sup> 包括汇率波动收益和向《气候公约》其他信托基金的转款。很大一部分款额是应缔约方请求从补充活动信托基金向其他信托基金的转款：420 万美元转到《气候公约》核心预算信托基金，972,000 美元转到参与《气候公约》进程信托基金。

#### D. 清洁发展机制信托基金

31. 表 7 重点说明清洁发展机制信托基金截至 2017 年 6 月 30 日的收入和支出情况。2016-2017 两年期的收入为 1.651 亿美元，主要包括前一个两年期结转的资金 1.485 亿美元和本两年期头 18 个月清洁发展机制收费 1,490 万美元。
32. 截至 2017 年 6 月 30 日的支出为 2,680 万美元，未用余额为 1.383 亿美元，减去 4,500 万美元业务准备金后，未用余额为 9,330 万美元。



表 7  
清洁发展机制信托基金截至 2017 年 6 月 30 日的状况  
(美元)

收入	
2014-2015 年结转额	148 526 586
清洁发展机制收费	14 937 024
利息	1 651 338
收费退款	(10 960)
<b>收入合计</b>	<b>165 103 988</b>
支出	
支出	23 685 994
方案支助费用	3 075 636
<b>支出合计</b>	<b>26 761 630</b>
<b>总计</b>	<b>138 342 358</b>
减去：业务准备金	45 000 000
<b>结余</b>	<b>93 342 358</b>

#### E. 国际交易日志信托基金

33. 表 8 显示国际交易日志信托基金截至 2017 年 6 月 30 日的收入状况。2016–2017 年的收入为 510 万欧元，包括 2016–2017 年收费和杂项收入。业务准备金计为 222,316 欧元。

表 8  
国际交易日志信托基金截至 2017 年 6 月 30 日的收入状况  
(欧元)

收入	
2016-2017 年国际交易日志收费	4 989 685
杂项收入 <sup>a</sup>	75 991
<b>收入合计</b>	<b>5 065 676</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元 = 0.879 欧元)为 2017 年 6 月 30 日的联合国官方汇率。

34. 表 9 按支出用途显示国际交易日志信托基金 2016-2017 年核定预算及截至 2017 年 6 月 30 日的支出情况。关于国际交易日志预算执行情况的详细信息，见《京都议定书》之下国际交易日志管理人的年度报告。<sup>2</sup>

<sup>2</sup> FCCC/SBI/2017/INF.11。

表 9

按支出用途分列的国际交易日志信托基金 2017 年核定预算及截至 2017 年 6 月 30 日的支出状况

支出用途	预算(欧元)	支出(欧元)
工作人员费用	1 567 420	1 106 580
承包人和顾问	2 822 296	1 517 120
专家组	20 000	3 663
工作人员差旅	40 000	19 384
一般业务开支和 共同服务缴款	291 000	182 079
<b>合计<sup>a</sup></b>	<b>4 740 716</b>	<b>2 828 826</b>

<sup>a</sup> 不包括方案支助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)

35. 作为将秘书处设在波恩的条件之一，德国政府每年向秘书处支付 180 万欧元特别捐款。截至 2017 年 6 月 30 日已全额收到 2016-2017 年的捐款，2016 年收到 50,000 欧元的额外自愿捐款。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期内在波恩举行会议的后勤安排费用。

36. 表 10 显示波恩基金 2016-2017 年截至 2017 年 6 月 30 日的收入和支出情况。

表 10

波恩基金截至 2017 年 6 月 30 日的状况  
(欧元)

	2016-2017 年(欧元)
收入	
捐款	3 629 044
杂项收入 <sup>a</sup>	86 802
<b>收入合计</b>	<b>3 715 846</b>
支出	
会议支助	2 437 413
方案支助费用	201 251
<b>支出合计</b>	<b>2 638 664</b>
<b>总计</b>	<b>1 077 182</b>
减去：业务准备金	268 428
<b>结余</b>	<b>808 754</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元 = 0.879 欧元)是 2017 年 6 月 30 日的联合国官方汇率。

## G. 方案支助费用

37. 按照联合国的财务程序，对《气候公约》所有信托基金实际支出，均收取13%的管理费。所得收入用以支付秘书处及其各方案管理所需行政服务费用。这些服务大多由秘书处内部的“行政服务”方案提供。某些特定服务，如审计、薪资、投资、出纳、内部司法服务等，由纽约联合国总部提供，但费用需予偿还。

38. 表 11 显示方案支助费用的状况。截至 2017 年 6 月 30 日方案支助费用收入为 910 万美元，其他收入 164,273 美元。

39. 在报告期内，1,504 万美元用于支付秘书处工作人员和非工作人员费用以及联合国日内瓦办事处和纽约联合国总部所提供服务的费用。方案支助费用的差额为 580 万美元，由前两年期的结余补上。

40. 秘书处正在审查行政服务方案，设法使费用与现有收入保持平衡。审查工作旨在精简流程，提高效率，而不对方案执行造成负面影响。

表 11

方案支助费用特别账户截至 2017 年 6 月 30 日的状况  
(美元)

	2016-2017 年
<b>收入</b>	
各信托基金支付的方案支助费用收入	9 095 591
杂项收入	164 273
<b>收入合计</b>	<b>9 259 864</b>
<b>支出</b>	
工作人员费用	10 805 735
非工作人员费用	3 395 102
联合国提供的服务费用	842 949
<b>支出合计</b>	<b>15 043 786</b>
<b>结余</b>	<b>(5 783 922)</b>

## 四. 方案执行

41. 方案执行依据的是秘书处 2016-2017 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，本章应与概述工作方案的 FCCC/SBI/2015/3/Add.1 号文件一并阅读。

42. 以下章节概述各方案的责任，说明两年期工作方案的预期成果有无得到兑现，并概述对秘书处工作成果做出贡献的活动。

### A. 行政领导和管理

43. 行政领导和管理方案提供战略指导，确保秘书处的工作全盘协调一致，并保持与包括联合国系统各组织在内的其他组织和气候变化进程中的关键利益攸关方的战略合作和伙伴关系。

44. 在报告期内，行政领导和管理方案注重在《巴黎协定》于 2016 年 11 月 4 日正式生效后帮助缔约方迅速启动《巴黎协定》。作为这项努力的一部分，该方案协调对下列工作的文秘支持：

(a) 2016 年 11 月 7 日至 18 日在举行 COP 22、CMP 12、SBI 45、SBSTA 45 和 APA 1.2 的同时，举行 CMA 1.1；

(b) 2017 年 5 月 8 日至 18 日在波恩举行 SBI 46、SBSTA 46 和 APA 1.3；

(c) 为定于 2017 年 11 月 6 日至 17 日在波恩举行的 COP 23、CMP 13、CMA 1.2、SBI 47、SBSTA 47 和 APA 1.4 开展筹备工作。

45. 2017 年 11 月联合国气候变化问题会议在秘书处所在地举行，东道国将不提供标准业务支持。有鉴于此，行政领导和管理方案已做好特别准备，确保以最佳方式与德国政府、波恩市当局和即将就任缔约方会议主席的斐济协调筹备工作。

46. 关于根据第 1/CP.21 号决定相关要求而制定的工作方案的进展，行政领导和管理方案继续协调为各缔约方提供实务文秘支持，并按履行机构的要求通过进展跟踪机制<sup>3</sup> 定期更新相关情况。<sup>4</sup>

47. 在报告期内，行政领导和管理方案继续加强与秘书长办公厅和联合国系统关键行为体的协作，以确保全面一致结合实施《巴黎协定》和《2030 年可持续发展议程》。作为这项努力的一部分，执行秘书负责与联合国环境规划署(环境署)、联合国开发计划署(开发署)和联合国系统其他伙伴在联合国系统行政首长协调理事会通过的联合国系统气候变化行动战略方针的框架内，并通过联合国系统其他协调机制，协调秘书处相关工作。<sup>5</sup>

48. 在组织发展方面，行政领导和管理方案重点努力进一步精简秘书处业务，为此继续落实 2015 年精简信息通信技术业务的成果，并在 2016-2017 年启动对靠方案支助费用供资的活动的成效和效率的审查。审查结果预计在 2018-2019 两年期加以落实。

## B. 减缓、数据和分析

49. 减缓、数据和分析方案协助推进《公约》的衡量、报告和核查进程(国家信息通报、两年期报告或两年期更新报告和温室气体清单)，包括培训专家，为非附件一缔约方提供协助并为政府间谈判提供协助。在报告期内，该方案：

(a) 协调对附件一缔约方的国际评审进程，包括对 43 份两年期报告的技术审评及其多边评估；协调非附件一缔约方的国际协商和分析进程，包括对 22 份两年期更新报告的技术分析及为 30 个缔约方安排的方便式意见交流(在履行机构第四十四届会议上启动第一次方便式意见交流之后)；

<sup>3</sup> [http://unfccc.int/files/paris\\_agreement/application/pdf/pa\\_progress\\_tracker\\_200617.pdf](http://unfccc.int/files/paris_agreement/application/pdf/pa_progress_tracker_200617.pdf)。

<sup>4</sup> FCCC/SBI/2017/7, 第 113 段。

<sup>5</sup> <https://www.unsceb.org/CEBPublicFiles/UN%20system%20strategic%20approach%20to%20climate%20change%20action-FINAL-18%20April%202017.pdf>。

(b) 协调发展中国家关于拟议“减排+”(REDD+)<sup>6</sup>森林参考排放量和/或森林参考水平的20份报告的技术评估以及三份两年期更新报告中的REDD+结果的技术分析;

(c) 协调对下列报告的审评:附件一缔约方2015年(37个缔约方)和2016年(43个缔约方)提交的温室气体清单、关于《京都议定书》第一承诺期履行承诺延长到期的报告(37个缔约方)和便利《京都议定书》第二承诺期分配量计算的报告(36个缔约方);同时开始筹备对2017年提交的温室气体清单的审评(22个缔约方);

(d) 为参与国际评估和审评、国际磋商和分析以及《京都议定书》第二承诺期工作的专家继续开展并加强与衡量、报告、核查有关的培训;

(e) 开展两轮2020年前关于减缓问题的技术审查过程,为此编写技术文件,为决策者编写一份摘要,并推出2020年前缔约方政策和行动汇编的网关;

(f) 举办关于国家适当减缓行动的能力建设讲习班,并加强国家适当减缓行动登记册的功能;

(g) 协助科技咨询机构在农业和土地使用、土地使用变化和森林方面的工作,并协助发展中国家缔约方落实“REDD+”华沙框架;

(h) 协助未列入《公约》附件一的缔约方国家信息通报问题专家咨询小组的工作,包括为参与编写国家信息通报的专家提供一个平台(CGGE eNetwork);

(i) 就国家信息通报、两年期更新报告和政府间气候变化专门委员会(气候专委会)《2006年国家温室气体清单编制指南》,为非附件一缔约方举办能力建设讲习班,并编制培训材料;

(j) 举行特设技术专家组会议,协助应对措施实施影响力问题改进论坛的工作,途径包括:编写技术文件,举办讲习班,探讨经济多样化、劳动力公正过渡、在可持续发展框架内创造高质量体面就业机会等问题。

50. 在《巴黎协定》框架内,减缓、数据和分析方案:

(a) 协助履行机构、科技咨询机构和《巴黎协定》特设工作组的谈判,尤其是关于国家自主贡献、透明度、全球盘点、国家自主贡献登记册和应对措施影响力问题论坛的谈判;

(b) 更新预期国家自主贡献总体效果的综合报告<sup>7</sup>和其他文件,如发达国家缔约方情况汇编和综合报告;<sup>8</sup>

(c) 提供并维护国家自主贡献登记册临时版,同时根据收到的反馈,强化其功能和设计;

<sup>6</sup> 《公约》缔约方会议在第1/CP.16号第70段决定中鼓励发展中国家缔约方开展下列活动,为林业的缓解行动作出贡献:减少毁林所致排放量,减少森林退化所致排放量,养护森林碳储存,以可持续方式管理森林,增加森林碳储存。

<sup>7</sup> FCCC/CP/2016/2。

<sup>8</sup> 例子可查阅 [http://unfccc.int/national\\_reports/national\\_communications\\_and\\_biennial\\_reports/submissions/items/2736.php](http://unfccc.int/national_reports/national_communications_and_biennial_reports/submissions/items/2736.php)。

(d) 协助各国满足与国家自主贡献有关的要求，包括更新国家自主贡献/预期国家自主贡献情况及实施长期低排发展战略；

(e) 与开发署和其他组织合作，开展五次关于国家自主贡献的区域对话，与联合国和双边机构合作，建立国家自主贡献伙伴关系，与联合国粮食及农业组织、国际民用航空组织、国际海事组织、环境署和联合国其他组织合作，推进《公约》在相关领域的实施；

