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气候变化框架公约

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## 附属履行机构

### 第四十三届会议

2015 年 11 月 30 日至 12 月 11 日，巴黎<sup>1</sup>

临时议程项目 15(a)

行政、财务和体制事项

2014-2015 两年期预算执行情况

## 截至 2015 年 6 月 30 日的 2014-2015 两年期预算执行情况

### 执行秘书的说明

#### 概要

本文件介绍秘书处管理的各信托基金在 2014-2015 两年期头 18 个月的预算执行情况，旨在向缔约方通报截至 2015 年 6 月 30 日的收入、支出和成果。截至 2015 年 6 月 30 日，已收到 3,660 万欧元，占两年期核心预算指示性缴款预计总额的 77.2%。参与《气候公约》进程信托基金收到自愿捐款 530 万美元；补充活动信托基金收到自愿捐款 2,400 万美元。2014-2015 核心预算已支出约 75.8%。已支出 3,000 万美元用于补充活动信托基金下的各种项目，并从参与《气候公约》进程信托基金中支出了 810 万美元用于支付符合条件的缔约方参加届会的费用。本报告还载有关于清洁发展机制信托基金、国际交易日志信托基金、德国政府特别年度捐款信托基金和方案支助费用状况的信息。本文件还提供关于人力资源的资料，并详细报告方案执行情况。

<sup>1</sup> 会期内的确切日期待确认。



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## 一. 引言

### 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 27/CP.19 号决定和第 10/CMP.9 号决定中核可了 2014 - 2015 两年期方案预算。缔约方会议还请执行秘书向 COP 报告收入和预算执行情况，并提出可能需要对方案预算作出的任何调整。

### B. 本说明的范围

2. 本文件报告秘书处管理的各信托基金截至 2015 年 6 月 30 日的收入和预算执行情况。本文件应与 FCCC/SBI/2013/6/Add.1 号文件和 FCCC/SBI/2015/INF.17 号文件一并阅读，前者载有秘书处 2014 - 2015 两年期工作方案，后者提供了截至 2015 年 11 月 15 日的缴款情况。本文件还提供了有关人力资源和方案执行情况的资料。

### C. 附属履行机构可采取的行动

3. 附属履行机构(履行机构)不妨注意本文件提供的资料，并决定若干可能需要列入行政和财务事项决定草案的行动，作为建议供 COP21 和 CMP21 通过。

## 二. 收入和支出报告

### A. 《气候公约》核心预算信托基金

4. COP 和 CMP 分别通过第 1 段所述决定核可了 2014 - 2015 两年期预算，总额为 5,460 万欧元(见表 1)。

表 1  
核定的 2014 - 2015 两年期核心方案预算和收入

	2014 年 (欧元)	2015 年 (欧元)	合计(欧元)
方案支出	23 456 787	24 644 318	48 101 105
方案支助费用	3 049 387	3 203 761	6 253 148
周转准备金调整	182 852	111 379	294 231
<b>核定核心方案预算合计</b>	<b>26 689 026</b>	<b>27 959 458</b>	<b>54 648 484</b>
指示性缴款	24 522 088	25 792 520	50 314 608
以往财务周期的缴款余额(结转)	1 400 000	1 400 000	2 800 000
东道国政府的捐款	766 938	766 938	1 533 876
<b>收入合计</b>	<b>26 689 026</b>	<b>27 959 458</b>	<b>54 648 484</b>

5. 表 2 显示《气候公约》核心预算信托基金两年期头 18 个月的实际收入，数额为 4800 万欧元。这一收入主要包括缔约方 2014-2015 年的指示性缴款 3660 万欧元，以往财务周期(即 2012-2013 两年期的结转额)的缴款余额 980 万欧元，以及东道国政府的自愿捐款 150 万欧元。

表 2

截至 2015 年 6 月 30 日的核心预算收入

	2014-2015 年(欧元)
2012-2013 年的结转额 <sup>a, b</sup>	9 789 287
2014-2015 年《公约》指示性缴款	25 623 174
2014-2015 年《京都议定书》指示性缴款	11 023 424
东道国政府的自愿捐款	1 533 876
预收未来年份的缴款 <sup>a</sup>	22 293
杂项收入和上期结余 <sup>a, c</sup>	676 544
<b>收入合计 <sup>d</sup></b>	<b>48 668 598</b>

<sup>a</sup> 在适用的情况下,所使用的汇率(1 美元=0.894 欧元) 是 2015 年 6 月 30 日的联合国官方汇率。

<sup>b</sup> COP 第 27/CP.19 号决定核准从以往财务周期的结余或缴款(结转)额中提取 2,800,000 欧元,作为 2014-2015 两年期预算的一部分。

<sup>c</sup> 在编写本文件时,截至 2015 年 6 月 30 日所得利息尚未计入账户。

<sup>d</sup> 周转准备金为 2,311,391 欧元。

6. 截至 2015 年 6 月 30 日,《公约》196 个缔约方、《京都议定书》192 个缔约方中有 125 个缔约方尚未支付 2015 年缴款。

7. 表 3 按方案列示了 2014 - 2015 年核定的核心预算,以及两年期头 18 个月的方案支出情况。截至 2015 年 6 月 30 日,支出额为 3650 万欧元,占 2014 - 2015 核定核心预算的 75.8%。

表 3

各方案 2014 - 2015 年核定核心预算和截至 2015 年 6 月 30 日的支出情况

	预算(欧元)	支出(欧元)	支出占预算的 百分比
<b>A. 方案</b>			
行政管理和领导	4 522 930	3 335 255	73.7
减缓、数据和分析	14 708 499	9 945 242	67.6
财务、技术和能力建设	5 604 480	4 282 899	76.4
适应	4 944 488	3 611 463	73.0
可持续发展机制	1 104 348	798 320	72.3
法律事务	2 675 020	1 706 768	63.8
会议事务服务	3 443 762	2 877 572	83.6
通信和外联	3 222 180	2 288 001	71.0
信息技术服务	5 898 825	4 792 211	81.2
<b>B. 全秘书处业务费用<sup>a</sup></b>	3 331 667	2 830 653	85.0
<b>小计(A + B)</b>	<b>49 456 199</b>	<b>36 468 384</b>	<b>73.7</b>
减去: 特别效率红利	1 355 094		
<b>合计<sup>b</sup></b>	<b>48 101 105</b>	<b>36 468 384</b>	<b>75.8</b>

<sup>a</sup> 全秘书处业务费用由行政事务方案管理。

<sup>b</sup> 不包括方案支助费用和周转准备金调整数。

8. 表 4 按支出用途显示 2014-2015 年核定核心预算及截至 2015 年 6 月 30 日的支出情况。“工作人员费用”包括工资和一般人事费、短期工作人员薪金、临时助理费用以及加班费。外部专家(包括个人和机构)列在“顾问”项下。工作人员公务差旅费与专家参加研讨会和非正式磋商的差旅费分开列出。对物品和服务供应商的付款以及电信费等日常费用合并列于“一般业务开支”项下。“赠款和捐款”包括支付驻德国波恩的联合国共同服务股(它向秘书处提供后勤和行政服务)的房舍管理费和政府对政府间气候变化专门委员会(气专委)的年度捐款。

表 4

按支出用途分列的 2014-2015 年核定核心预算及截至 2015 年 6 月 30 日的支出情况

支出用途	预算 (欧元)	支出 (欧元)	支出占预算的百分比
工作人员费用	37 007 614	26 275 721	71.0
顾问	1 827 728	2 266 021	124.0
专家组	2 316 885	1 102 627	47.6
工作人员旅费	1 489 512	1 091 508	73.3
一般业务开支	5 136 183	4 282 737	83.4
赠款和捐款	1 678 277	1 449 770	86.4
<b>小计</b>	<b>49 456 199</b>	<b>36 468 384</b>	<b>73.7</b>
减去：特别效率红利	1 355 094		
<b>合计<sup>a</sup></b>	<b>48 101 105</b>	<b>36 468 384</b>	<b>75.8</b>

<sup>a</sup> 不包括方案支助费用和周转准备金调整数。

9. 截至 2015 年 6 月 30 日，计入 3% 的特别效益红利，只有工作人员费用和工作人员旅费未达到 75% 的理想执行率。工作人员费用支出预计今后 6 个月中会有所增加，反映 2014-2015 学年教育津贴结算的情况。顾问费用业已超过 100% 的执行标准，反映出 2014 - 2015 年签约顾问和咨询机构数目超出预期。专家小组支出较低，原因是由于通用报告格式报告软件开发的拖延，对《公约》附件一缔约方(附件一缔约方)提交的温室气体清单审评专家需要减少。工作人员旅费支出率与报告期内在总部之外所举行的会议和研讨会的数目相称。对气专委两年期的赠款以及联合国波恩共同信息服务费均已付清。因此，“赠款和捐款”项下的支出率超过了 50% 的理想支出率。