(f) 协助联合国秘书长气候变化问题支持小组编写南南合作报告，并协助发展中国家加强相互合作。

## C. 财务、技术和能力建设

51. 财务、技术和能力建设方案协助缔约方特别是非附件一缔约方执行《公约》、《京都议定书》和《巴黎协定》，包括在国际谈判中这样做。该方案也协调秘书处对科技咨询机构的支持。

52. 在报告期内，该方案：

(a) 举行了融资问题常设委员会四次会议，协助执行其工作计划，包括举办融资问题常设委员会关于应对损失和损坏相关风险的融资工具的论坛，编制2016年两年期气候融资流动评估和概览，就向全球环境基金和绿色气候基金提供指导事宜起草提交《公约》缔约方会议的建议，举办两次注重适应性融资的长期融资问题会期讨论会；

(b) 协助技术执行委员会的工作，举办了三次会议，便利其工作计划的实施，包括下列工作：

(一) 举办两次专题对话、一次关于技术机制与财务机制的关联的会期讨论会和一次关于创新与气候变化的特别活动，同时便利观察组织参与工作；

(二) 编写技术行动计划编写指南，<sup>9</sup> 拟订技术计划实施情况监测方法；

(c) 与作为气候技术中心和网络的环境署协作，包括参与气候技术中心和网络咨询委员会会议和国家指定实体区域论坛；

(d) 委托独立专家对有效落实气候技术中心和网络的情况进行审评；

(e) 更新并维护技术信息交换所 TT: CLEAR；

(f) 2017年5月在波恩举行了巴黎能力建设委员会第一次会议，包括一次为期一天的技术交流会，讨论在《巴黎协定》框架内国家自主贡献能力建设活动。财务、技术和能力建设方案还组织了德班论坛关于能力建设的第五和第六次会议，分别重点讨论加强执行《巴黎协定》的能力问题和在国家适应计划及国家自主贡献的框架内的适应气候变化问题；

<sup>9</sup> 见 [http://unfccc.int/ttclear/misc/\\_StaticFiles/gnwoerk\\_static/TEC\\_column\\_M/33933c6ccb7744bc8fd643feb0f8032a/82af010d04f14a84b9d24c5379514053.pdf](http://unfccc.int/ttclear/misc/_StaticFiles/gnwoerk_static/TEC_column_M/33933c6ccb7744bc8fd643feb0f8032a/82af010d04f14a84b9d24c5379514053.pdf)。

(g) 支持履行第 1/CP.21 号决定和《巴黎协定》规定的任务，如审议适应基金的情况、透明度框架和《巴黎协定》特设工作组的全球盘点，统计公共财政资源，通过科技咨询机构拟订技术框架(《巴黎协定》第 10 条)，通过履行机构拟订支持执行《巴黎协定》的技术机制定期评估范围和模式。

## D. 适应

53. 适应方案支持缔约方特别是发展中国家缔约方评估、制定和执行适应计划、政策和行动，改善国际气候政策和行动的科学基础。在报告期内，该方案推动：

- (a) 通过支持以下工作落实《坎昆适应框架》：
  - (一) 适应委员会的工作；<sup>10</sup>
  - (二) 特别容易受气候变化不利影响的发展中国家应对与气候变化影响的损失和损害相关的工作，包括华沙国际机制执行委员会的工作；<sup>11</sup>
  - (三) 国家适应计划的制定和实施过程；<sup>12</sup>
- (b) 最不发达国家专家组的工作；<sup>13</sup>
- (c) 实施关于气候变化影响、脆弱性和适应的内罗毕工作方案的活动；<sup>14</sup>
- (d) 筹备下一次对全球长期目标是否适当及在实现这一目标方面的总体进展情况的定期审查；<sup>15</sup>

54. 此外，适应方案支持落实由第 1/CP.21 号决定和《巴黎协定》产生的适应要求，包括：

- (a) 支持《巴黎协定》工作组关于拟订适应通报以及透明度框架和全球盘点的适应方面的模式和程序的工作；
- (b) 在预期国家自主贡献/国家自主贡献范围内，对与适应相关的任务作出响应，包括就预期国家自主贡献总和效果的综合报告编写适应内容章节；
- (c) 支持适应问题技术检查进程。<sup>16</sup>

55. 最后，适应方案支持贯穿各领域的工作，活动包括：

- (a) 便利和支持全球盘点筹备工作；

<sup>10</sup> 见 <http://unfccc.int/6053>。

<sup>11</sup> 见 <http://unfccc.int/6056>。

<sup>12</sup> 见 <http://unfccc.int/6057>。

<sup>13</sup> 见 <http://unfccc.int/4727>。

<sup>14</sup> 见 <http://unfccc.int/9201>。

<sup>15</sup> 见 <http://unfccc.int/6998>。

<sup>16</sup> 见 <http://unfccc.int/9542> 和 <http://tep-a.org>。

(b) 启动地方社区和土著人民平台；

(c) 发挥作为气候指标掌管机构的作用，协调秘书处对实现可持续发展目标进程的投入；

(d) 推动气候研究信息流通，促进加强系统性观察，促进与气专委的合作。

## E. 可持续发展机制

56. 在报告期内，可持续发展机制方案成功组织了清洁发展机制执行理事会 7 次会议以及其小组委员会和工作组的 12 次会议，并为会议工作提供了支持。该方案组织了联合执行监督委员会(监委会)的 3 次会议。这两个监管机构提交 CMP 12 的年度报告<sup>17</sup> 重点介绍 2016 年各次会议涉及问题的范围。可持续发展机制方案依照核定管理计划，为清洁发展机制执行理事会和监委会提供了所有服务，所有活动和项目均在清洁发展机制执行理事会和监委会核准的预算估计数范围内实施。

57. 可持续发展机制方案为清洁发展机制执行理事会在下列方面的工作提供了支持：

(a) 处理 779 项公布请求，在此基础上，登记 85 个活动项目和方案，公布 203,576,088 个核证减排单位。清洁发展机制执行理事会请秘书处优先处理登记和公布的请求，以缩短开始程序的等待时间。可持续发展机制方案已采取适当的内部措施，到 2016 年 10 月中期，等待时间已缩短为两周；

(b) 合并方法小组委员会与小规模工作组，任命各小组委员会新成员；

(c) 核可改善电网电力输送分配方法，扩大生物柴油方法使用范围，使其涵盖生物燃料，并将太阳能光伏能源用于飞机在机场登机口的作业；

(d) 核可简化监管文件，采纳经订正的清洁发展机制项目标准、清洁发展机制核证和和核实标准、清洁发展机制项目周期程序以及项目和活动单独标准；

(e) 筹备自愿注销平台社交媒体活动。报告期内共完成注销 912 项，注销了 115,962 个核证减排单位。完成的注销的约 70%源自私人用户，其余源自公司和组织。

58. 鉴于暂存账户累积核证减排量和待付收益分成不断增加的趋势，清洁发展机制执行理事会商定在开始完整性审查之前收取收益分成。理事会还商定允许为核证排放量的相应部分支付一部分收益分成。

59. 该方案协助清洁发展机制执行理事会通过非洲、亚洲、拉丁美洲和加勒比的五个区域协作中心努力尽量利用清洁发展机制的好处。这些协作中心与指定的国家当局密切合作。这包括通过能力建设及提供技术专门知识，帮助各个项目遵守清洁发展机制监管程序，并协助各国订立标准化基线。

<sup>17</sup> FCCC/KP/CMP/2016/4 和 FCCC/KP/CMP/2016/5。



60. 该方案继续协助根据《巴黎协定》第 6 条展开的国际谈判，修订清洁发展机制工作模式和程序以及联合执行指南，在衡量、减少、抵消平衡原则的基础上，推行“气候中性现在做起”倡议，自愿减少排放。

61. 可持续发展机制方案带头为气候行动高级别倡导者提供支持，同时与缔约方和非缔约利益攸关方互动，启动并落实马拉喀什全球气候行动伙伴关系，以促进和支持 2017-2020 年气候行动，使各缔约方在 COP 21 上商定的现有安排产生效力。

## F. 法律事务

62. 在报告期内，法律事务方案就涉及执行《公约》、《京都议定书》和《巴黎协定》的事项、秘书处的管理和业务以及《气候公约》进程及时提供权威的法律咨询和支持，并为执行秘书、COP、CMP 和 CMA 主席、附属机构和组成机构主席或联合主席、缔约方和秘书处方案提供了法律咨询和支持。

63. 法律事务方案向缔约方和公众提供关于《巴黎协定》批准和生效状况的最新信息。该方案还向缔约方提供关于《巴黎协定》生效的法律要求和程序要求和关于召开 CMA 第一届会议问题的法律咨询和信息。除了该方案提供的咨询和支持外，考虑到《巴黎协定》在 2016 年迅速生效，缔约方在 CMA 1.1 上通过了按照《巴黎协定》完成工作方案的程序安排。

64. 法律事务方案向《公约》缔约方会议主席、附属机构和组成机构主席和联合主席及缔约方提供关于理事机构、附属机构和组成机构工作的程序和实务方面的法律咨询和支持。该方案还直接协助各机构议程项目的审议，包括为与《巴黎协定》工作方案有关的谈判提供法律咨询，为《巴黎协定》特设工作组议程项目 8 的审议提供主要的支持。

65. 法律事务方案为适应委员会、清洁发展机制执行理事会、专家咨询小组、监委会、最不发达国家专家小组、华沙国际机制执行委员会、融资问题常设委员会和技术执行委员会提供法律咨询和支持。该方案还为巴黎能力建设委员会的设立和第一次会议提供支持，并就《气候公约》选举进程向缔约方以及区域集团和各类组提供咨询、支持和信息。此外，该方案为《公约》及其《京都议定书》的报告和审查要求的落实提供了法律支持和咨询，包括为多边评估进程和方便式意见交流提供法律支持和咨询。该方案还就《京都议定书》遵守情况评估和结束第一承诺期的筹备工作、清洁发展机制贷款计划的评价以及最近 CMP 关于该计划的决定(第 3/CMP.12 号决定)的执行提供咨询。

66. 法律事务方案向《京都议定书》履约委员会提供技术支持、行政支持和后勤支持，包括在报告期内向执行事务组、促进事务组和委员会全体会议上针对执行问题的审议提供这些支持。

67. 法律事务方案为秘书处的行政和业务以及气候变化机制提供法律咨询和支持，确保联合国的条例和规则以及 COP 和 CMP 的相关决定得到遵守，并维护秘书处和气候变化机制的利益。该方案尤其为法律文件的谈判和缔结提供支持，为秘书处总部以外举行的《气候公约》会议和研讨会提供支持，尤其是马拉喀什气候大会(2016 年 11 月)和在秘书处所在地召开的会议(2016 年 5 月、2017 年 5 月和 11 月)的法律协定。该方案还就秘书处关于与非缔约的利益攸关方建立伙伴关

系的指导方针以及建立这种关系的安排事宜提供法律咨询和支持。该方案继续担任联合地方合同委员会和联合地方财产调查委员会成员。此外，该方案与联合国在波恩的其他组织密切协调，与东道国政府就各总部协定的执行举行协商。

## G. 会议事务服务

68. 会议事务服务方案提供符合缔约方期望的全套会议相关设施和服务。

69. 2016-2017 两年期头 18 个月，会议事务服务方案协助在波恩和其他地方举办各组成机构、技术专家和区域集团的 129 次会议和/或讨论会。在报告期内，该方案在波恩和马拉喀什举办了 9 次附属机构(履行机构、科技咨询机构和《巴黎协定》特设工作组)会议，在马拉喀什举办了 COP 22、CMP 12 和 CMA 1.1，在 12 次届会期间为 4,969 次会期会议提供了协助。该方案还与各附属机构主席一道促进安排并组织了谈判小组 112 次会前会议，为欧洲联盟主席举办了三次简报会，为 77 国集团和中国举办了三次简报会。

70. 会议事务服务方案收到并及时处理了代表参加上述届会、会议和研讨会办理签证的 178 项请求，收到并处理了 810 项符合条件的缔约方代表寻求资助的请求。

71. 会议事务服务方案为关于观察员参与讨论履行机构事关政府间会议安排的议程项目的谈判提供实质性支持，包括编写关于提高非缔约利益攸关方参与度问题的摘要报告，并在 2017 年 5 月为 350 名与会者举行关于此专题的会期讨论会。该方案还在非缔约利益攸关方参与问题上为现任和即将就任的主席提供实质性支持和后勤支持。该方案评估了 584 项观察员地位申请，为 199 次发言和 337 次非缔约利益攸关方提交材料提供便利。该方案收到并处理了 1,079 项会外活动申请，779 个缔约方以及观察员和秘书处举办了 380 场会外活动。该方案收到并处理了 347 项举办展览申请，305 个缔约方和观察员单独或联合举办了 227 场展览。该方案还与利益攸关方就参与《气候公约》进程的方式联络，收发电子邮件约 170,000 封。为了增强包容性、透明度和业务效率，该方案实施了若干创新项目：会外活动现场直播(附属机构第四十四届会议上试行，随后扩展到各届会及 COP 22 的会外活动)；视频广播(附属机构第四十六届会议上成功试行)；展览中使用触摸—收集技术(两届会议上使用)；在线协作平台(用于拟订会期讨论会方案，并便利与非政府组织交流)；接纳观察员组织的合同管理新方法；视频和数据可视化工具。此外，观察员网页已经过调整，增强了让所有利益攸关方获取信息的功能。

72. 在报告期内，会议事务服务方案编辑和处理了共计 682 份正式文件和 212 份非正式文件。2016 年，82% 需要翻译的会前文件在截止日期之前提交供发表。2017 年，截至 6 月 30 日，这个数字是 100%。2016 年，该方案与信息通信技术合作，增强了电子正式文件系统的功能。该方案与传播和外联方案以及行政事务方案协作，考虑进一步增强和改善《气候公约》网站公布文件的功能。

73. 会议事务服务方案采取了减少用纸措施，例如只提供电子版每日会议活动安排，并采取按需限量印刷办法等节纸措施，使以前各届会议用纸量减少的趋势得以继续，与 5 月的届会相比，科技咨询机构/履行机构第四十六届会议和《巴黎协定》工作组第一届会议第三期会议正式文件用纸总量减少了 61%。

74. 在报告期内，COP 23、CMP 13 和 CMA 1.2 的筹备工作在积极进行之中。

## H. 传播和外联

75. 传播和外联方案负责管理对外传播、在线公共信息、媒体关系和服务，包括内部知识管理服务。该方案履行这些职能，以支持《公约》、《京都议定书》和《巴黎协定》的进程，支持缔约方会议的决定的执行，通过促进应对气候变化的积极行动与政策，产生尽可能大的影响。

76. 传播和外联方案以联合国六种正式语文中的三种语文(英文、法文和西班牙语)维持《气候公约》新闻网页，展示《公约》、《京都议定书》和《巴黎协定》的成就以及各国政府、企业界和民间社会的气候行动全球浪潮。《气候公约》网站与一套社交媒体渠道相互支持，动态更新，结构设计符合不断发展变化的受众的需要，反映全球气候机制的进步。

77. 在报告期内，共有 3,442,440 用户浏览网页 12,528,364 次。秘书处 YouTube 频道浏览次数为 519,138 次，订阅者有 4,150 个，Flickr 账户现有 2,907 张会议和执行秘书外联活动照片，浏览量超过 230 万次。

78. 互动，尤其是通过社交媒体渠道(见以下表 24 关于脸书、推特和 Instagram 的数据)的互动，已大大增加。除了互动式网络直播会议外，在报告期内推出并使用了新的互动工具，特别是脸书直播工具。

79. 传播和外联方案继续执行“驱动变革”倡议，以此为手段表彰积极的气候解决方案。2016 年，秘书处收到 475 项申请，其中 255 项符合条件。2017 年收到 462 项申请，223 项符合条件。

80. 传播和外联方案为以下机构举行的会议提供了网播服务：监委会(3)、清洁发展机制执行理事会(7)、适应委员会(1)、履约委员会(4)、技术执行委员会(3)、融资问题常设委员会(4)、气候技术中心和网络(1)、《公约》缔约方会议(1)和附属机构(2)，从而提高了政府间进程的透明度。在报告期内，有 477,000 多名访问者观看了《气候公约》网站直播和点播。

81. 传播和外联方案为秘书处提供内部传播服务，包括内部网服务。在报告期内，30 个新的协作空间已启用，内部网发布了 450 多篇内部新闻文章。与前两年期相比，知识分享大增。上两年期没有每日分享内部新闻的机制，协作功能也没有纳入内部网。

82. 传播和外联方案为秘书处提供档案咨询服务，有利于从办公室转出非常用记录，并管理非常用记录中心，其中包括《气候公约》谈判进程的音像档案。在报告期内，452 次记录检索请求得到满足，索取记录的有内部员工，也有外部客户。企业级分类法已采纳《巴黎协定》的内容，相应更新了五个主要系统，包括内部网、新协作平台环境和正式文件门户网站，使外部用户和工作人员能够更好地获取信息。

## I. 信息和通信技术

83. 信息和通信技术方案负责提供信息通信技术基础设施和支持服务以及专门化的信息系统，以支持秘书处履行其任务。该方案通过实施和运行可依赖、有保障的信息通信技术基础设施和专门化的应用程序，确保缔约方规定的工作得以完成。该方案还运行底层基础设施，确保《气候公约》网站和各外联网持续运作，

确保缔约方可方便获得正式文件、信息、数据，可方便利用提交门户，可方便调阅会议纪要和活动详情。

84. 信息和通信技术方案除了有关业务和系统方面的常规工作外，在其 2014 开始的信息通信技术改造计划方面取得了重大进展，并于 2016 年 6 月底完成了信息通信技术的组织结构调整。以往的信息和技术服务方案从 2016 年 4 月 1 日起更名为信息和通信技术方案，组织结构根据胜任其职的需要重新调整，信息通信治理框架得到强化，以满足今后的需求。此外，由框架计划协议规定的方案一级工作已得到进一步改善，以增加执行和财务报告的透明度。

85. 信息和通信技术方案推行变革，向秘书处和缔约方提供创新解决方案，推出以下六个主要项目，其目的是为今后系统服务和成本优化打造基础设施和技术平台：

(a) 数据中心整合项目，在可能的情况下尽量利用云技术；

(b) 流动式创新项目，使秘书处和缔约方在任何时候、任何地点都可以进行协作(文件协作、虚拟会议等)；

(c) 虚拟参与举措，在秘书处内部强化虚拟会议技术，更有效利用这一技术，并通过利用虚拟参与方式进一步提高各组成机构会议和其他会议的效率；

(d) 新的信息通信技术安全框架，以加强秘书处的信息通信技术安全；

(e) 新的客户关系管理平台，更有效地管理利益相关方事务以及利益攸关方之间的互动；

(f) 新的数据仓库，以便使目前的解决方案现代化，收录对《2006 年气专委国家温室气体清单编制指南》的修订并开发新的温室气体数据界面。

86. 在报告期内，信息和通信技术方案为各附属机构 5 月届会(2016 年和 2017 年)、马拉喀什气候大会、82 次讨论会和小型会议提供了支持，为与会者提供了高度可靠、有保障的信息技术设施服务，包括但不限于接入关键系统，如登记、活动管理、文件管理和协作、无线上网等，未出现服务中断的情况，与会者没有提出抱怨。

87. 信息和通信技术方案维护可以依赖、有保障的信息技术网络基础设施和服务，使秘书处能够满足政府间进程的要求。该方案还为按规定设立的系统提供服务，如国家自主贡献登记册、《气候公约》温室气体清单数据库、汇编和核算数据库、通用报告格式报告软件、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。该方案也提供全秘书处的系统，例如：《气候公约》网站内容管理系统、档案管理系统、各种门户，包括“气候中性现在做起”倡议、国家适应计划中心、内罗毕工作方案伙伴和承诺数据库、融资门户、技术门户等等。此外，国际交易日志的技术监督和合同管理工作也得以有效开展。到 2017 年 6 月底的 18 个月里，服务一级协议指标已达到并超过。

88. 在报告期内，信息和通信技术方案为秘书处 100 多个不同的应用程序提供了服务和支持。该方案人员实施了各相关项目，采取了增强功能措施，改善秘书处及利益攸关方的能力，包括但不限于温室气体数据库、全秘书处范围的客户关系管理平台、通用报告格式报告软件、虚拟团队工作室、各种正式文件提交门户和数据处理工具。

## J. 行政服务

89. 行政服务方案为支持秘书处高效运作提供各种服务，包括人力资源和财政资源管理、采购、差旅和总务。

90. 在报告期内，行政服务方案为共计 2,948 名指定与会者参加 COP、CMP、CMA、附属机构、科技咨询机构和《巴黎协定》特设工作组的届会以及《气候公约》的 205 项其他官方活动作出了旅行安排。在这些旅行安排中有 2,754 人(占 93% 以上)与会，未能与会的原因包括需处理其他公务或个人事务、健康问题、签证问题或错过航班。

91. 行政服务方案以竞争和具有成本效益的方式采购货物和服务。该方案管理 644 项采购，共计 2,110 万美元，其中约三分之一根据长期协议进行，四分之一通过与联合国系统各实体协同采购安排进行。招标 93 次，据此签订了 18 项新的长期协议。每次新招标平均收到 4 个报价，所选的出价平均比收到的最高报价便宜 33%。约 97% 的采购是在规定时限内处理的，而只有 65% 的招标是在规定的时限内完成的。

92. 在秘书处使其业务不对气候产生影响的努力中，行政服务方案发挥带头作用，衡量并报告其温室气体排放量，并落实减排措施。秘书处还通过购买和注销适应基金核证减排量，协助联合国系统 24 个其他组织实现气候中性，抵消 490 千吨二氧化碳当量(CO<sub>2</sub> 当量)(包括秘书处本身的 3,765 吨 CO<sub>2</sub> 当量)，占联合国系统 2015 年整体温室气体排放量的将近四分之一。

93. 人力资源管理股继续提供与人才招聘、组织发展和工作人员行政事务有关的服务，支持本组织落实战略愿景和管理决策。“团结”系统(企业资源规划系统)稳定运作后，该股重点挖掘有用的人力资源数据，供决策人员分析和使用，提高管理效率和成效。这已成为与组织任务变化有关的战略人力资源规划的基础。

94. 行政服务方案依照国际公共部门会计准则保持本组织的财务记录，处理了约 8,400 项财务交易，包括 4,100 项发票付款，并处理了约 1,200 项收款。该方案也继续协调自愿捐款的管理，包括筹款活动，并向捐助方报告情况。

95. 行政服务方案利用“团结”系统管理本组织的 10 个信托基金和特别账户，在本报告期内编写了若干正式文件，包括 2018–2019 两年期拟议预算和工作方案、2016 年预算执行情况报告、三份缴款状况报告以及两套财务报表。两套财务报表均得到无保留的审计意见。在审计期间，该方案提供了索要的所有文件和辅助文件，让审计人员感到完全满意。在报告期内，该方案还为履行机构在三届会议上审议若干复杂的预算事项提供了支持。

96. 在报告期内，财政资源管理股为符合条件的与会者参与谈判进程和其他会议支付资助款，共付款约 3,400 笔，资助相关代表参加 COP、CMP、CMA 和附属机构届会以及其他主要会议。

## 五. 补充信息

97. 秘书处人力资源信息载于附件一。补充活动信托基金资助的活动的收支情况载于附件二。秘书处各方案所有目标的绩效数据载于附件三。FCCC/SBI/2015/3/Add.1 号文件所载的 2016-2017 两年期秘书处工作方案介绍了这些目标。

## Annex I

### Human resources: staff

[English only]

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

Table 12

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

	USG	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1	Subtotal	GS	Total
<i>Trust Fund for the Core Budget</i>												
Approved	1	1	2	7	15	35	43	16		120	53.5	<b>173.5</b>
Filled <sup>a</sup>	1		1	5	10	29	33.8	14.8		94.6	49.5	<b>144.1</b>
<i>Trust Fund for Supplementary Activities</i>												
Approved				1	3	4	13	8		29	9	<b>38</b>
Filled				1	3	3	11	5		23	8.8	<b>31.8</b>
<i>Trust Fund for the Clean Development Mechanism</i>												
Approved				1	2	10	26	25		64	23	<b>87</b>
Filled				1	1	10	25	23		60	21	<b>82</b>
<i>Trust Fund for the International Transaction Log</i>												
Approved						2	3	1		6	1	<b>7</b>
Filled						2	3	1		6	1	<b>7</b>
<i>Trust Fund for the Special Annual Contribution from the Government of Germany</i>												
Approved								1		1	7	<b>8</b>
Filled								1		1	7	<b>8</b>
<i>Special account for conferences and other recoverable costs<sup>b</sup></i>												
Approved							1	1		2	4	<b>6</b>
Filled							1	1		2	3	<b>5</b>
<i>Special account for cost recovery related activities</i>												
Approved						5	8	8		21	10	<b>31</b>
Filled						5	6	7		18	7	<b>25</b>
<i>Programme support (overhead)</i>												
Approved				1	2	4	13	7		27	59.5	<b>86.5</b>
Filled				1	2	3.8	11	6		23.8	51.8	<b>75.6</b>
<b>Total</b>												
<b>Approved</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>10</b>	<b>22</b>	<b>60</b>	<b>107</b>	<b>67</b>		<b>270</b>	<b>167</b>	<b>437</b>
<b>Filled</b>	<b>1</b>		<b>1</b>	<b>8</b>	<b>16</b>	<b>52.8</b>	<b>90.8</b>	<b>58.8</b>		<b>228.4</b>	<b>149.1</b>	<b>377.5</b>

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

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

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

2. Table 13 provides information on the geographical distribution of the staff appointed at the Professional level and above. As at 30 June 2017, Western European and other States accounted for the highest percentage (43.6 per cent) of staff appointed at the Professional level and above, whereas African States accounted for the lowest (7.9 per cent).