## B. 参与《气候公约》进程信托基金

10. 参与《气候公约》进程信托基金利用自愿捐款支持符合条件的发展中国家缔约方和经济转型缔约方代表参加 COP 和 CMP 及其附属机构的会议。根据联合国贸易和发展会议公布的统计资料，2011 年人均国内生产总值未超过 14,000 美元的缔约方有资格获得资助。但对于小岛屿发展中国家和派员参加主席团的国家，该上限提高至 18,000 美元。对作为欧盟成员国的缔约方，不论其人均国内生产总值多少，均没有资格获得资助。

11. 表 5 显示参与《气候公约》进程信托基金截至 2015 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 530 万美元。迄今收到的捐款，加上 2012-2013 年的结转额、利息和杂项收入，收入共计 1150 万美元。

12. 2014-2015 两年期头 18 个月的支出为 810 万美元,用于支付符合条件的缔约方代表参加 6 次届会的费用,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,加上对信托基金的任何新的自愿捐款,将用于资助符合条件的缔约方代表参加德班加强行动平台问题特设工作组(特设工作组)的额外 2 届会议及 COP 21 和 CMP 11。截至 2015 年 6 月 30 日,2014 和 2015 年收到的自愿捐款为 460 万美元。为资助符合条件的缔约方代表参会,2015 年还需要额外捐款。符合资助条件的缔约方,如果有能力,有机会自行克制,不寻求参与《气候公约》进程信托基金的资助。从而可将现有资金分配给最需要支助的缔约方。

表 5

参与《气候公约》进程信托基金截至 2015 年 6 月 30 日的状况  
(美元)

<b>收入</b>	
2012-2013 年结转额	4 826 768
2014-15 年收到的自愿捐款	5 279 613
利息 <sup>a</sup>	17 963
杂项收入	1 358 264
<b>收入合计</b>	<b>11 482 608</b>
<b>支出</b>	
181 名与会者出席 ADP 第二届会议第四期会议的旅费	752 031
207 名与会者出席 SBI 40、SBSTA 40 和 ADP 第二届会议第五期会议的旅费	1 348 239
193 名与会者出席 ADP 第二届会议第六期会议的旅费	808 453
322 名与会者出席 COP 20/CMP 10 的旅费	2 126 982
197 名与会者出席 ADP 第二届会议八期会议的旅费	1 034 348
206 名与会者出席 SBI 42、SBSTA 42 和 ADP 第二届会议第七期会议的旅费	1 112 634
方案支助费用	933 749
<b>支出合计</b>	<b>8 116 436</b>
减去: 业务准备金	520 887
<b>余额</b>	<b>2 845 285</b>

缩略语: ADP=德班加强行动平台问题特设工作组, COP = 《公约》缔约方会议, CMP = 作为《京都议定书》缔约方会议的《公约》缔约方会议, SBI = 附属履行机构, SBSTA = 附属科学技术咨询机构。

<sup>a</sup> 在编写本文件之时,截至 2015 年 6 月 30 日 2015 年上半年所得利息尚未计入帐户。

## C. 补充活动信托基金

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

14. 表 6 显示补充活动信托基金截至 2015 年 6 月 30 日的收入和支出情况。

15. 报告所述期间收到的自愿捐款为 2400 万美元。补充活动信托基金的其他收入来源包括 2012-2013 两年期的结转额、联合执行收费、对捐助方的退款、利息收入和杂项收入，截至 2015 年 6 月 30 日，共计 6170 万美元。

16. 截至 2015 年 6 月 30 日，补充活动信托基金的支出为 3000 万美元。尚未支出的余额 2930 万美元，加上今后收到的自愿捐款，将用于资助正在开展的项目和活动，如图 16 所示，包括《公约》及其《京都议定书》之下众多不同工作领域的各个项目，如适应、气候融资、报告、支持谈判和技术。不会将补充活动信托基金下现有全部收入都分配到各个项目中。应捐款缔约方的请求，有些收入暂存，留到今后再行分配。

表 6

补充活动信托基金截至 2015 年 6 月 30 日的状况  
(美元)

<b>收入</b>	
2012-2013 年结转额	42 104 203
2014-2015 年收到的自愿捐款	24 018 689
联合执行收费	36 600
利息 <sup>a</sup>	152 916
对捐助方的退款	(420 913)
杂项收入 <sup>b</sup>	(4 150 859)
<b>收入合计</b>	<b>61 740 635</b>
<b>支出</b>	
支出	26 779 115
方案支助费用	3 189 663
<b>支出合计</b>	<b>29 968 777</b>
减去：业务周转金	2 500 000
<b>余额</b>	<b>29 271 858</b>

<sup>a</sup> 在编写本文件之时，截至 2015 年 6 月 30 日 2015 年上半年所得利息尚未计入帐户。

<sup>b</sup> 包括向参与《气候公约》进程信托基金的转款、前期结余和汇率波动损失 320 万美元。



## D. 清洁发展机制信托基金

17. 表 7 重点说明清洁发展机制信托基金截至 2015 年 6 月 30 日的收入和支出情况。2014-2015 两年期的收入为 2.089 亿美元，主要包括前一个两年期结转的资金 1.939 亿美元和清洁发展机制收费 1,460 万美元。

18. 截至 2015 年 6 月 30 日的支出为 4400 万美元，未支出余额为 1.649 亿美元，在减去 4,500 万美元业务准备金后，未支出余额为 1.199 亿美元。清洁发展机制执行理事会在密切监测这一状况，特别是有关清洁发展机制今后的可持续问题，并将向 CMP 报告。

表 7

清洁发展机制信托基金截至 2015 年 6 月 30 日的状况  
(美元)

<b>收入</b>	
2012-2013 年结转额	193 940 704
清洁发展机制收费	14 648 168
利息 <sup>a</sup>	1 104 946
收费退款	(999 398)
杂项收入 <sup>b</sup>	175 038
<b>收入合计</b>	<b>208 869 458</b>
<b>支出</b>	
支出	39 185 468
方案支助费用	4 820 029
<b>支出合计</b>	<b>44 005 498</b>
减去：业务准备金	45 000 000
<b>余额</b>	<b>119 863 960</b>

<sup>a</sup> 在编写本文件之时，截至 2015 年 6 月 30 日 2015 年上半年所得利息尚未计入帐户。

<sup>b</sup> 包括前期结余。

## E. 国际交易日志信托基金

19. 表 8 显示国际交易日志信托基金截至 2015 年 6 月 30 日的收入状况。2014 - 2015 年的收入为 1150 万欧元，主要包括上一个两年期结转的资金 660 万欧元和收费 480 万欧元，占 2014 - 2015 年收费的 86.8%。

表 8

国际交易日志信托基金截至 2015 年 6 月 30 日的收入状况  
(欧元)

收入	
2012-2013 年的结转额 <sup>a</sup>	6 584 441
2014-2015 年国际交易日志收费	4 755 618
杂项收入和前期结余 <sup>a, b</sup>	194 254
<b>收入合计</b>	<b>11 534 313</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元=0.894 欧元)是 2015 年 6 月 30 日的联合国官方汇率。

<sup>b</sup> 在编写本文件之时，截至 2015 年 6 月 30 日 2015 年上半年所得利息尚未计入帐户。

<sup>c</sup> 业务准备金为 227,970 欧元。

20. 表 9 按支出用途显示国际交易日志信托基金 2014 - 2015 年的核定预算及截至 2015 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。

表 9

按支出用途分列的国际交易日志信托基金 2014-2015 年核定预算及截至 2015 年 6 月 30 日的支出状况

支出用途	预算 (欧元)	支出 (欧元)	支出占预算的百分比
工作人员费用	1 467 460	943 657	64.3
订约人和顾问	3 032 806	2 295 430	75.7
专家组	20 000	17 480	87.4
工作人员旅费	50 000	3 628	7.3
一般业务开支和共同服务缴款	281 000	87 500	31.1
<b>合计 <sup>a</sup></b>	<b>4 851 266</b>	<b>3 347 694</b>	<b>69.0</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)

21. 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 2015 年 6 月 30 日，已全额收到 2014 - 2015 年的捐款。德国政府特别年度捐款信托基金(波恩基金)收到的捐款用于支付报告所述期间在波恩举行会议的后勤安排费用。