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

Table 13

**Geographical distribution of staff members appointed at the Professional level and above as at 30 June 2017<sup>a</sup>**

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

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

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

4. Table 14 highlights the distribution of staff members appointed at the Professional level and above between Parties included in Annex I to the Convention (Annex I Parties) and non-Annex I Parties. As at 30 June 2017, the percentage of staff from non-Annex I Parties at the Professional and higher levels was 45.9 per cent, compared with 54.1 per cent for Annex I Parties.

Table 14

**Distribution of staff members at the Professional level and above between Annex I and non-Annex I Parties<sup>a</sup>**

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

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

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



5. Table 15 highlights the distribution of staff members by gender. As at 30 June 2017, the percentage of female staff at the Professional and higher levels was 40.2 per cent, up by 1.1 cent from June 2016. The percentage of female staff at all levels was 55.3 per cent as at 30 June 2017, a rise of 1.5 per cent since 30 June 2016.

Table 15

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

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

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

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

## Annex II

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

[English only]

Table 16

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

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

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

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
<i>Sustainable Development Mechanisms</i>			
Implementing the two work programmes mandated under the Ad Hoc Working Group on Long-term Cooperative Action under the Convention agenda item on various approaches relating to: (1) a framework for various approaches; and (2) the new market-based mechanism	10 731	-	10 731
Supporting the operation of joint implementation	5 324 427	1 172 893	4 151 534
Organizing a workshop on the review of the modalities and procedures of the clean development mechanism	27 869	-	27 869
Coordinating the implementation of the Paris Agreement, institutional arrangements under the Convention and efforts to mobilize and catalyse climate action	278 178	276 387	1 791
Supporting the integration of the clean development mechanism into intended nationally determined contributions and advancing the use of instruments under Article 6 of the Convention	368 036	305 124	62 912
Elaborating modalities and procedures for the inclusion of carbon dioxide capture and storage in geological formations as project activities under the clean development mechanism	9 352	-	9 352
Providing support to the secretariat and international financial institutions in their collaboration on the development of GHG accounting standards for non-state actors	50 306	-	50 306
Stimulating contributions from all non-Party actors and building the foundation for their measurement and verification	548 372	301 812	246 560
<i>Legal Affairs</i>			
Electronic handbook for the UNFCCC	14 082	(3 746)	17 828
Providing support to the Compliance Committee	85 465	24 201	61 264
<i>Conference Affairs Services</i>			
Servicing the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP)	21	-	21
Servicing the fourth part of the second session of the ADP	465	23	442
Developing a handbook and film documentary for conference management	63 950	61 197	2 753
Supporting stakeholder engagement in the UNFCCC process	360 570	350 736	9 834
Further developing the electronic Official Documents System	128 161	98 177	29 984
Servicing the twenty-third session of the COP and the thirteenth session of the CMP	838 077	428 275	409 802
Servicing the forty-sixth sessions of the Subsidiary Body for Implementation (SBI) and the Subsidiary Body for Scientific and Technological Advice	1 916 614	1 623 959	292 655
Servicing the sixth part of the second session of the ADP	41 157	-	41 157
Servicing the eighth part of the second session of the ADP	112 571	(22 436)	135 007
Servicing the tenth part of the second session of the ADP	160 336	(43 901)	204 237
Servicing the eleventh part of the second session of the ADP	62 388	(375 042)	437 430
Servicing the forty-second session of the SBI	935	-	935
Servicing the forty-fourth session of the SBI	1 462 780	1 421 950	40 830
<i>Communications and Outreach</i>			
Developing internal communication tools and channels within the secretariat to ensure communication between management and staff, and between and among staff, with a view to supporting corporate culture and engagement	283 050	164 959	118 091
Hosting the Global Youth Video Competition	50 139	39 505	10 634
Developing the mobile application for smartphones, tablet computers and mobile devices	742	(6 438)	7 180
Momentum for Change	171 062	144 833	26 229
Momentum for Change: Information and Communication Technology Solutions	361 263	319 314	41 949
Momentum for Change: Women for Results	32 864	28 383	4 481
Momentum for Change: Planetary Health	432 894	167 655	265 239

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

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

## Annex III

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

[English only]

Table 17

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat responds effectively to the priorities set by Parties in constructing an enhanced rules-based system under the Convention	The proportion of mandated outputs relating to the Paris Agreement delivered and delivered on time	All mandated outputs relating to the Paris Agreement have been delivered and delivered on time. For details of progress in relation to the Paris Agreement work programme resulting from relevant requests contained in decision 1/CP.21, please consult the secretariat progress tracker <sup>b</sup>
	The level of satisfaction of Parties with the work of the secretariat. Actual result for 2013: 92 per cent of all respondents somewhat agreed, agreed or strongly agreed with the statement that their level of satisfaction with the work of the secretariat was consistently high. Target: to maintain the level of satisfaction at 90–95 per cent	Budgetary constraints have prevented the secretariat from undertaking a survey on the level of satisfaction of Parties in the reporting period as envisaged. Such a survey is to be undertaken in May 2018 and information on the level of satisfaction of Parties with the work of the secretariat will be made available in the next budget performance report

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
All facets of climate change intergovernmental meetings are well organized. Appropriate procedural, substantive and logistical support is provided to Parties. The President of the Conference of the Parties (COP) and the COP Bureau are well informed and able to carry out their functions effectively	The level of satisfaction of Parties with the secretariat's support of negotiation sessions. Baseline: in 2013, 66 per cent of respondents either agreed or strongly agreed with the statement "The secretariat supported the intergovernmental process effectively", and 60 per cent of respondents either agreed or strongly agreed with the statement "The secretariat provided good advice on procedures and content for mandated conferences, meetings and events". Target: to increase the level of satisfaction of Parties	Budgetary constraints have prevented the secretariat from undertaking a survey on the level of satisfaction of Parties in the reporting period as envisaged. Such a survey is to be undertaken in May 2018 and information on the level of satisfaction of Parties with the work of the secretariat will be made available in the next budget performance report
	The level of satisfaction of the COP President and the COP Bureau with the secretariat's support. <sup>c</sup> Baseline: in 2013, 100 per cent of respondents either	Information on the level of satisfaction of the COP President and the COP Bureau with the secretariat's support will be made available in the budget performance report covering the period from 1

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

January 2018 to 30 June 2019

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Support provided by the United Nations, intergovernmental agencies and other stakeholders to Parties in the implementation of the Convention is enhanced, with a wide network of non-state actors (including intergovernmental organizations and the United Nations system) directly supporting and contributing to the implementation of the Convention and its outcomes	Number of active partnerships with the following stakeholder groups: organizations in the United Nations system, faith-based organizations, military, women, legislators, investors, business, cities and subnational governments that contribute to the implementation of the Convention and its outcomes	A total of 55 such partnerships were concluded in the reporting period
	Participation of the Executive Secretary in other organizations’ events	The Executive Secretary attended 134 events during the reporting period

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat’s internal processes and operations are effective, efficient and environmentally sustainable	Net cost savings resulting from efficiency measures	In the reporting period, the secretariat continued a number of initiatives to make its operations more efficient, including through the streamlining of its Information and Communication Technology (ICT) services and a more efficient ICT project and services management. The secretariat also sought efficiencies by maximizing existing staff capacity through projects cutting across programme boundaries and internal reassignments. While it is possible to quantify cost savings in some areas, it is difficult to provide an overall figure for net cost savings resulting from the totality of the secretariat’s efforts
	Amount of greenhouse gas (GHG) emissions per secretariat staff member from headquarters operations and travel of staff and supporting personnel, except for travel to sessions of the COP. Baseline: 3 t CO <sub>2</sub> eq per capita per	The GHG emissions resulting from the secretariat’s facility operations and all staff travel, except for COP-related travel, amounted to 1,500 t CO <sub>2</sub> eq, or 2.6 t CO <sub>2</sub> eq per capita (staff and other personnel), in 2014, and 1,242 t CO <sub>2</sub> eq, or 2.2 t CO <sub>2</sub> eq per capita, in 2015

	<p>annum. Target: 2.5 t CO<sub>2</sub> eq per capita per annum<sup>d</sup></p> <p>The percentage of unavoidable residual GHG emissions from headquarters operations and all travel funded by the secretariat that is offset. Baseline: 100 per cent. Target: 100 per cent</p>	<p>The secretariat offset 100 per cent of its residual GHG emissions of 5,428 t CO<sub>2</sub> eq in 2014 and 3,765 t CO<sub>2</sub> eq in 2015 through the purchase and cancellation of Adaptation Fund certified emission reductions</p>
<p>Competent, motivated and geographically diverse staff balanced in gender are recruited, trained and retained</p>	<p>The percentage of staff from Parties not included in Annex I to the Convention (non-Annex I Parties). Actual figure as at March 2015: 50.2 per cent of staff in the Professional category and above were from non-Annex I Parties. Target: to increase the percentage of staff from non-Annex I Parties</p> <p>The percentage of women in posts in the Professional category and above. Actual figure as at March 2015: 38.2 per cent of staff in the Professional category and above were women. Target: to increase this percentage to 50 per cent</p> <p>The level of satisfaction of staff with their job, management and development opportunities. Actual figure as at September 2013: more than 80 per cent of staff participating in a secretariat-wide survey expressed overall satisfaction with their current job, and 69 per cent expressed their satisfaction with the overall quality of management of the secretariat. Altogether, 45 per cent of the respondents expressed the view that they had adequate opportunities to advance their career. Target: to increase the level of staff satisfaction</p>	<p>A total of 45.9 per cent of staff in the Professional and higher levels were from non-Annex I Parties as at 30 June 2017</p> <p>A total of 40.2 per cent of staff in the Professional and higher levels were women as at 30 June 2017</p> <p>Actual figures as at May 2016 on the level of satisfaction of staff with their job, management and development opportunities: 80 per cent of staff participating in a secretariat-wide survey expressed overall satisfaction with their current job; and 68 per cent expressed their satisfaction with the overall quality of management of the secretariat. Altogether, 61 per cent of the respondents expressed the view that they had adequate opportunities to advance their career</p>
<p>The secretariat has the required financial resources to implement mandates given to it by the COP and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol</p>	<p>The percentage of mandated outputs that cannot be delivered as a result of insufficient funding. Actual result for the period January–June 2014: less than 1 per cent. Target: to reduce this percentage to 0 per cent</p> <p>The contribution rate to the core budget. Actual: 65 per cent of the indicative contributions for the biennium 2014–2015 had been received by the secretariat by 31 March 2015. Target: to increase the contribution rate</p>	<p>While funding was generally sufficient in the reporting period for the delivery of outputs mandated to the secretariat, some activities were affected by a lack of financial resources. This includes the global national adaptation plan (NAP) Expo, which was planned for April 2017 but had to be postponed to 2018. Similarly, resource constraints led to a decrease in the number of individual reviews of GHG inventories of Annex I Parties in 2017 from 44 to 22</p> <p>EUR 41 million, or 77 per cent of the indicative contributions to the core budget expected for 2016–2017, had been received as at 31 March 2017. While this is an increase compared with the previous biennium, core contributions received at that point in time remain behind what is required, and it should be recalled that all contributions are due on 1 January each year</p>



	The ratio of actual expenditure to the approved budget. Actual result for the biennium 2012–2013: 99.4 per cent. Target: to maintain this percentage in the biennium 2016–2017	The implementation rate of the core budget for 2016–2017 had reached 72.6 per cent through to June 2017
Financial resources are managed in a sound manner and are utilized to maximize the benefit to the UNFCCC process	The implementation rate of audit recommendations relating to financial and administrative matters. Baseline: implementation rate as at 30 June 2014 was 83 per cent. Target: 90 per cent implementation rate	The final Board of Auditors report had not been issued by 30 June 2017; however, the provisional report indicated that 91 per cent of audit recommendations were under implementation or fully implemented. The not implemented status of 9 per cent represented one audit recommendation that was not accepted by the UNFCCC

<sup>a</sup> See document FCCC/SBI/2011/16, page 33.

<sup>b</sup> [http://unfccc.int/files/paris\\_agreement/application/pdf/pa\\_progress\\_tracker\\_200617.pdf](http://unfccc.int/files/paris_agreement/application/pdf/pa_progress_tracker_200617.pdf).

<sup>c</sup> The next survey on the level of satisfaction of the COP President and the COP Bureau with the secretariat's support will be conducted in 2018.