22. 表 10 显示波恩基金 2014 - 2015 年截至 2015 年 6 月 30 日的收入和支出情况。在减去支出总额、对捐赠者的退款和业务准备金 340 万欧元后，基金未支出余额为 205,117 欧元，将于 2015 年底前全部支出。

表 10

波恩基金截至 2015 年 6 月 30 日的状况  
(欧元)

<b>收入</b>	
2012-2013 年结转额 <sup>a</sup>	294 036
捐款	3 579 044
杂项收入和前期节余 <sup>a, b</sup>	1 604
<b>收入合计</b>	<b>3 874 684</b>
<b>支出</b>	
会议支助	2 452 975
会议信息支助	465 797
共同服务费用分摊	68 424
方案支助费用	388 335
<b>支出合计</b>	<b>3 375 531</b>
减去：对捐助方的退款	25 836
减去：业务准备金	268 200
<b>结余</b>	<b>205 117</b>

<sup>a</sup> 在适用情况下，所使用的汇率(1 美元=0.894 欧元)是 2015 年 6 月 30 日的联合国官方汇率。

<sup>b</sup> 在编写本文件之时，截至 2015 年 6 月 30 日 2015 年上半年所得利息尚未计入帐户。

## G. 方案支助费用

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

24. 表 11 显示方案支助费用的状况。截至 2015 年 6 月 30 日，收入为 3210 万美元，包括从上一个两年期结转的资金 1620 万美元、方案支助费用收入 1570 万美元，以及其他收入 226,103 美元。

25. 在报告所述期间，1675 万美元用于支付工作人员和非工作人员费用。这包括 2013 年下半年和 2014 年全年联合国日内瓦办事处所提供的主要费用。但截至 2015 年 6 月 30 日，2015 年前 6 个月的费用尚未支付。在减去业务准备金 201 万美元后，方案支助费用特别账户未支出余额为 1,330 万美元。应指出的是，信托基金余额目前在减少，截至 2015 年 6 月 30 日，支出超过同一日期的收入 100 万美元。其他一些原因包括在 2014-2015 核准预算中有四个职位从核心预算转到该信托基金，以及执行国际公共部门会计准则和准备转到新的联合国企业资源规划系统 - Umoja。

表 11

方案支助费用特别账户截至 2015 年 6 月 30 日的状况  
(美元)

<b>收入</b>	
2012-2013 年结转额	16 183 618
各信托基金支付的方案支助费用收入	15 701 295
杂项收入、利息、前期节余	226 103
<b>收入合计</b>	<b>32 111 016</b>
<b>支出</b>	
秘书处工作人员费用	12 154 024
秘书处非工作人员费用	3 395 051
联合国提供的服务费用	1 200 997
<b>支出合计</b>	<b>16 750 072</b>
减去：业务准备金	2 016 932
<b>结余<sup>a</sup></b>	<b>13 334 012</b>

<sup>a</sup> 在编写本文件之时，截至 2015 年 6 月 30 日所得利息尚未计入帐户。

### 三. 方案执行

26. 方案执行所依据的是秘书处 2014-2015 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，本章应与概述该工作方案的 FCCC/SBI/2013/6/Add.1 号文件一并阅读。

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

## A. 要点

28. 执行秘书行使其权力，处理必须处理的预算限制/减少带来的综合问题，以及必须提高效率和效率的问题。响应缔约方提供的指导，所采取的步骤包括减少工作人员费用(通过空缺管理及冻结或取消职位)、减少非工作人员费用及其他适当措施。因此，秘书处因应《公约》及其《京都议定书》变化的要求而调整资源方面取得了重大进展，对有关支持基于市场机制资源的改组和缩减，以及精简信息和通信技术(信通技术)服务。秘书处继续采取有针对性的主动行动，提高各工作领域具体业务的效率和效力，包括采购和支持温室气体清单审评、两年期报告和国家信息通报。

29. 在 2014–2015 两年期的头 18 个月中，秘书处为气专委谈判以及《公约》及其《京都议定书》之下所设各机构提供了战略和后勤支持，包括支持：

- (a) COP 和 CMP 在秘鲁利马举行的一届会议，11,222 人与会；
- (b) 履行机构及科学技术咨询机构(科技咨询机构)各三届会议；
- (c) 特设工作组 6 届会议；
- (d) 组成机构在波恩和其他地方举行的共 127 次会议。

30. 2015 年 1 月推出了气候行动非国家行为者区域门户网站(NAZCA)<sup>2</sup>，展示各公司、城市、国内各地区和投资者承诺采取行动，应对气候变化，建立势头，支持在法国巴黎举行的 COP 21/CMP 11 达成一项普遍气候协定。

31. 秘书处支持推敲在特设工作组第二届会议第八期会议上提出的谈判案文(下称“日内瓦案文”)，以及特设工作组第二届会议第九期会议按照相关法律和程序要求及惯例开展工作提出的精简和合并的案文。

32. 推出了一个在线平台，以便利所有缔约方交流拟作出的国家自主贡献(INDCs)<sup>3</sup>，秘书处与联合国开发计划署(开发署)合作组织了一些区域对话，以帮助各国拟定国家自主贡献。

33. 秘书处完成了对附件一缔约方第一轮国际评估和审评进程技术审评的协调工作。在国际评估和审评框架内，在履行机构第四十一届会议上首次对附件一缔约方进行了全经济范围目标执行情况多边评估，涵盖 17 个缔约方，第二次多边评估将在履行机构第四十二届会议上进行，涵盖 24 个缔约方。

34. 秘书处为开展首次气候融资流量两年期评估和概览以及资金机制第五次审查提供了支持。

35. 秘书处继续努力让广泛的利害关系方参与支持实施关于影响、脆弱性和气候变化适应的内罗毕工作方案(内罗毕工作方案)，从而使伙伴组织数目及其承诺的行动数目有所增加。

<sup>2</sup> <http://climateaction.unfccc.int>。

<sup>3</sup> [http://unfccc.int/focus/indc\\_portal/items/8766.php](http://unfccc.int/focus/indc_portal/items/8766.php)。

36. 推出了新闻室<sup>4</sup>，有效地展示了《公约》的成就，展示了各国政府、企业和民间社会气候行动的全球浪潮。

## B. 行政领导和管理

37. 行政领导和管理方案提供战略指导，确保秘书处的工作总体上协调一致，并保持与其他组织，包括联合国系统和气候变化进程中的关键利害关系方的战略合作和伙伴关系。

38. 在报告期内，行政领导和管理注重建立势头，为 COP 21/CMP 11 取得重大成果提供支持，以此作为气候变化进程史上的一个里程碑事件。在这方面，行政领导和管理协调秘书处支持谈判巴黎成果，包括组织和支持特设工作组 2014 年的 4 届会议，2015 年 2 月和 6 月的 2 届会议。行政领导和管理还协调全秘书处谈判支助的实质方向，以及开展优先活动，包括协调和调动资金，发展透明的系统，支持拟作出的国家自主贡献，并进一步发展经济手段，支持气候行动。行政领导和管理在秘书处培育并部署了各项重大创新，包括在特设工作组范围内加强探索 2020 年前的减缓机会，以及进一步开发 NAZCA 门户网站。

39. 行政领导和管理还与 COP 20/CMP 10 和 COP 21/CMP 11 的各位主席密切合作，十分注重宣传国家、区域和地方各级以及非国家行为者采取的大量气候行动。作出了极大的努力，支持利马——巴黎行动议程，这是秘鲁和法国政府、秘书长执行办公厅和秘书处的一项联合主动行动。利马——巴黎行动议程旨在在 2020 年前加快实地的气候行动，涉及国家和非国家行为者，作为单个实体或超越传统机构框架的伙伴关系发挥作用。此外，执行秘书参加了法国总统牵头举行的活动，旨在让最脆弱社区、企业界和宗教团体的利害关系方参与。

40. 在报告期内，秘书处继续积极参与联合国系统内的活动，即气候变化方案工作组高级别委员会和联合国系统 2015 年后发展议程工作组，以及支持秘书长气候变化支持小组。

41. 行政领导和管理还为 COP 和 CMP 主席和主席团提供战略和组织支持。在报告期内安排了四次主席团会议，并与候任主席和未来几任主席(法国和摩洛哥)举行了一系列会议。为有关政府间会议的所有安排提供了支持，这些会议除其他外涉及《气候公约》政府间进程的未来演变和效力。

42. 在秘书处作为一个组织的发展方面，今年上半年作出了重大努力，以根据碳市场的发展情况调整其资源基础，并调整对可持续发展机制方案所需的支持。行政领导和管理另一个重点是转变今年初推出的信通技术安排，旨在精简信通技术服务，并通过减少核心内部资源和外包特定的服务，确保更高的成本效益。

<sup>4</sup> <newsroom.unfccc.int>。

43. 为了继续提高秘书处业务的效率, 培育争取最高绩效和创新的文化, 加强对缔约方的支持, 执行秘书倍加努力, 采取各项主动行动, 确保一个一致和面向结果的战略框架。

## C. 减缓、数据和分析

44. 减缓、数据和分析方案便利《公约》之下的衡量、报告和核查进程(在有关国家信息通报、两年期报告或两年期更新报告、温室气体清单和其他方面), 为非附件一所列缔约方(非附件一缔约方)提供技术援助, 并支持有关减缓的政府间谈判和相关问题, 如 REDD+<sup>5</sup> 和应对措施。

45. 在特设工作组之下, 该方案直接支持减缓、拟作出的国家自主贡献、追求力度和透明度相关问题。该方案响应第 1/CP.20 号决定, 推出了一个在线平台, 以便利所有缔约方通报拟作出的国家自主贡献, 并与开发署合作, 安排了区域对话, 以帮助各国拟定拟作出的国家自主贡献。<sup>6</sup> 该方案正在协调关于拟作出的国家自主贡献总体影响的综合报告, 和一份为决策者的简要报告。

46. 作为执行衡量、报告和核查进程的一部分, 在报告期内, 减缓、数据和分析方案:

(a) 完成了对附件一缔约方第一轮国际评估和审评进程技术审评的协调工作。在国际评估和审评框架内, 在履行机构第四十一届会议上首次对附件一缔约方进行了全经济范围目标执行情况多边评估, 涵盖 17 个缔约方, 第二次多边评估将在履行机构第四十二届会议上进行, 涵盖 24 个缔约方;

(b) 继续协调对附件一缔约方提交的温室气体清单和补充资料的年度审评进程。2015 年 7 月 10 日, 该方案提前完成了《京都议定书》第八条之下第一个承诺期的专家审评进程, 而截止日期是 2015 年 8 月 10 日。<sup>7</sup> 从而能够及时开始第一个承诺期的最后核算和履约进程。2015 年, 该方案与信息技术服务方案合作, 努力改进通用报告格式软件, 以最大限度地减少拖延推出该软件对清单提交和审评的影响;

(c) 保持和加强有关两年期报告、两年期更新报告、国家信息通报和温室气体清单所需的所有专家培训;

(d) 技术专家组着手开展国际磋商和分析, 包括对第一批两年期更新报告的技术分析;

(e) 安排了若干区域能力建设研讨会, 关于适合本国的减缓行动和适合本国的减缓行动市场及适合本国的减缓行动登记册加强的职能;

(f) 全面支持进一步发展和开展 REDD+ 活动。

<sup>5</sup> 在第 1/CP.16 号决定, 第 70 段中, 缔约方会议鼓励发展中国家缔约方为森林部门的缓解行动作出贡献, 为此应开展以下活动, 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; 可持续森林管理; 加强森林碳储存。

<sup>6</sup> 在本文件编写之时, 第三次额外的次区研讨会的筹备工作正在进行。

<sup>7</sup> 第 3/CMP.10 号决定, 第 1 段。

47. 减缓、数据和分析方案支持非《公约》附件一所列缔约方国家信息通报专家咨询小组的工作，包括关于国家信息通报、两年期更新报告、远程学习和技术专家小组的工作。

48. 该方案通过关于执行应对措施的影响问题论坛，继续支持缔约方的应对措施，支持报告汇编。

## D. 财务、技术和能力建设

49. 财务、技术和能力建设方案支持缔约方、特别是非附件一缔约方执行《公约》及其《京都议定书》，包括在履行机构、科技咨询机构、COP、CMP 和特设工作组之下的谈判。该方案还协调秘书处对科技咨询机构的支持，确保其有效和高效运转。

50. 在报告期内，该方案支持融资问题常设委员会的 4 次会议和执行 2014-2015 年工作计划，<sup>8</sup> 包括支持安排 2014 年 6 月举行的第二次融资问题常设委员会信息交流论坛，<sup>9</sup> 开展首次气候融资流量两年期评估和概览，进行资金机制第五次审查和起草对其业务实体的指导意见，以及有关森林融资的一致性和协调工作。该方案还组织了两次关于长期融资的会期研讨会，汇编和综合了发达国家缔约方提交的关于扩大气候融资的战略和办法。该方案在 2015 年 6 月组织了一次科技咨询机构/履行机构/融资问题常设委员会关于附件一缔约方报告资金信息的联合会期技术研讨会，并编写了一份关于现有报告资金信息国际方法的技术文件。财委会更新了资金门户网站，<sup>10</sup> 包括发达国家缔约方第六次国家信息通报和第一次两年期报告中所载气候资金信息。该方案还继续与全球环境基金和绿色气候基金联络。

51. 该方案支持组织技术执行委员会的三次常会和一次非正式总结会议，以及执行技术执行委员会 2014-2015 年滚动工作计划，包括组织关于适应技术和国家创新制度的两次研讨会，关于气候技术融资与分布式可再生能源发电及并网的两次专题对话，以及编写两份技术执行委员会关于适应技术的简介。该方案还支持技术执行委员会开展各种活动，加强落实关于技术转让的波兹南战略方案技术需求评估和评价的结果。对技术信息交换所(TT: CLEAR) 的改进包括推出一个技术门户网站，<sup>11</sup> 其中有来自技术需求评估报告的 650 多项技术行动计划和项目构想。该方案继续与作为气候技术中心和网络东道组织的联合国环境规划署密切合作，积极参与气候技术中心和网络咨询委员会会议和关于非附件一缔约方技术转让问题国家指定实体的区域论坛。

<sup>8</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/standing\\_committee/items/6877.php](http://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/6877.php)。

<sup>9</sup> 见 [http://unfccc.int/cooperation\\_and\\_support/financial\\_mechanism/standing\\_committee/items/7561.php](http://unfccc.int/cooperation_and_support/financial_mechanism/standing_committee/items/7561.php)。

<sup>10</sup> <http://www3.unfccc.int/pls/apex/f?p=116:1:1237430653152939> 。

<sup>11</sup> [http://unfccc.int/ttclear/pages/tech\\_portal.html](http://unfccc.int/ttclear/pages/tech_portal.html) 。



52. 该方案安排了德班能力建设论坛第 3 和第 4 次会议，更新了《气候公约》能力建设网页，包括能力建设门户网站。<sup>12</sup> 该方案通过与伙伴机构和组织联络，促进落实发展中国家能力建设框架。该方案还安排了关于《公约》第六条的第 2 和第 3 次对话会，通过以下工作推动落实关于《公约》第六条的多哈工作方案：协调联合国气候变化教育、培训和宣传联盟；<sup>13</sup> 联合国儿童、青年和气候变化联合框架倡议；<sup>14</sup> 和进一步促进信息网络交换所。

## E. 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、制定和执行旨在减少脆弱性和建设抗御能力的适应计划、政策和行动，改善国际气候政策和行动的科学基础，包括有关这些事项的政府间工作和谈判。在报告期内，该方案提供便利：

(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>15</sup>

(二) 与处理与气候变化影响相关损失和损害方法有关的工作(例如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运作及其首个工作计划的制定)；<sup>16</sup>

(三) 制定和实施国家适应计划(例如分享在应用制定国家适应计划初步指南方面所获经验，国家适应计划技术会议和与适应委员会合作举办的国家适应计划研讨会)；<sup>17</sup>

(b) 执行最不发达国家专家组工作方案(例如举行其第 25、26、和 27 次会议及国家适应计划展览)，一系列广泛组织参与对执行其工作方案作出贡献(例如区域培训研讨会)；<sup>18</sup>

(c) 日益增多的伙伴组织、内罗毕工作方案之下的全球和区域中心及网络参与，及其承诺的行动，有效分享所采取的相关适应行动的信息和知识，包括通过内罗毕工作方案 eUpdate, 3 份半年期进度报告和 8 次内罗毕工作方案联络点论坛；<sup>19</sup>

<sup>12</sup> <http://unfccc.int/capacitybuilding/core/activities.html>。

<sup>13</sup> 见<[http://unfccc.int/cooperation\\_and\\_support/education\\_and\\_outreach/education\\_and\\_training/items/8958.php](http://unfccc.int/cooperation_and_support/education_and_outreach/education_and_training/items/8958.php)>。