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

Table 18

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided for the fulfilment of reporting and review requirements in relation to information provided by Parties included in Annex I to the Convention (Annex I Parties) under the Convention and its Kyoto Protocol	All greenhouse gas (GHG) inventories from Annex I Parties and relevant supplementary information submitted on time during the biennium are received and reviewed by international expert teams within the mandated time frames	<p>All of the GHG inventory submissions from Parties in 2016 and 2017 have been received</p> <p>With respect to the review of the submissions, as at 30 June 2017, 51 annual review reports (24 for 2015 and 26 for 2016)<sup>c</sup> had been finalized and published, as well as 17 review reports of the calculation of the assigned amount for the second commitment period. The remaining review reports will be finalized during the remaining part of 2017. Therefore, the review process for 2016 is anticipated to be fully finalized during the biennium</p> <p>Preparations are under way for the technical reviews of the 2017 GHG inventory submissions of Annex I Parties, in accordance with the mandated timelines. Preparations were also initiated for the review of the initial reports for the second commitment period of the Kyoto Protocol for the Parties that will submit those reports in 2017. Considering the challenges that the secretariat has faced in 2017 related to insufficient resources from the core budget and supplementary funding to support the review of GHG inventories, the secretariat is organizing the 2017 review of the GHG inventories for half of the Annex I Parties; therefore, for the 2017 reviews only 50 per cent of the target will be achieved. This issue and its implications for the review planning process was discussed at the 14<sup>th</sup> meeting of GHG inventory lead reviewers, held in Bonn on 8 and 9 March 2017</p>

	<p>All national communications and relevant supplementary information and biennial reports from Annex I Parties are received and reviewed by international expert review teams, and relevant reports are published within the biennium</p>	<p>Preparations for the forthcoming submission cycle of third biennial reports and seventh national communications from Annex I Parties were launched and a dedicated submission portal has been developed and made available to facilitate the submission process. The biennial report common tabular format application has been revised and enhanced in 2017 on the basis of the feedback from Parties following the submission of their second biennial reports</p>
	<p>All reports relating to the implementation of final accounting for the first commitment period of the Kyoto Protocol are prepared and published in accordance with the mandates</p>	<p>All submitted reports upon expiration of the additional period for fulfilling commitments (true-up period) for the first commitment period of the Kyoto Protocol have been reviewed by teams of experts nominated by Parties. Final review reports for 36 Annex B Parties to the Kyoto Protocol were published before 1 August 2016, except for that for Ukraine, which will be published before 1 September 2017 following the recommendation of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (FCCC/KP/CMP/2016/8, paragraph 50)</p>
		<p>The final compilation and accounting report for Ukraine will be finalized upon completion of the associated review process</p>
<p>The international assessment and review of GHG emissions and removals relating to quantified economy-wide emission reduction targets for developed country Parties is facilitated and completed within the biennium</p>	<p>All submitted second biennial reports are reviewed in 2016 and review reports are published within the framework set out in the relevant decision</p>	<p>All submitted second biennial reports have been reviewed by teams of experts nominated by their governments. Review reports for 24 Annex I Parties were published before 1 August 2016</p>
		<p>The remaining reports were published by 6 December 2016, well before the 15-month completion deadline for reviews stipulated in the “Guidelines for the technical review of information reported under the Convention related to greenhouse gas inventories, biennial reports and national communications by Parties included in Annex I to the Convention”<sup>d</sup></p>
	<p>Multilateral assessment for all Annex I Parties under the Subsidiary Body for Implementation (SBI) is finalized within the biennium</p>	<p>A total of 24 Parties were multilaterally assessed at the working group session during SBI 45 and 17 Parties during SBI 46<sup>e</sup></p>
	<p>The compilation and synthesis of second biennial reports is prepared for consideration by the SBI in 2016 and mandated technical papers are prepared before the deadlines</p>	<p>The compilation and synthesis of second biennial reports was published in October 2016 and considered at SBI 45 and SBI 46</p>
<p>Training courses are updated, revised and completed and a sufficient number of experts are trained and ready to participate in the reviews under the Convention and its Kyoto Protocol</p>	<p>The number of experts participating in the GHG inventory review training courses per year. Baseline and target: 30–60 experts per year</p>	<p>A refresher seminar for experienced reviewers was held on 29 February 2016 and 8 March 2017 with the participation of 55 and 64 experienced experts and lead reviewers, respectively. Two periods of training courses and training seminars for the review of GHG inventories under the Convention were held in April 2016 and March 2017 and 58 experts participated. In addition, as at 30 June 2017, 63 experts had participated in the non-instructed training courses for the review of GHG inventories in 2016 and 2017</p>
	<p>The number of experts participating in the biennial report and national communication review training courses per year. Baseline and target: 25–50 experts per year</p>	<p>Eighty-five experts took the courses on the review of national communications and biennial reports in 2016.</p>

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

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

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided to Parties not included in Annex I to the Convention (non-Annex I Parties) in the fulfilment of their reporting requirements under the Convention	At least 300 experts from non-Annex I Parties are trained	A total of 375 experts from 120 non-Annex I Parties were trained during the reporting period: 239 national experts from 120 non-Annex I Parties were trained on how to use the Intergovernmental Panel on Climate Change (IPCC) 2006 IPCC Guidelines on National Greenhouse Gas Inventories and also on how to set up sustainable national GHG inventory management systems; 136 experts from 100 non-Annex I Parties were trained in the preparation of biennial update reports (BURs); in cooperation with the German Gesellschaft für Internationale Zusammenarbeit, 99 experts from 52 countries were trained to prepare and implement their nationally appropriate mitigation actions (NAMAs) and to prepare their intended nationally determined contributions (INDCs); and 170 experts were trained and certified to participate in the technical analysis of BURs
	Increase in the number of submitted reports from non-Annex I Parties compared with the previous biennium	As at 30 June 2017, 34 national communications had been submitted by non-Annex I Parties: 2 first national communications, 10 second national communications and 21 third national communications and 1 fourth national communication. A total of 14 first BURs and 6 second BURs had been submitted. Several additional national communication/BUR submissions are expected by the end of the biennium, bringing the total number of such submissions to about 60, compared with 56 in the previous biennium
The NAMA registry is established effectively and updated regularly	At least 80 per cent of all developing countries have access to the NAMA registry	During the reporting period, 67 per cent of all developing countries had access to the NAMA registry
	The number of mitigation actions and the provision of support recorded in the NAMA registry and the extent of matching of action and support is significantly higher than the current baseline of 87 NAMAs, 14 sources of support and eight matches of NAMAs with support	The registry currently contains 146 NAMA entries submitted by developing countries, 18 entries on sources of support and 17 matches of NAMAs with support

<p>The international consultation and analysis of BURs from developing countries is facilitated</p>	<p>The online training course for experts in supporting the technical analysis of BURs has been developed and is operational</p>	<p>The online training course for experts supporting the technical analysis of BURs has been in full operation</p>
	<p>100 experts are trained to participate in the analysis of BURs</p>	<p>As at 30 June 2017, three rounds of training courses had been implemented since 1 January 2016, bringing the number of certified experts who are now eligible to participate in the technical analysis of BURs to 170</p>
	<p>All BURs submitted by developing countries are analysed within six months of their submission</p>	<p>A total of 20 BURs were submitted in the reporting period, 14 first BURs and 6 second BURs. Of those, 19 BURs, as well as three reports submitted in 2015, were technically analysed in the reporting period, within six months of their submission. Three of the submitted BURs included technical annexes on REDD-plus<sup>g</sup> results, which underwent parallel technical analysis during the same period</p>
	<p>Workshops on facilitative sharing of views (FSV) are organized</p>	<p>The first-ever workshop for FSV was successfully launched in May 2016, followed by two additional rounds of FSV at SBI 45 and SBI 46. In total, 30 non-Annex I Parties went through FSV during the reporting period</p>

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Effective support is provided for the consideration of the scientific and methodological issues relating to mitigation</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>All mandated outputs were delivered on time, including the organization of two in-session workshops on agriculture and one in-session workshop on land use, land-use change and forestry (LULUCF), held at the forty-fourth session of the Subsidiary Body for Scientific and Technological Advice (SBSTA). All reports on these mandated events were delivered on time for consideration by the SBSTA. Discussions on these matters at the three sessions of the SBSTA in the reporting period advanced</p>
<p>Work on methodological and scientific matters related to LULUCF and agriculture as well as REDD-plus in developing countries is facilitated</p>	<p>The proportion of mandated outputs, including mandated reports and technical papers, on LULUCF, agriculture and REDD-plus delivered and delivered on time</p>	<p>All mandated outcomes were delivered and delivered on time. In particular, the secretariat prepared a synthesis report on the technical assessment process for REDD-plus forest reference emission levels and forest reference levels (as mandated in decision 13/CP.19, paragraph 4) for consideration at SBSTA 44</p> <p>The secretariat facilitated the organization of two voluntary meetings on the coordination of support for REDD-plus (the third and fourth). Approximately 140 REDD-plus focal points, Party delegates and representatives of international organizations and civil society participated in each of the meetings. The secretariat supported the Conference of the Parties (COP) Presidencies in their outreach to Parties and other stakeholders for relevant input to and presentations at the meetings. In addition, the secretariat supported the COP Presidencies in producing relevant outreach media material, such as producing a brief video clip and news article, as well as ensuring that the summary of key messages of the meetings prepared by the COP Presidencies was made available on the REDD+ Web Platform</p>

<p>Work on other methodological and scientific matters, including in the areas of common metrics, international aviation and maritime transport and fluorinated gases, is facilitated</p>	<p>The proportion of mandated outputs, including mandated technical papers on common metrics, international aviation and maritime transport and fluorinated gases, delivered and delivered on time</p>	<p>All mandated outputs were delivered and delivered on time. Discussions on all matters under the SBSTA advanced and two mandated outputs in the form of miscellaneous documents were delivered</p>
<p>Effective support is provided for the implementation of the Warsaw Framework for REDD-plus</p>	<p>The proportion of the technical assessments of forest reference levels/forest reference emission levels concluded and concluded on time</p>	<p>During the reporting period, 20 submissions of forest reference emission levels and forest reference levels were received from developing country Parties (9 submissions in 2016 and 11 submissions in 2017)</p> <p>The centralized technical assessment of the submissions was held in mid-March in 2016 and 2017 in Bonn with the participation of 40 LULUCF experts and an observer from the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention at each session. A total of 75 per cent of the technical assessment reports for the 2016 session have been completed and published.<sup>k</sup> The technical assessment process for 2017 is ongoing and expected to be concluded by the end of November 2017</p>
	<p>All guidance on the enhancement of the information hub on the web platform<sup>l</sup> on the UNFCCC website is implemented by the deadlines set by Parties</p>	<p>The Lima REDD+ Information Hub on the REDD+ Web Platform on the UNFCCC website was developed at the end of 2014 and has been maintained in the biennium 2016–2017; all relevant guidance has been implemented</p>
	<p>The number of entries inserted by the secretariat in the information hub following the guidance in decision 9/CP.19, paragraph 14</p>	<p>During the reporting period, 55 new submissions were shared on the REDD+ Web Platform. One developing country Party has entered its assessed REDD-plus reference level and results on the information hub and at least two other developing country Parties are preparing similar information. The number of new registered users of the web platform during the reporting period, including the discussion forum, reached 145</p>
<p>Cooperation with intergovernmental organizations involved in activities related to reducing emissions from deforestation and forest degradation in developing countries (REDD) as well as activities related to LULUCF, agriculture, international maritime and aviation transport and fluorinated gases is maintained and further strengthened</p>	<p>The number of meetings of relevant intergovernmental organizations attended by UNFCCC staff to ensure that their activities related to REDD, LULUCF, agriculture, international maritime and aviation transport and fluorinated gases actively contribute to the objective of the Convention has increased by at least 20 per cent since the previous biennium</p>	<p>The secretariat attended 18 meetings on REDD, LULUCF and agriculture, 6 meetings in relation to international aviation and maritime transport, and 2 meetings on fluorinated gases and common metrics, which is in total an increase of 38 per cent on the previous biennium (in the same period of the previous biennium, 13 meetings were attended)</p>

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided to work relating to the impact of the implementation of response measures	Progress in consolidating and streamlining agenda items on response measures	Parties' agreement on an improved forum on the impact of the implementation of response measures and for the forum to serve the Paris Agreement ensures the continued discussion of all agenda items on response measures in the context of the forum
	Enhanced reporting on response measures in national communications and BURs	The number of developed country Parties that provided information on response measures shows an increase in the second biennial reports in comparison with in the first biennial reports. The reporting has become more comprehensive, including procedures for the assessment of the impacts of proposed policy initiatives, and information on the expected direct and indirect environmental, social and economic effects on developing countries resulting from their most important policy actions. Owing to the voluntary nature of reporting on response measures and related information, no major trend in reporting was observed in the submitted BURs from developing country Parties
Parties have an enhanced understanding of impacts of response measures and are better able to cooperate among themselves and with other relevant stakeholders to address and report on such impacts	Increased willingness of Parties to consider and address technical issues related to response measures	Three technical papers on the assessment of impacts, economic diversification and just transition of the workforce were mandated and prepared
	International cooperative arrangements are established	After Parties' agreement on the terms of reference for the ad hoc technical expert groups under the improved forum at the forty-fourth sessions of the subsidiary bodies, an ad hoc technical expert group meeting on economic diversification and just transition in the context of sustainable development was held