<sup>14</sup> 见<[http://unfccc.int/cooperation\\_and\\_support/education\\_and\\_outreach/youth/items/8968.php](http://unfccc.int/cooperation_and_support/education_and_outreach/youth/items/8968.php)>。

<sup>15</sup> 见<[unfccc.int/6053](http://unfccc.int/6053)>。

<sup>16</sup> 见<[unfccc.int/6056](http://unfccc.int/6056)>。

<sup>17</sup> 见<<http://unfccc.int/6057>>。

<sup>18</sup> 见 <http://unfccc.int/4727>。

<sup>19</sup> 见 <http://unfccc.int/8036>。

(d) 2013–2015 年审查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 (例如系统专家对话第 3 和第 4 次会议及其最后报告的编写);<sup>20</sup>

(e) 气候研究信息流动(例如研究对话第 6 和第 7 次会议), 加强观测, 以支持有关备灾和适应工作(例如与全球气候观测系统和气专委的联合研讨会),<sup>21</sup> 和向缔约方介绍气专委第五次评估报告的关键结论。<sup>22</sup>

54. 该方案支持特设工作组之下有关长期和 2020 年前适应方面及损失和损害方面问题的谈判(例如拟作出的国家自主贡献进程和在特设工作组第二届会议第五期会议期间举行的关于城市环境的一次技术专家会议)。

55. 在各个工作流程之下, 该方案与各多边、国际、区域和国家组织, 以及若干区域和国际研究方案和组织合作。

## F. 可持续发展机制

56. 可持续发展机制方案安排了清洁发展机制执行理事会的 9 次会议, 其小组委员会和工作组的 21 次会议。该方案安排了联合执行监督委员会(监委会)的 3 次会议及其有关联合执行认证程序的工作。这两个监管机构提交 CMP 10 的年度报告<sup>23</sup> 重点介绍 2014 年各次会议涉及的问题。提交 CMP 11 的年度报告将重点介绍 2015 年会议涉及的问题。

57. 有关项目和实体评估的工作有所减少, 而在制订标准化基线及改进方法学领域的工作量却有所增加。<sup>24</sup>

58. 活动重点是让其他政府间组织参与, 包括区域合作中心的工作, 区域合作中心支持清洁发展机制贷款办法并为缔约方一级的机构服务, 除其他外, 协助:<sup>25</sup> 将清洁发展机制视为航空部门基于市场的机制; (在能源部门)更多采用清洁发展机制的方法, 通过在试验拍卖办法范围内与世界银行的持续合作, 以及通过碳发展倡议, 对可能有困境风险的清洁发展机制项目提供直接资金支助; 并支持统一量化温室气体的方法, 通过参与国际金融机构工作组, 促进使用清洁发展机制。

59. 区域合作中心继续侧重于: 支持项目和活动方案, 项目周期内有 144 项活动得到推进; 确定 43 个可能的新项目; 支持 90 个标准化基线, 产生了 13 份提交材料; 清洁发展机制的政策制定, 以加强这一机制; 支持基于结果的融资及区域/当地能

<sup>20</sup> 见 <http://unfccc.int/6998>。

<sup>21</sup> 见 <http://unfccc.int/science/items/6990.php>。

<sup>22</sup> 见 <http://unfccc.int/1077>。

<sup>23</sup> FCCC/KP/CMP/2014/5 和 FCCC/KP/CMP/2014/4。

<sup>24</sup> CDM 文件, CDM-EB85-A04, 可参阅  
<http://cdm.unfccc.int/UserManagement/FileStorage/XLDP10K5TS9JMFA3EZ68CNIR4GYBQ2>。

<sup>25</sup> CDM 文件, CDM-EB85-A04。

力建设,包括 26 项技术活动(研讨会、圆桌会议、诊所和培训课程)和两个区域合作中心全球论坛。

60. 该方案组织了 12 次利害关系方干预活动,其中包括:清洁发展机制圆桌会议的未来;指定国家主管部门论坛;非洲、拉丁美洲和加勒比、以及亚太地区区域研讨会和培训;非洲和拉丁美洲碳论坛;2015 年的一次部长级对话,产生了“马拉喀什气候行动呼吁”,鼓励各缔约方利用清洁发展机制,以弥合 2020 年之前差距,增加减缓力度并提供基于结果的融资。此外,还为指定经营实体举行了 7 次在线会议,目的是开展能力建设,进行磋商以及作为考试工作队的一部分工作,使指定经营实体的人员符合资格,这是认证标准中的一项要求。

61. 关于增加对核证减排量(CERs)的需求和使用清洁发展机制的工作,推动基于(a)履约和 (b) 自愿目的接受核证减排量,其中包括 2014 年下半年建立一个网页,提供关于自愿注消的信息,并报告清洁发展机制登记册中的此种注消。在 2015 年上半年期间,总共仅注消 130 多万核证减排量。

## G. 法律事务

62. 在报告期内,法律事务方案及时向《公约》及其《京都议定书》各理事机构、附属机构和组成机构,以及执行秘书、秘书处各方案和缔约方提供了权威法律咨询和有效服务。

63. 政府间进程是法律事务方案两年期头 18 个月主要工作领域之一。除直接支持各机构议程下各个项目的审议外,该方案还就 COP、CMP、履行机构、科技咨询机构和特设工作组工作的程序和实质方面问题提供了法律咨询和支助。一个特别重点是向 2015 年协议谈判提供实质性支助。该方案支持拟订 COP 20 通过的决定,其中包括谈判案文草案的内容,以及日内瓦案文及精简与合并特设工作组第二届第九期会议产生的案文。该方案协调秘书处的努力,根据相关法律和程序要求及惯例通报日内瓦案文。

64. 法律事务方案促成了华沙国际机制投入运作。它继续向适应委员会、融资问题常设委员会、技术执行委员会、清洁发展机制执行理事会和监委会提供法律咨询和支持。该方案还协助独立的绿色气候基金秘书处支持绿色气候基金董事会的工作。此外,该方案就落实《公约》及其《京都议定书》之下的报告和审查要求,包括在履行机构第四十二届会议上启动的多边评估进程提供了法律支持和咨询意见。该方案还就有关《京都议定书》第一个承诺期履约评估筹备工作提出了建议。

65. 该方案提供支持,努力确保秘书处的运作符合联合国的条例和细则,符合 COP 和 CMP 的相关决定,它为在秘书处总部以外举行的《气候公约》会议和研讨会谈判和缔结法律文书提供支持,并做出公私伙伴关系安排,以支持秘书处的活动。该方案协助与秘鲁政府成功谈判并缔结有关 COP 20 和 CMP 10 的东道国协定,与法国政府谈判并缔结有关 COP 21 和 CMP 11 的东道国协定。与秘书处其他同事合作,该方案支持谈判并就自愿注销核证减排量的在线采购工具做出合同安排。还向《气

候公约》和《联合国防治荒漠化公约》联合地方合同委员会和联合地方财产调查委员会提供法律咨询。

66. 除了维护秘书处和《气候公约》进程的利益外，该方案还与在波恩的其他联合国组织密切协调，与东道国讨论其各自总部协定的执行情况。

67. CMP 要求秘书处采取一切必要措施，促进执行第 1/CMP.8 决定，因此，该方案就批准多哈修正案向缔约方提供咨询意见，并与联合国环境规划署环境法与公约司法律事务办公室条约科合作，以促进多哈修正案生效。

68. 法律事务方案向履约委员会全体会议的九次会议，以及促进事务组和执行事务组在报告期内的各次会议提供技术、行政和后勤支持，并在同一时期安排了两次入职会议及第二次与清单主任评审员的联合研讨会。

## H. 会议事务服务

69. 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。

70. 对会议事务服务方案而言，这段时期十分繁忙。该方案为《气候公约》共计 6 次会议作出了后勤安排，包括一次 COP/CMP 会议——联合国日历上规模最大的年度会议。有关安排涉及安全、缔约方和观察员组织登记和与会，处理 1382 名符合资格的缔约方代表的资金支助请求，以及文件编辑和处理。该方案还支持了组成机构在波恩和国外举行的 127 次会议和讲习班。在报告期内，2015 年下半年届会的准备工作正在有序进行。

71. 会议事务服务方案将观察员参与《气候公约》进程提高到比过去多年更高的水平。它评估了希望被接纳为 COP 20 和 COP 21 观察员的共 361 份申请，促进了观察员与会，并为 121 次发言以及观察员提交 180 份材料提供了机会。该方案收到并处理了 882 份会外活动申请和 311 份展览申请。与先前报告期相比，该方案使更多观察员和缔约方参与，便利 278 个缔约方和观察员以及秘书处举办 229 场展览，717 个缔约方和观察员以及秘书处举行 383 次会外活动。该方案还就如何参与《气候公约》进程的方式与利害关系方联络，涉及约 8 万封电子邮件，其中包括关于上述参与模式的信函。