**Objective 5: support Parties in the implementation of the Paris Agreement and the technical examination process of opportunities with high mitigation potential, including those with adaptation, health and sustainable development co-benefits<sup>m</sup>**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The implementation of the Paris Agreement is supported as required		Three sessions of the Ad Hoc Working Group on the Paris Agreement (APA) and three sessions of the SBI and the SBSTA took place in the reporting period. The programme coordinated the work of the APA and the SBI as a whole and provided policy, technical and logistical support in relation to a large number of agenda items of the APA, the SBI and the SBSTA
		The programme assisted the COP Presidency with the planning of the 2018 facilitative dialogue, including consultations during the sessions in May 2017
Effective support is provided to the work relating to the preparation and consideration of INDCs from all Parties	The number of submissions communicating INDCs considered during the biennium	The secretariat, in response to decision 1/CP.20, set up a platform for the communication and publication of INDCs. A registry for nationally determined contributions (NDCs) was deployed in May 2016. A total of 147 Parties received assistance with conversion with their first NDC, 8 with revisions to

		<p>their INDC prior to submitting their first NDC and 4 with their long-term emission development strategies. Altogether, Parties made 144 submissions of NDCs during the reporting period</p> <p>The secretariat updated the synthesis report on the assessment of the aggregate effect of INDCs, which was issued in accordance with the mandate by 1 October 2015. An updated version was released on 2 May 2016</p>
Effective support is provided to the technical examination process	The number of meetings organized by the secretariat	In the reporting period, four technical expert meetings were held at the May 2016 and 2017 sessions of the subsidiary bodies, covering urban environment, the land sector, the social and economic value of carbon, and public transport and fuel efficiency. In addition, one regional technical expert meeting was held in Africa
	The number of new initiatives launched	One new initiative on climate change and buildings was launched

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

<sup>b</sup> Articles 4 and 12 of the Convention, Articles 5, 7 and 8 of the Kyoto Protocol and decisions 10/CP.2, 31/CP.7, 3/CP.8, 17/CP.8, 2/CP.9, 12/CP.9, 8/CP.11, 1/CP.13, 10/CP.15, 1/CP.16, 2/CP.17, 15/CP.17, 1/CP.18, 2/CP.18, 19/CP.18, 20/CP.18, 1/CP.19, 23/CP.19, 24/CP.19, 13/CP.20 to 15/CP.20, 13/CMP.1 to 16/CMP.1, 20/CMP.1, 22/CMP.1, 27/CMP.1, 8/CMP.5, 2/CMP.7 to 5/CMP.7, 1/CMP.8, 2/CMP.8, 7/CMP.8 and 12/CMP.8.

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

<sup>d</sup> Decision 13/CP.20, annex, paragraph 17.

<sup>e</sup> Multilateral assessment for one Party has been postponed due to its absence from the session.

<sup>f</sup> Article 4, paragraphs 1, 3, 8 and 9, and Article 12, paragraphs 1(a–c) and 4, of the Convention and decisions 10/CP.2, 31/CP.7, 3/CP.8, 17/CP.8, 2/CP.9, 8/CP.11, 1/CP.13, 1/CP.16, 2/CP.17, 24/CP.18, 1/CP.19, 19/CP.19 and 20/CP.19.

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

<sup>h</sup> Decisions 4/CP.1, 18/CP.5, 1/CP.13, 2/CP.13, 4/CP.15, 1/CP.16, 2/CP.17, 12/CP.17, 1/CP.18, 1/CP.19, 9/CP.19 to 15/CP.19, 6/CMP.3 and 2/CMP.7.

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

<sup>j</sup> All published technical assessment reports are available at <http://redd.unfccc.int/fact-sheets/forest-reference-emission-levels.html>. Two more reports from the 2016 session are in the final stages of the process (consideration of the report prepared by the technical assessment team by the Party) and are expected to be completed by the third quarter of 2017 as soon as Party approval of the report has been received.

<sup>k</sup> Article 4, paragraphs 8–10, of the Convention, Article 2, paragraph 3, and Article 3, paragraph 14, of the Kyoto Protocol and decisions 5/CP.7, 1/CP.10, 1/CP.13, 1/CP.16 and 8/CP.17.

<sup>l</sup> Articles 4 and 12 of the Convention, decisions 1/CP.19 and 1/CP.20 and further specific mandates to be considered at forthcoming sessions of the Conference of the Parties.

Table 19

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Finance, Technology and Capacity-building programme**
**Objective 1: support the intergovernmental process with regard to the mobilization, delivery and oversight of climate finance for adaptation and mitigation<sup>b</sup>**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are effectively supported in intergovernmental negotiations on issues related to the mobilization and delivery of climate finance	The proportion of mandated outputs delivered and delivered on time	Delivery of the mandated outputs was achieved during the reporting period: seven Subsidiary Body for Implementation (SBI)/Subsidiary Body for Scientific and Technological Advice (SBSTA) conclusions, eight Conference of the Parties (COP)/Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decisions and two informal notes under the Ad Hoc Working Group on the Paris Agreement. In addition to the long-term finance in-session event (see below), one mandated round table and one mandated in-session workshop under the SBSTA were successfully organized. The secretariat also successfully supported the COP 22 Presidency in its leadership of the high-level dialogue on climate finance
Effective support is provided for the implementation of the work programme of the Standing Committee on Finance (SCF)	The proportion of mandated outputs delivered and delivered on time	Delivery of all mandated outputs was achieved during the reporting period through the organization of four meetings of the SCF and two retreats, and the preparation of the SCF report to the COP. Some of the main outputs include the 2016 biennial assessment and overview of climate finance flows, the SCF Forum, and the draft guidance to the Global Environment Facility and the Green Climate Fund. The secretariat supported the SCF in its continued coordination, outreach and cooperation with other constituted bodies and other institutions
	The number of views of the pages on the Financial Mechanism <sup>c</sup> and the finance portal <sup>d</sup> on the UNFCCC website. Baseline: 20,669 page views in the period January–June 2014. Target: to maintain that number of views	There were 35,157 page views in the reporting period
Effective support is provided to mandated activities relating to long-term finance and the measurement, reporting and verification of climate finance	The proportion of mandated outputs delivered and delivered on time	All mandated outputs were delivered on time as regards long-term finance through the successful organization of the in-session workshop on climate finance focusing on adaptation finance held during the forty-fourth sessions of the subsidiary bodies

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided for intergovernmental work and negotiations on issues relating to technology development and transfer	The proportion of mandated outputs delivered and delivered on time	All outputs required to be delivered during the reporting period were delivered on time. This includes the note by the secretariat on mapping climate technology development and transfer activities and initiatives under and outside the Convention relevant to the implementation of the Paris Agreement, and the



<p>Effective support is provided in the implementation of the workplan of the Technology Executive Committee (TEC)</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>compilation and synthesis report by the secretariat on Parties' views on the scope and modalities for the periodic assessment of the Technology Mechanism</p>
<p>Effective support is provided in facilitating effective interaction between the TEC and the Climate Technology Centre and Network (CTCN) and provision of information on technology development and transfer</p>	<p>The number of relevant stakeholders that contribute to the implementation of the TEC workplan</p>	<p>All outputs required to be delivered during the reporting period in accordance with the TEC workplan were delivered on time. The TEC rolling workplan for 2016–2018 was adopted at TEC 12 in April 2016. The thematic dialogues on South–South cooperation on technologies for adaptation and industrial energy efficiency were successfully held at TEC 12 and TEC 14, respectively. The in-session workshop on linkages between the Technology Mechanism and the Financial Mechanism was held in conjunction with the forty-fourth sessions of the subsidiary bodies and a special event on innovation and climate change was held in conjunction with their forty-sixth sessions. Support was provided to the TEC intersessionally and during TEC 12, TEC 13 and TEC 14 in a timely manner</p> <p>The TEC established six task forces to work intersessionally to support the implementation of its workplan for 2016–2018, including the active participation of representatives of 21 observer organizations</p>
<p>Effective support is provided in facilitating effective interaction between the TEC and the Climate Technology Centre and Network (CTCN) and provision of information on technology development and transfer</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>Facilitated collaboration between the TEC and the CTCN on common mandated and joint activities is progressing in a satisfactory manner. The TEC and the CTCN initiated joint work on the research, development and demonstration of mitigation and adaptation technologies and in preparing updated procedures for the joint chapter of their joint annual report to the COP. The proportion of mandated outputs delivered and delivered on time was 100 per cent</p>
<p>Effective support is provided in facilitating effective interaction between the TEC and the Climate Technology Centre and Network (CTCN) and provision of information on technology development and transfer</p>	<p>Number of page views of the UNFCCC technology information clearing house TT: CLEAR.<sup>f</sup> Baseline: 357,908 page views in the period January–June 2014. Target: to maintain that number of views</p>	<p>TT: CLEAR received 114,537 page views in the reporting period</p>

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Effective support is provided for intergovernmental negotiations on issues related to capacity-building</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>Delivery of the mandated outputs during the reporting period was as follows: five SBI conclusions and three COP/CMP decisions, including on the terms of reference of the Paris Committee on Capacity-building (PCCB); and five mandated documents prepared: four compilation and synthesis reports on capacity-building implementation and one technical paper on the review of the capacity-building framework. The first meeting of the PCCB was successfully convened, including the one-day technical exchange on its focus theme. All seven background documents prepared for the meeting, representing 100 per cent of the mandated outputs, were delivered on time</p>

The Durban Forum on capacity-building is facilitated	The proportion of mandated outputs delivered and delivered on time	Two in-session Durban Forums on capacity-building were held during SBI 44 and 46 and two summary reports were published and disseminated. All mandated documents, such as the synthesis paper on capacity-building activities of the constituted bodies and the compilation and synthesis of activities to implement the framework for capacity-building in developing countries, representing 100 per cent of the mandated outputs, were delivered on time
The implementation of the frameworks for capacity-building is facilitated	The number of organizations that reported on their contribution to the implementation of the frameworks for capacity-building	Forty organizations provided information on their activities undertaken to implement the capacity-building frameworks

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

<sup>b</sup> Article 11 of the Convention and decisions 1/CP.13, 1/CP.16, 2/CP.17, 3/CP.17, 1/CP.18, 3/CP.19 and 1/CMP.3.

<sup>c</sup> [http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/items/2807.php](http://unfccc.int/cooperation_and_support/financial_mechanism/items/2807.php).

<sup>d</sup> <http://unfccc.int/financeportal>.

<sup>e</sup> Decisions 4/CP.7, 3/CP.13, 4/CP.13, 1/CP.16, 2/CP.17, 4/CP.17, 1/CP.18, 13/CP.18, 14/CP.18 and 25/CP.19.

<sup>f</sup> <http://unfccc.int/ttclear>.

<sup>g</sup> Article 10(e) of the Kyoto Protocol and decisions 2/CP.7, 3/CP.7, 2/CP.10, 3/CP.10, 4/CP.12, 6/CP.14, 1/CP.16, 2/CP.17, 13/CP.17, 1/CP.18, 29/CMP.1, 6/CMP.2, 6/CMP.4, 11/CMP.6, 15/CMP.7, 10/CMP.8 and 11/CMP.8.

Table 20

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

**Objective 1: support Parties, in particular developing country Parties, in assessing impacts, vulnerability and risks and in developing and implementing adaptation plans, policies and actions<sup>b</sup>**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The work of the Adaptation Committee is successfully facilitated	The proportion of mandated outputs delivered and delivered on time	All mandated activities were delivered on time during the reporting period: the secretariat organized the 9 <sup>th</sup> , 10 <sup>th</sup> and 11 <sup>th</sup> regular meetings of the Adaptation Committee, the 3 <sup>rd</sup> Adaptation Forum, technical expert meetings held under the technical examination process on adaptation during the forty-fourth and forty-sixth sessions of the subsidiary bodies, three side and special events during the same sessions of the subsidiary bodies and the twenty-second session of the Conference of the Parties (COP), and several formal and informal meetings with members of the Least Developed Countries Expert Group (LEG), in collaboration with the Standing Committee on Finance (SCF), to conduct work on joint mandates arising from decision 1/CP.21. The secretariat supported the Adaptation Committee in its continued collaboration with other institutional arrangements under the Convention and with non-Party stakeholders
	The proportion of working papers and information products delivered in support of the workplan of the Adaptation Committee and delivered on time	All documents and information products were produced on time. The secretariat produced a total of 33 mandated background papers for the three regular meetings of the Adaptation Committee held during the reporting period. It has also been supporting the Adaptation Committee by researching information and preparing presentations for other meetings involving representation of the Adaptation Committee
The process for the	The proportion of mandated	All mandated activities were delivered on time.

<p>formulation and implementation of national adaptation plans (NAPs) is facilitated</p>	<p>outputs delivered and delivered on time</p>	<p>Three LEG regional training workshops on NAPs, a global NAP Expo and a regional NAP Expo organized in the reporting period were successfully supported, and LEG and staff members participated in a number of NAP-related workshops organized by partner organizations. A global NAP Expo planned for April 2017 was postponed to 2018 due to resource limitations. The enhancement of NAP Central is ongoing, and so is the collection of information on NAPs through an online questionnaire and interviews with countries to support the assessment of progress of NAPs under the Subsidiary Body for Implementation (SBI)</p>
<p>The implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change (NWP) is facilitated</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>All expected outputs mandated for the reporting period were delivered on time. To support enhanced action on adaptation through the NWP, the outcomes under the NWP, as a knowledge-for-action network for climate resilience, include:</p> <ul style="list-style-type: none"> <li>– Providing continuous knowledge support to the Adaptation Committee and the LEG</li> <li>– Engaging a growing network of non-Party stakeholders in sharing their experience and expertise</li> <li>– Capturing and synthesizing the latest adaptation information and knowledge</li> <li>– Fostering science-policy-practice collaboration to close identified knowledge gaps</li> <li>– Disseminating knowledge and fostering learning to boost adaptation action at all levels</li> </ul>
	<p>A steady increase in the number of actions carried out within the framework of the NWP by its partners. Total number of action pledges as at March 2015 stood at 184</p>	<p>The NWP has engaged relevant organizations as partner organizations, which are committed to aligning their activities with the objectives of the NWP and to carrying out joint initiatives, including through action pledges and collaborative actions. The number of NWP partner organizations as at July 2017 stood at 343, and 189 action pledges had been made by NWP partner organizations</p>
		<p>In order to execute parallel work on the thematic areas of human health and ecosystems and interrelated areas such as water resources and human settlements, the secretariat undertook several actions in partnership with NWP partner organizations and relevant expert organizations (e.g. the World Health Organization in the context of health, members of the Friends of Ecosystem-based Adaptation network in the context of ecosystems, and the United Nations Human Settlements Programme, ICLEI - Local Governments for Sustainability and the Urban Climate Change Research Network on human settlements)</p>
<p>Work on loss and damage under the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts and its Executive Committee is facilitated and supported</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>All mandated activities were delivered on time during the reporting period: the secretariat organized the 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup> and 5<sup>th</sup> regular meetings of the Executive Committee of the Warsaw International Mechanism, expert briefings on the margins of the 2<sup>nd</sup> and 3<sup>rd</sup> meetings of the Executive Committee, the 1<sup>st</sup> meeting of the expert group on non-economic losses, the 1<sup>st</sup> meeting of the Task Force on Displacement, and a side event at the forty-fourth</p>

sessions of the subsidiary bodies. The secretariat produced a total of 30 documents in a timely manner to support those meetings. The secretariat supported the Executive Committee in its continued collaboration with other institutional arrangements under the Convention and non-Party stakeholders and expert bodies, including organizing a technical meeting on migration, displacement and human mobility. It has also been supporting the Executive Committee by collecting, researching, compiling and synthesizing relevant information, developing 19 knowledge products upon request by the Executive Committee, and preparing presentations for other meetings involving representation of the Executive Committee

The work of the LEG in relation to NAPs, the implementation of national adaptation programmes of action and other elements of the least developed countries work programme are successfully facilitated

The proportion of mandated outputs delivered and delivered on time

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

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

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

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

*Expected result(s)*

*Performance indicator(s)*

*Performance data*

Work by the Convention bodies on matters related to science, research and systematic observation is facilitated

The proportion of mandated outputs delivered and delivered on time

All mandated outputs were delivered on time

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

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

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

Implementation of recommendations of the 2013–2015 review on the adequacy of the long-term global goal is facilitated

The proportion of mandated outputs delivered and delivered on time

Outputs were delivered on time

Support was provided to the negotiations on the scope of the periodic review under the Convention. The scientific community responded positively to the encouragement to address information and research gaps identified during the structured expert dialogue and the Intergovernmental Panel on Climate Change (IPCC) decided to produce the special report

<p>The implementation of the outcomes of the Ad Hoc Working Group on the Durban Platform for Enhanced Action based on a long-term approach and science-based management of the global pathway is supported</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>requested by COP 21. An information note was prepared that summarized the status of work under related items and the lessons learned from the 2013–2015 review. The scope of the periodic review will be further addressed in 2019</p> <p>Outputs were delivered on time</p> <p>Support was provided in relation to the agenda items on matters relating to the global stocktake under the Paris Agreement under the Ad Hoc Working Group on the Paris Agreement (APA), considering the advice of the SBSTA on how the IPCC assessments can inform the global stocktake. A special SBSTA–IPCC event was held at SBSTA 44 and an information note was prepared by the SBSTA Chair to support Parties’ preparations for the event</p>
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**Objective 3: engage a wide range of stakeholders and widely and effectively disseminate information, including through the UNFCCC website<sup>d</sup>**

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

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

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

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

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

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

Table 21

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Sustainable Development Mechanisms programme**
**Objective 1: realize the full potential of sustainable development mechanisms to enhance the implementation of the Convention<sup>b</sup>**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Work programmes of the intergovernmental bodies on the further development of project-based mechanisms are facilitated	The proportion of mandated outputs delivered and delivered on time	All (4 of 4) of the mandates from the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol are being delivered in accordance with the specified timelines <sup>b</sup>
Parties are supported in their consideration and development of further market-based and other collaborative mechanisms	The proportion of mandated outputs delivered and delivered on time	All (2 of 2) of the mandates from the Subsidiary Body for Implementation (FCCC/SBI/2016/8, paragraph 54) and the Subsidiary Body for Scientific and Technological Advice (FCCC/SBSTA/2016/2, paragraph 79) at their forty-fourth sessions were delivered in the second half of 2016

**Objective 2: support and optimize the operation of the clean development mechanism<sup>c</sup>**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Meetings of the clean development mechanism (CDM) Executive Board and its panels and working groups are efficiently organized and well supported	The level of satisfaction of the members of the CDM Executive Board with the support provided	All survey respondents indicated they were satisfied with the support provided during the reporting period
	The proportion of meeting documents made available in accordance with the rules of procedure of the CDM Executive Board	The secretariat organized and supported eight meetings of the CDM Executive Board and 99 per cent (117 of 118) of meeting documents were made available in accordance with the rules and procedures. One document was a late submission in 2016
	The proportion of mandated outputs delivered and delivered on time	All (176) mandated outputs were delivered on time. In addition, 55 mandated outputs are in progress and scheduled to be delivered on time
The operation of the CDM is facilitated efficiently	The proportion of methodology cases (new methodologies and revision of existing ones) processed within the specified timelines	All of the methodology cases were processed within the timelines specified by the procedures; and 80 cases developed under bottom-up and top-down workstreams were processed within the specific timelines
	The proportion of new registrations processed within the specified timelines	In total, 97 per cent of new project registrations and 90 per cent of new programme of activities (PoA) registrations were processed within the specified timelines
	The proportion of issuance instructions processed within the specified timelines	In total, 97 per cent of project issuance instructions and 93 per cent of PoA issuance instructions were processed within the specified timelines
	The proportion of applications for accreditation processed within the specified timelines	No applications were received during the reporting period
Participation in CDM project activities and PoAs is facilitated	The number of standards developed or simplified that are relevant to low-income communities (including the development of standardized baselines)	Eleven standards were developed or simplified that are relevant to low-income communities. In addition, 34 standardized baselines are being processed

The number of countries with 10 or more registered projects	The number of countries with 10 or more registered CDM activities is 45 (37 with CDM project activities and 8 with PoAs)
The number of PoA registrations in underrepresented regions	A total of 108 PoAs were registered in 63 underrepresented countries and 214 project activities were registered in 62 underrepresented countries in the reporting period

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

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

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

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

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

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

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

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

Table 22

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Convention and its Kyoto Protocol and any related legal instruments are interpreted and implemented in accordance with relevant legal, procedural and institutional requirements	The absence of complaints from Parties and other stakeholders regarding the timeliness and soundness of legal advice and services provided by the secretariat. Baseline: complaints are resolved within six months. Target: no complaints	During the reporting period, Legal Affairs (LA) issued at least 125 legal opinions on at least 19 different types of legal issue, 20 of which legal opinions were provided directly to Parties. The secretariat did not receive any complaints from Parties or other stakeholders regarding the timeliness and soundness of such legal advice or the legal support provided by the secretariat during the reporting period
	The absence of complaints from Parties with respect to the legal advice and services provided by the secretariat to the intergovernmental process. Baseline: complaints are resolved within six months. Target: no complaints	The intergovernmental process was one of the main areas of work of the LA programme during the reporting period. A total of 78 of the 125 legal opinions issued in the reporting period dealt with the legal, procedural and institutional requirements of the intergovernmental process
The bodies established under the Convention and its Kyoto Protocol, including the governing, subsidiary and constituted bodies, as well as the intergovernmental process, function and operate in accordance with legal, procedural and institutional requirements	The proportion of concerns, issues or disputes raised by public/private entities in relation to constituted bodies under the Convention and its Kyoto Protocol or their members that are addressed and resolved expeditiously and amicably and do not result in legal action against these bodies and/or individuals serving on them. Baseline and target: concerns, issues or disputes are resolved within six months and no issues lead to legal action against any individual serving on such bodies	During the reporting period, LA processed 267 nominations for elections, as well as 18 intersessional replacements, for positions of members and alternate members to serve on governing, subsidiary and constituted bodies under the Convention, the Kyoto Protocol and the Paris Agreement  No concerns or issues were raised by public or private entities or their members in the reporting period and there was no legal action brought against any individuals serving on constituted bodies
	The absence of complaints from Parties and members of constituted bodies with respect to the legal advice and services provided to bodies established under the Convention and its Kyoto Protocol. Baseline: complaints are resolved within six months. Target: no complaints	The secretariat did not receive any complaints from Parties or members of constituted bodies with respect to the legal advice and support provided to bodies established under the Convention and its Kyoto Protocol during the reporting period



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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The operations of the secretariat and the UNFCCC process are conducted in accordance with applicable United Nations rules and regulations and the legislative authority of the UNFCCC governing bodies and requirements	The proportion of legal instruments between the secretariat and actors such as governments, service providers and partner organizations that are concluded expeditiously and in a legally sound manner, thereby facilitating the smooth operation of the secretariat and protecting its interests and those of the UNFCCC process. Baseline and target: all legal instruments are concluded in a timely and legally sound manner and any disputes arising therefrom are settled within 12 months	In the reporting period, LA cleared 145 legal instruments concluded by the secretariat with government and other third parties, of which 117 were signed by the secretariat  The secretariat did not receive any complaints from Parties or members of constituted bodies with respect to the legal advice and support provided to bodies established under the Convention and its Kyoto Protocol during the reporting period
	The number of audit and other queries raised by the United Nations Office of Legal Affairs on the adequacy and appropriateness of legal arrangements entered into by the secretariat. Baseline and target: no audit or other queries raised by the United Nations Office of Legal Affairs	In the reporting period, no queries from the United Nations Office of Legal Affairs were received in relation to the appropriateness of legal arrangements entered into by the secretariat. While the final audit report had not been issued as at 30 June 2017, no audit queries on the adequacy and appropriateness of legal arrangements entered into by the secretariat in the reporting period had been brought to the attention of the secretariat

**Objective 3: facilitate the effective operation of the compliance mechanism in support of the environmental integrity of the Kyoto Protocol and the credibility of the market mechanisms**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Compliance Committee takes decisions on the basis of the best available information	The level of satisfaction expressed by members and alternate members of the Compliance Committee regarding the secretariat's support. Baseline and target: a high level of satisfaction	No complaints were raised by members or alternate members of the Compliance Committee with respect to the support provided by the secretariat in the reporting period. Owing to the significant changes in the membership of the Compliance Committee in 2017, the next regular survey on the level of satisfaction of the members and alternate members will be conducted in the second half of 2017 and information on the results will be made available in the next budget performance report
The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) is provided with adequate and effective advice and support in the development of policy guidance to the Compliance Committee	The absence of complaints raised by Parties with respect to the legal advice and support provided by the secretariat in the development of policy guidance. Baseline and target: no complaints	The secretariat provided the CMP with support for the latter's consideration of the tenth annual report of the Compliance Committee, which was noted at CMP 12. No complaints were raised by Parties with respect to the legal support provided by the secretariat

Information on the actions taken by the Compliance Committee is made available to the Party concerned and other relevant actors, including the public, in a clear and timely fashion	Information on the actions taken by the Compliance Committee is made available in a clear and timely fashion. Baseline: ensure that 95 per cent of documents are issued within the required timelines. Target: ensure that 100 per cent of documents are issued within the timelines set out in the relevant procedures	In the reporting period, all Compliance Committee documents prepared by the secretariat were made available to the members and alternate members of the Compliance Committee and the public in accordance with the timelines set out in the annex to decision 27/CMP.1 and the annex to decision 4/CMP.2, as amended by decisions 4/CMP.4 and 8/CMP.9
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<sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under its Kyoto Protocol. In addition, while the objectives set out in the 2016–2017 budget relate to the Convention and the Kyoto Protocol only, owing to the early entry into force of the Paris Agreement, a number of outputs and results of the work of Legal Affairs in the reporting period relate also to the Paris Agreement.