72. 会议事务服务方案采取了超过先前报告的增效措施，包括推出一个网上接纳系统，通过它来申请观察员地位，<sup>26</sup> 对缔约方和观察员的网上登记系统进行升级，<sup>27</sup> 并为缔约方和观察员创建虚拟信息共享平台。<sup>28</sup> 该网页载有观察员如何参与

<sup>26</sup> 见 <https://oas.unfccc.int/oas/>。

<sup>27</sup> 见 <http://pvsreg01.unfccc.net/applications/onlinereg>。

<sup>28</sup> 见 <https://seors.unfccc.int/seors>。

《气候公约》进程的信息，该网页通过更明晰的结构，纳入更多的信息而得到了加强。<sup>29</sup>

73. 针对联合国内部事务监督厅(内部监督厅)关于启动客户反馈机制的建议，该方案要求登记参加 COP 20/CMP 10 的缔约方和观察员组织参加关于会议服务质量的一次在线调查。超过 93%的受访者将质量评为“良”或“优”。该方案还按照监督厅的建议，出版了一本如何组织缔约方会议的手册，拟用作未来东道方的一个重要参考工具。

74. 在本报告期内，该方案共处理了 575 份正式文件。在有待翻译的 61 份会前文件中，57%在截止日期前提交供发布。现有拖延大多是由于收到提交材料的日期或文件所涵盖的会议日期。通过部署电子文件管理系统，提高了文件编写和发布的效率。

75. 只通过电子版提供会议每日活动安排，并采取限量按需印刷办法等节纸措施，现已成为届会的惯常做法，因此，COP 20/CMP 10 期间用纸量减少了 82%。该方案对每日活动安排进行了全面审查。2015 年下半年将以新的简洁的形式加以部署。

76. 该方案改善了通过《气候公约》网站获取正在谈判的案文草案电子版的方式；这些案文现在可从每届会议的网页获取，届会网页是会议期间《气候公约》网站的登陆页面。

## I. 通信和外联

77. 通信和外联方案的总体目标是管理外部通信、在线公共信息、媒体关系及服务，包括内部知识管理服务。履行这些职能以支持《公约》及其《京都议定书》进程，执行缔约方会议的决定，以便通过促进应对气候变化的积极行动与政策，尽可能施加最大影响。

78. 在报告期内，通信和外联方案以联合国六种正式语文中的三种语文——英文、法文和西班牙文推出了一个新闻室，有效地展示了《公约》的成就和各国政府、企业和民间社会气候行动的全球浪潮。以此成就为基础，启动了一个重大项目，重振整个《气候公约》的网上存在，针对不断增加的希望采取气候行动的大众，保护和改善现有用户体验。

79. 在报告期内，共有 2037065 用户浏览了 10086493 网页。《气候公约》的苹果智能手机/平板电脑应用程序 Negotiator 被下载和更新了约 10,000 次。秘书处 YouTube 频道浏览次数为 336,286 次，订阅者有 2,274 个，Flickr 帐户现有 2,012 张会议和执行秘书外联活动照片，浏览量超过 500,000 次。秘书处的 Google+ 页面目前有 7,800 名关注者，浏览次数超过 650,000 次。

<sup>29</sup> 见<[https://seors.unfccc.int/seors?session\\_id=COP21](https://seors.unfccc.int/seors?session_id=COP21)>，  
<[http://unfccc.int/parties\\_and\\_observers/ngo/items/3667.php](http://unfccc.int/parties_and_observers/ngo/items/3667.php)> 和  
[http://unfccc.int/parties\\_and\\_observers/igo/items/3720.php](http://unfccc.int/parties_and_observers/igo/items/3720.php)。

80. 该方案以英文和西班牙文发布两份秘书处电子通讯。英文版约有 15,000 名订阅者，西文版约有 6,000 名订阅者。

81. 在报告期内，通信和外联方案在推特上共发布 2,500 条推文，在《气候公约》脸书网页上发布 620 条信息。秘书处的推特帐户超过了 19 万条推文大关，秘书处脸书帐户粉丝增加到 117,000 人。

82. 该方案继续执行驱动变革倡议，以此为手段承认积极的气候解决方案。2014 年 3 月 31 日至 5 月 27 日开放呼请提交申请。秘书处收到了 143 份申请，其中 107 份被认为合格。12 项活动被最终选定为灯塔活动。

83. 该方案为以下机构举行的会议提供了网播服务：监委会(2)、清洁发展机制执行理事会(7)、适应委员会(3)、履约委员会(5)、技术执行委员会(4)、融资问题常设委员会(5)、特设工作组(6)、附属机构(3)和 COP /CMP(1)，从而促进了政府间进程的透明度。在报告期内，20 多万《气候公约》网站访问者观看了网播。

84. 该方案继续与媒体密切合作，协助处理了 424 项提供资料的请求、119 项媒体采访请求、编写了 67 份新闻稿、35 份媒体通知，11 份媒体稿、54 份演讲/视频发言稿、114 篇编辑/意见文章。并认可了 1361 名媒体代表出席正式会议。

85. 该方案继续通过内联网为秘书处提供内部通信服务，通过秘书处的内部通讯与工作人员共享信息/新闻，从而在整个秘书处内促进一种合作和参与的氛围。在报告期内，11 期通讯浏览量共计 139,000 页。开发了一个全秘书处的分类系统，应用于公共网站正式文件，更容易组织和检索。

## J. 信息技术服务

86. 信息技术服务方案提供信息和通信技术，以支持秘书处履行其任务。该方案提供信通技术支持，使政府间气候变化谈判得以进行，并促进《公约》及其《京都议定书》下所设机构的工作。

87. 在 2014-2015 两年期的头 18 个月中，信息技术服务方案为政府间气候变化谈判和各机构提供了信通技术支持，包括 COP 和 CMP 在利马举行的 1 届会议；履行机构和科技咨询机构的 3 届会议；特设工作组的 6 届会议；清洁发展机制执行理事会的 9 次会议及其专家组和工作组的 21 次会议；监委会及其有关联合执行认证程序的 3 次会议；和 100 多个研讨会和虚拟参与的小型会议。

88. 在报告期内，信息技术服务方案推出了一个新的操作系统和电子邮件系统，采取了信通技术安全措施并继续将信息系统整合到一个商业数据中心，以便进行优化和提高效率。

89. 作为 2014 年下半年开始的转型努力的一部分，信息技术服务方案制定了一项 3 年期信通技术战略，并加强了管理结构和流程，确保监督全秘书处的信通技术服务提供情况。此外，更详细的信息和通信技术项目组合管理方法也已到位，以确保提高服务提供和定期报告服务提供状态的效率。

90. 作为国际交易日志管理人,该方案完成了对国际交易日志系统的一项重大技术更新,包括应用程序和数据库系统基础设施,同时采用了新的标准电子格式报告工具,改进了国际交易日志系统,以支持《京都议定书》第二个承诺期。

91. 2014 年 1 月 1 日至 2015 年 6 月 30 日,信息技术服务方案开发人员对 50 多个各种新的和增强的信息通信技术项目做出了贡献,包括落实《2006 年气专委国家温室气体清单编制指南》,从而使秘书处和及其利害关系方具有了新的或更新的能力。在此期间,信息技术服务方案除其他外交付了:

(a) 规定的系统: 拟作出的国家自主贡献提交门户、报告温室气体清单的通用报告格式系统、汇编和核算数据库、温室气体数据接口、清洁发展机制和联合执行信息系统、清洁发展机制登记册、适合本国的减缓行动登记册、两年期报告-通用表格格式、两年期报告-虚拟团队室、清单虚拟团队室、专家名册和多边评估;

(b) 支持缔约方要求的系统:《气候公约》提交门户网站;国家适应计划中心网;气候变化资金门户网站;能力建设门户网站;TT: CLEAR;和可持续发展共同效益工具;

(c) 业务扶持系统:电子正式文件系统;新的预算工具;管理团队决定目录网站;工作人员任务清单规划数据库;计时会计系统;会议规划与执行系统;在线登记系统、特殊活动在线申请系统和观察员组织接纳系统;以及有关造势、驱动变革和利害关系方互动倡议的宣传和外联系统。

92. 此外,秘书处的协作平台(基于微软 SharePoint 和 Dynamics 的一个客户关系管理系统)得到了技术加强,该平台为内部和外部各方提供服务,并被用作授权应用程序平台。信息技术服务方案还增强了其建立并支持该平台的能力。

## K. 行政服务

93. 行政服务方案的总体职能是在以下方面提供核心服务:秘书处人力和财务资源管理、拟定财务和行政政策和指南,以及提供采购管理、房舍管理、设施管理和旅行安排服务。

94. 行政服务方案为联合国审计委员会进行的秘书处首次国际公共部门会计准则审计提供了便利。经过对截至 2014 年 12 月 31 日年度财务报表的审计,提出了第一套符合国际公共部门会计准则的财务报表,审计委员会注意到,以前的审计结果有 83%得到落实,仅提出了 3 项新的审计建议。该方案继续便利调动、分配和谨慎使用资金资源。该方案还支助执行秘书编写和提交 2016 - 2017 年两年期概算。

95. 该方案采取进一步措施,以确保有一支平衡的和干练的工作人员队伍,包括通过更严格的遴选程序和技术。截至 2015 年 6 月 30 日,共完成了 88 例招聘案,包括 52 个专业职位和 36 个一般事务职位。该方案制定并实施了内部申诉程序、尊严工作倡议和职业发展框架,以提高生产率、工作场所的健康和工作人员的职业发展。由于采取了这些措施:工作人员的关切得到更有效的处理;工作人员和管理人员之

间更加相互尊重和信任，创造了更高效的工作环境；工作人员更有条件对本组织的总体业绩作出有效贡献。

96. 行政服务方案在整个秘书处实行了新的新的业绩管理程序，以提高效力，将个人业绩和组织目标联系起来，更加注重成果管理制、管理问责制和透明度。

97. 在报告期内，该方案为获提名的 4,437 人参加 COP、CMP、各附属机构和特设工作组会议以及 168 次《气候公约》其他正式活动作出了旅行安排。有关这些旅行安排的与会率为 86%，未到会的原因是另有工作或个人安排与会议冲突、健康问题、签证问题或错过航班等。该方案还便利向符合条件的谈判进程参与者支付资金支助。2014 年 6 月会议期间和之后进行的一项调查发现，89% 的与会者将该方案提供的服务评为“良”或“优”。

98. 该方案以竞争和具有成本效益的方式采购货物和服务。在报告期内，行政服务方案管理了 1066 项采购案，共计 26,617,385 美元，其中 2/3 以上根据长期协议进行。平均每起新的招标收到 8 份报价，所选择的出价平均比收到的最高报价便宜 43%。超过 98% 的采购都是在规定时限内处理的。

99. 东道国政府拟通过新增一栋建筑，在 2018 年将整个秘书处集中到波恩联合国办公区。行政服务方案协调秘书处参与新楼的设计，并谈判 2015 年 5 月完工的毗连会议中心的使用条件。该方案还领导秘书处作出努力，争取在工作中实现气候中性，衡量并报告其温室气体排放量、推出减排措施，以及通过购买和注消核证减排量来抵销剩余的排放量。

#### 四. 补充信息

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



## Annex I

[English only]

**Human resources: staff**

1. Table 12 shows the number of approved posts and filled posts by grade and source of funding. As at 30 June 2015, of the 558.5 approved posts, 462 had been filled. Three of these posts were 50 per cent posts (half-time posts) and one full-time post had been filled with part-time staff working only 50 per cent of the time, thus increasing the actual number of staff to 464. In addition, 19 Professional and 18 General Service level staff members had been hired under temporary assistance contracts, bringing the total number of staff at the secretariat to 502.

Table 12

**Approved established posts and filled posts by source of funding as at 30 June 2015**

	ASG	D-2	D-1	P-5	P-4	P-3	P-2	P-1	Subtotal	GS	Total
<i>Trust Fund for the Core Budget</i>											
Approved	1	3	7	13	37	42	17		120	53.5	<b>173.5</b>
Filled <sup>a</sup>	1	3	7	13	34	36	13		107	50.5	<b>157.5</b>
<i>Trust Fund for Supplementary Activities</i>											
Approved				4	7	22	24		57	27	<b>84</b>
Filled				3	4	15	20		42	20	<b>62</b>
<i>Trust Fund for the Clean Development Mechanism</i>											
Approved			2	4	20	47	59		132	55	<b>187</b>
Filled			1	4	19	37.5	40		101.5	38	<b>139.5</b>
<i>Trust Fund for the International Transaction Log</i>											
Approved					2	3	1		6	1.5	<b>7.5</b>
Filled					2	3	1		6	1.5	<b>7.5</b>
<i>Trust Fund for the Special Annual Contribution from the Government of Germany (Bonn Fund)</i>											
Approved							1		1	7	<b>8</b>
Filled							1		1	6	<b>7</b>
<i>Special account for conferences and other recoverable costs<sup>b</sup></i>											
Approved							2		2	4	<b>6</b>
Filled							1		1	4	<b>5</b>
<i>Programme support (overhead)</i>											
Approved			1	2	3	13	9		28	64.5	<b>92.5</b>
Filled			1	2	3	12	8		26	57.5	<b>83.5</b>
<b>Total</b>											
<b>Approved</b>	<b>1</b>	<b>3</b>	<b>10</b>	<b>23</b>	<b>69</b>	<b>127</b>	<b>113</b>		<b>346</b>	<b>212.5</b>	<b>558.5</b>
<b>Filled</b>	<b>1</b>	<b>3</b>	<b>9</b>	<b>22</b>	<b>62</b>	<b>103.5</b>	<b>84</b>		<b>284.5</b>	<b>177.5</b>	<b>462</b>

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

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

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

2. Table 13 provides information on the geographical distribution of the staff appointed at the Professional level and above. As at 30 June 2015, Western European and other States accounted for the highest percentage (40.4 per cent) of staff appointed at the Professional level and above, whereas the African States accounted for the lowest (8.4 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 2015<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>
ASG			1			<b>1</b>
D-2	1				2	<b>3</b>
D-1	4	1	1		3	<b>9</b>
P-5	4	7	2	3	6	<b>22</b>
P-4	5	15	6	8	28	<b>62</b>
P-3	5	37	11	7	44	<b>104</b>
P-2	5	23	15	9	32	<b>84</b>
<b>Total</b>	<b>24</b>	<b>83</b>	<b>36</b>	<b>27</b>	<b>115</b>	<b>285</b>
Percentage of total	8.4	29.1	12.6	9.5	40.4	<b>100.0</b>

*Abbreviations:* ASG = Assistant 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 2015, the percentage of staff from non-Annex I Parties at the Professional and higher levels was 49.1 per cent, compared with 50.9 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>
ASG		1
D-2	2	1
D-1	3	6
P-5	9	13
P-4	36	26

<i>Grade</i>	<i>Annex I Parties</i>	<i>Non-Annex I Parties</i>
P-3	55	49
P-2	40	44
<b>Total</b>	<b>145</b>	<b>140</b>
Percentage of total	59.1	49.1

*Abbreviations:* ASG = Assistant 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 2015, the percentage of female staff at the Professional and higher levels was 40.6 per cent, down by 3.1 per cent from June 2014. The percentage of female staff at all levels was 52.2 per cent as at 30 June 2015, a decrease of almost 1 per cent since 30 June 2014.

Table 15

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

<i>Grade</i>	<i>Male</i>	<i>Female</i>
ASG		1
D-2	3	
D-1	6	3
P-5	16	6
P-4	37	25
P-3	64	40
P-2	52	32
<b>Subtotal</b>	<b>178</b>	<b>107</b>
GS	44	135
<b>Total<sup>b</sup></b>	<b>222</b>	<b>242</b>
Percentage of total	47.8	52.2

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

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

<sup>b</sup> Of the 462 filled posts, four are filled with part-time staff, therefore increasing the actual number of staff members by two.