Table 23

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The intergovernmental process is facilitated through the provision of information, in-depth insight and analysis, problem-solving and the treatment of delegates in accordance with protocol	The proportion of communications to which the Conference Affairs Services programme responds. Baseline and target: to ensure that the programme responds to 100 per cent of communications	The programme responded to all communications in a timely manner
Representatives of eligible Parties, including those eligible for funding through the Trust Fund for Participation in the UNFCCC Process, can attend all relevant meetings and actively participate in the process	The proportion of eligible participants funded  The average duration of the registration and accreditation process (waiting and processing time). Baseline and target: less than three minutes	The total number of 843 participants eligible for funding was expected for the sessions held during the reporting period. In total, 810 nominations were received and processed, of which 23 cancelled, leaving 787 participants from Parties eligible for funding effectively funded. Therefore, 97 per cent of eligible participants were funded and 3 per cent of nominations were cancelled  The average duration of the registration and accreditation process was 58 seconds

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

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

Input by observer organizations to the intergovernmental process is facilitated	The number of opportunities to make submissions to the negotiation process	In response to 35 calls for submissions from UNFCCC bodies, 337 observer submissions from around 300 organizations were processed
	The number of opportunities to intervene at plenary and contact group meetings as well as at in-session workshops	Of 199 opportunities facilitated, 141 were implemented
Side events and exhibits are facilitated at sessions, space permitting	Number and percentage of side event and exhibit applications processed versus received	All 1,426 combined applications for side events and exhibits received were processed
	Number and percentage of side events and exhibits implemented versus confirmed minus cancelled	All 607 confirmed side events and exhibits were implemented, excluding the 31 cancelled by the organizers

**Objective 3: facilitate the work of delegates and assist in the intergovernmental process by maintaining the quality, clarity and readability of documents and ensuring their timely availability**

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

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

<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	No complaints received with regard to conference facilities	Twelve sessions, as well as pre-session meetings of the four regional groups and 117 workshops and meetings, were held and no complaints with regard to conference facilities were received
	No complaints received with regard to sound, projectors, electricity, etc.	Twelve sessions, as well as pre-session meetings of the four regional groups and 117 workshops and meetings, were held and there were no complaints with regard to sound, projectors, electricity, etc.
	Percentage of stakeholders expressing satisfaction with the quality of conference services provided at sessions	Approximately 92 per cent of the survey respondents at the May 2016 sessions from Parties and observer organizations rated the overall quality of the conference services provided as good (60 per cent) or very good (32 per cent). The next client survey is planned for 2018

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

Table 24

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Communications and Outreach programme**
**Objective 1: communicate to Parties, observer organizations, the public and non-state actors authoritative, relevant and timely information regarding the UNFCCC process for action on climate change under and outside the Convention<sup>b</sup>**

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

**Objective 2: increase the engagement of all governmental and non-state actors inside and outside the UNFCCC process to foster higher ambition and action on climate change and the full implementation of the Convention<sup>c</sup>**

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

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

**Objective 3: facilitate the search and retrieval of UNFCCC documents and information and improve knowledge-sharing and collaboration<sup>d</sup>**

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

Obsolete records are destroyed in a confidential and controlled manner	A total of 452 retrieval requests were processed, making physical records and audiovisual recordings accessible to requesting staff as well as to external clients
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<sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under its Kyoto Protocol.

<sup>b</sup> Article 6(b) and Article 8, paragraph 2, of the Convention and Article 10(e) and Article 14, paragraph 2, of the Kyoto Protocol.

<sup>c</sup> Articles 6 and 8 of the Convention, Articles 10(e) and 14 of the Kyoto Protocol and decisions 36/CP.7, 11/CP.8, 7/CP.10, 9/CP.13, 1/CP.16, 7/CP.16, 2/CP.17, 15/CP.18, 23/CP.18 and 6/CMP.2.

<sup>d</sup> Articles 8 and 12 of the Convention, Article 14 of the Kyoto Protocol and document FCCC/CP/1996/2.

Table 25

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Support services meet user requirements	The proportion of information technology service requests responded to and completed within 90 days. Baseline: 70 per cent of requests. Target: 90 per cent of requests	During the reporting period, 21,093 work orders were created by the in-house service desk (excluding the externally contracted international transaction log (ITL) service desk). A total of 99.57 per cent were answered within the timelines specified in the service level agreement (SLA) and 72 per cent were resolved within the timelines specified in the SLA  The performance metrics set for the ITL service desk are: 90 per cent of phone calls answered within 10 seconds, no more than 5 per cent of calls abandoned (user hanging up before being answered) within 20 seconds and 85 per cent of emails answered within 30 minutes. These three targets were met and exceeded in the reporting period: 97.02 per cent of phone calls were answered within 10 seconds, 0.28 per cent of phone calls were abandoned within 20 seconds and 97.65 per cent of emails were answered within 30 minutes
Business-enabling systems, including collaboration and web services, are operated and maintained at agreed service levels	The average availability of business-enabling systems. Baseline: 95 per cent availability. Target: 98 per cent availability	Most business-enabling information systems have been outsourced to an external hosting provider and their monthly availability is governed by SLAs at between 99 and 99.9 per cent. In some cases, where the contractual SLA has been temporarily not met, the contractual service credit mechanism was automatically invoked. The overall stipulated performance target of 98 per cent was met according to available monthly reports from the service provider
Communications, the data centre and related infrastructure services are supplied in accordance with agreed service levels	Infrastructure services availability during service hours. Baseline: 95 per cent availability. Target: 98 per cent availability	According to available data from in-house monitoring systems, internal infrastructure services and dependant information systems exceeded on average the performance benchmark of 98 per cent

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Conferences and workshops are supported by effective and efficient information technology services	The proportion of conferences and workshops serviced at the agreed levels. Baseline and target: to ensure that 100 per cent are serviced at the agreed levels	During the reporting period, one session of the Conference of the Parties, two sessions of the subsidiary bodies and 83 workshops and small meetings were all serviced at 100 per cent of the agreed levels. In addition to services for conferences and meetings, services were also provided for 610

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

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

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

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

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

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

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

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

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

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

*Expected result(s)*

Mandated systems are provided to enable the compilation, analysis and management of data (greenhouse gas (GHG) data, inventories and other data)

*Performance indicator(s)*

Mandated systems meet the specified requirements and are delivered on time

*Performance data*

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

<p>Mandated systems are provided to support the review of national communications, inventories, biennial reports and biennial update reports and the publication of results to advance transparency (measurement, reporting and verification)</p>	<p>Mandated systems meet the specified requirements and are delivered on time</p>	<p>ICT maintained and provided releases for the compilation and accounting database and its connection to the ITL</p> <p>ICT created a business intelligence platform using the latest technology from Microsoft in order to manage and mine data and extract reports from the GHG data</p> <p>All mandated systems met the specified requirements as defined by the programmes and users and were delivered on time as agreed with the programmes</p> <p>ICT created GHG-based reports and review tools on top of the new business intelligence platform. The GHG reports are to be shared in advance on the UNFCCC website. The GHG-based reports and review tools are to be provided to the expert review teams in order to ensure the transparency of and verify Parties' submitted data, communications and reports</p> <p>Enhancements to the Virtual Team Room and biennial reporting common tabular format applications were implemented</p> <p>Both systems met the specified requirements as defined by the programmes and users and were delivered on time as agreed with the programmes</p>
<p>Additional required systems are provided to support the implementation of the Convention and the Kyoto Protocol, and the regulatory systems under the Kyoto Protocol</p>	<p>Mandated systems meet the specified requirements and are delivered on time</p>	<p>ICT developed a registry for nationally determined contributions and delivered enhancements and provided support for additional required systems, including but not limited to the finance and technology transfer portals, the standard electronic format reporting tool, the systems for the Nairobi work programme on impacts, vulnerability and adaptation to climate change and national adaptation plans and the capacity-building portal</p> <p>The systems met the specified requirements as defined by the programmes and users and were delivered on time as agreed with the programmes</p>

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

<sup>b</sup> Article 8, paragraph 2, of the Convention and Article 14, paragraph 2, of the Kyoto Protocol.

<sup>c</sup> Articles 8, paragraphs 2 and 12, of the Convention and Article 14 of the Kyoto Protocol.

<sup>d</sup> Article 12 of the Convention and Articles 5–8, 12 and 17 of the Kyoto Protocol.

Table 26

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
<p>Parties are kept fully informed with regard to the receipt and utilization of financial resources</p>	<p>Financial statements are made available to Parties in a timely manner</p>	<p>The audited financial statements for 2016 were completed on time and will be presented to the Subsidiary Body for Implementation in November 2017</p>
<p>Coherence and transparency in fundraising and the use of funds</p>	<p>The proportion of donor reports submitted on time. Baseline: 77 per cent in the period from January 2016 to June 2017. Target: to increase the proportion</p>	<p>The implementation of Umoja resulted in the need to manually combine two sets of financial data. Thus, a total of 33 per cent of donor reports were submitted on time</p>



Optimal budget implementation rate	Expenditure levels compared with the approved budget. Target: 99 per cent	The expenditure rate as at 30 June 2017 was 72.6 per cent, which is slightly below the linear rate of 75 per cent and is projected to meet the target
Compliance with United Nations financial regulations and rules and UNFCCC financial procedures	The implementation rate of audit recommendations relating to financial and administrative matters. Baseline: 83 per cent in the period from January to June 2014. Target: 90 per cent implementation rate	The final Board of Auditors report was not issued by 30 June 2017; however, the provisional report indicated that 91 per cent of audit recommendations were under implementation or fully implemented. The not implemented status of 9 per cent represented one audit recommendation that was not accepted by the UNFCCC

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Competent, motivated and geographically diverse staff balanced in gender are recruited and retained	The percentage of staff from Parties not included in Annex I to the Convention (non-Annex I Parties). As at 30 June 2015, 49 per cent of staff in the Professional category and above were from non-Annex I Parties. Target: to increase this percentage	As at 30 June 2017, 45.9 per cent of staff in the Professional and above category were from non-Annex I Parties
	<sup>a</sup> The percentage of women in posts in the Professional and higher categories. As at 30 June 2015, 41 per cent of staff in the Professional category and above were women. Target: to increase this percentage to 50 per cent	As at 30 June 2017, 40.2 per cent of staff in the Professional and above category were women
	The percentage of recruitments completed within the required time frame. Baseline: four months for a Professional post from advertising to approval by the Executive Secretary. Target: to reduce this time frame to three months	The average time frame for the completion of recruitment cases in the Professional and higher category in 2016 was 5.1 months, indicating a decrease of 0.4 months in comparison with the previous year
Staff are provided with adequate training and development opportunities, enabling them to achieve their full potential at work	The percentage of training costs versus total staff costs in the biennium 2014–2015 was 1.12 per cent. Target: to increase this to 2 per cent	The percentage of training costs versus total staff costs in the reporting period was 0.98 per cent

**Objective 3: provide travel, procurement and general services that adequately meet the needs of Parties and the secretariat<sup>d</sup>**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The travel of delegates and staff to official meetings is arranged effectively and efficiently	The proportion of participants attending meetings versus nominations	In total, 2,754 of 2,948 nominated participants attended official meetings (93 per cent)
The procurement of goods and services is carried out in a cost-effective and efficient manner in accordance with United Nations regulations	The percentage of procurement cases processed within established time frames	In total, 534 of 550 purchase orders were placed within the established time frames (97 per cent)
		In total, 60 of 93 tenders were completed within the established time frames (65 per cent)

and rules and with UNFCCC policies	<p>The average number of responses received per tender</p> <p>The price difference between offers selected and highest offers received</p>	<p>An average of four responses were received in response to each of the 93 tenders conducted</p> <p>The price difference was 33 per cent, or EUR 25,200, on a tender-by-tender basis</p>
The work environment in the secretariat is adequate, productive and sustainable	The per capita carbon footprint of the secretariat's facility operations and travel <sup>e</sup>	The secretariat's overall carbon footprint in the calendar year of 2015 was 3,765 tonnes of carbon dioxide equivalent (t CO <sub>2</sub> eq). Travel of participants generated 67 per cent of these emissions, staff travel 18 per cent and facility operations 15 per cent. Broken down per staff member and other personnel, this translates to 6.6 t CO <sub>2</sub> eq per capita in 2015, down from 9.4 t CO <sub>2</sub> eq in 2014

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

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

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

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

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