## Annex II

[English only]

## Projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2014–2015

Table 16

**Income and expenditure of projects and events funded from the Trust Fund for Supplementary Activities in the biennium 2014–2015 as at 30 June 2015**

<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	343 261	298 699	44 562
Supporting negotiations and new institutional arrangements aimed at enhancing the implementation of the Convention and its Kyoto Protocol	2 211 248	1 255 872	955 375
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)	959 029	639 981	319 048
Review of the work on innovation	28 055	29 222	(1 167)
Groundswell 2.0	158 593	5 093	153 500
<i>Mitigation, Data and Analysis</i>			
Supporting communication by and the consideration of information from developing countries on the implementation of the Convention	1 742 525	1 077 287	665 239
Maintaining the database system for the annual compilation and accounting of emission inventories and assigned amounts under the Kyoto Protocol	641 121	309 068	332 053
Supporting activities relating to land use, land-use change and forestry: reducing emissions from deforestation and forest degradation, enhancement of carbon sinks and the role of sinks in future mitigation actions	1 967 047	490 307	1 476 740
Providing training for expert review teams and organizing meetings of the lead reviewers	2 126 577	913 871	1 212 706
Supporting the implementation of national greenhouse gas (GHG) inventories and related activities by Parties not included in Annex I to the Convention, including national forest monitoring systems	1 577 998	887 772	690 226
Developing and maintaining the UNFCCC information systems for the receipt and processing of GHG data, including the UNFCCC submission portal, the virtual team room and the GHG data interface	283 039	115 982	167 057

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
Supporting activities relating to the scientific, technical and socioeconomic aspects of mitigation of climate change	7 486	–	7 486
Facilitating the implementation of the work programme for the revision of the “Guidelines for the preparation of national communications by Parties included in Annex I to the Convention, Part I: UNFCCC reporting guidelines on annual inventories” and the use of the Intergovernmental Panel on Climate Change 2006 IPCC Guidelines for National Greenhouse Gas Inventories	300 622	141 365	159 256
Supporting the implementation of enhanced action on mitigation by developing country Parties	1 852 162	825 550	1 026 612
Supporting activities relating to the impact of the implementation of response measures	33 899	29 070	4 829
Supporting the work programme for the development of modalities and guidelines for enhanced reporting and review by developed country Parties, in accordance with decision 1/CP.16, paragraph 46, and implementing the relevant requirements of decision 2/CP.17	2 311 453	715 970	1 595 482
Redesigning and developing the software for the reporting of GHG emissions by all Parties to the Convention	2 101 055	1 294 643	806 412
Developing, deploying and operating a beta version of the nationally appropriate mitigation action registry	349 125	228 404	120 721
Technical dialogue on nationally determined contributions towards a 2015 agreement	1 217 634	880 052	337 582
Supporting the operationalization of an international consultation and analysis process for developing country Parties	529 553	143 981	385 571
<i>Finance, Technology and Capacity-building</i>			
Support for implementing the programme of work of the Expert Group on Technology Transfer and the technology transfer framework <sup>b</sup>	76 766	76 766	–
UNFCCC fellowship programme	71 597	49 123	22 474
Supporting capacity-building in developing countries and countries with economies in transition	546 737	197 711	349 026
Supporting the implementation of a work programme on Article 6 of the Convention and Article 10(e) of the Kyoto Protocol: networking and exchange of information and good practices	314 141	197 472	116 668
Supporting the full operation of the Technology Mechanism	897 539	476 950	420 589
Providing support to the functioning of the Standing Committee on Finance	1 163 075	605 735	557 340
Supporting the work programme on long-term finance	600 892	235 291	365 601

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
Strengthening gender mainstreaming in climate change action and the UNFCCC process through advocacy, outreach and capacity-building	259 439	120 040	139 399
<i>Adaptation</i>			
Supporting the least developed countries and the Least Developed Countries Expert Group	2 590 483	2 225 437	365 047
Supporting the implementation of the Nairobi work programme on impacts, vulnerability and adaptation to climate change	1 038 956	847 545	191 411
Supporting activities relating to climate change science, research and systematic observation	399 527	124 832	274 694
Supporting the implementation of the Cancun Adaptation Framework	2 320 543	1 065 027	1 255 516
Supporting the periodic review of the adequacy of the long-term global goal referred to in decision 1/CP.16, paragraph 4	302 319	83 691	218 628
Supporting the implementation of adaptation mandates of a cross-cutting nature, including those relating to the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP), stakeholder engagement, communications and outreach	73 008	38 926	34 082
<i>Sustainable Development Mechanisms</i>			
Supporting the operation of joint implementation	8 493 815	1 391 868	7 101 946
Elaborating modalities and procedures for the inclusion of carbon dioxide capture and storage in geological formations as project activities under the clean development mechanism	11 890	—	11 890
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	195 617	—	195 617
Organizing a workshop on the review of the modalities and procedures of the clean development mechanism	35 433	—	35 433
<i>Legal Affairs</i>			
Handbook on the UNFCCC	142 425	112 841	29 584
Providing support to the Compliance Committee	212 795	109 929	102 866
<i>Conference Affairs Services</i>			
Supporting stakeholder engagement in the UNFCCC process	990 380	495 495	494 885

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
Developing a handbook and film documentary on conference management	327 469	195 917	131 552
Servicing the first part of the second session of the ADP	338 169	–	338 169
Servicing the fourth part of the second session of the ADP	1 502 729	1 233 602	269 127
Providing a temporary structure during the fortieth sessions of the subsidiary bodies	590 897	590 897	–
Servicing COP 20 and CMP 10	582 046	82 045	500 000
Servicing the sixth part of the second session of the ADP	1 245 013	1 125 611	119 403
Developing the electronic Official Document System	203 041	145 983	57 058
Servicing the eighth part of the second session of the ADP	1 088 078	896 550	191 528
Servicing the tenth part of the second session of the ADP	862 783	23 719	839 065
Servicing the eleventh part of the second session of the ADP	1 018 999	5 438	1 013 561
Servicing the forty-second sessions of the subsidiary bodies and the ninth part of the second session of the ADP	995 575	1 006 711	(11 136)
<i>Communications and Outreach</i>			
Developing an online portal for UNFCCC information in Spanish	424 578	255 346	169 232
Developing country media training in the run-up to COP 20 and COP 21	81 936	27 483	54 453
Momentum for Change	1 423 508	1 159 701	263 807
Relaunching the UNFCCC website: phase II – from negotiation support to climate action	995 333	432 372	562 961
Momentum for Change: Women for Results	815 900	673 139	142 762
Mobile application for smartphones, tablet computers and mobile devices	41 638	–	41 638
Momentum for Change: Information and Communications Technology Solutions	414 500	219 327	195 173
Communications and Outreach travel with and in support of the Executive Secretary	68 399	17 879	50 520
Establishing a photo library to enhance the quality and availability of Communications and Outreach photos	68 399	29 363	39 036
Maintaining the internal newsletter and developing the intranet	25 000	–	25 000

<i>Project</i>	<i>Income (USD)<sup>a</sup></i>	<i>Expenditure (USD)</i>	<i>Balance (USD)</i>
Establishing an electronic library and knowledge management	3 776	–	3 776
Internal communications – maintenance of the internal newsletter and intranet development	1 287	1 287	–
Managing and preserving sound recordings of all the sessions of the Conference of the Parties and of the subsidiary bodies of the UNFCCC	73 008	38 242	34 766
Managing and preserving video recordings of all the sessions of the Conference of the Parties and of the subsidiary bodies of the UNFCCC	10 320	–	10 320
<i>Information Technology Services</i>			
Replacing the e-mail and instant messaging system	134 664	–	134 664
Undertaking phase I of developing sustainable support for the UNFCCC collaboration platform	416 998	332 046	84 952
Modernizing the UNFCCC data warehouse	1 164 701	1 129 960	34 742
Enhancing responsiveness, efficiency and accountability by strengthening secretariat relationship management and communications with Parties and observers	154 562	57 641	96 920
UNFCCC submission portal	23 541	–	23 541
<i>Other expenditure</i>			
Junior Professional Officers	1 125 575	558 043	567 532
<i>Green Climate Fund</i>			
Supporting the work of the Transitional Committee for the design of the Green Climate Fund	35 000	–	35 000
Supporting the secretariat of the Green Climate Fund <sup>c</sup>	986 030	993 606	(7 575)
<b>Total</b>	<b>58 722 311</b>	<b>29 968 777</b>	<b>28 753 533</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.

<sup>b</sup> The final settlement of the project was processed in the biennium 2014–2015.

<sup>c</sup> In response to a request by the secretariat of the Green Climate Fund, funding under this project continued to be used for various administrative activities, including travel to the meeting of the Board of the Green Climate Fund.



## Annex III

[English only]

**Programme performance data for the period from 1 January 2014 to 30 June 2015**

Table 17

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The secretariat's response to the priorities of and requests by Parties is coherent and well-coordinated. It effectively supports emerging issues	<p>The proportion of mandated outputs delivered and delivered on time. Actual results for the period January 2010 to June 2011: 98 per cent output delivery and 89 per cent delivered on time. Delays mostly related to the late submission of required input from sources outside of the secretariat.<sup>a</sup> Target: to reduce the number of cases where delays were mainly caused by factors under the control of the secretariat</p> <p>The level of satisfaction of Parties with the work of the secretariat. Actual result for 2010:<sup>b</sup> 75 per cent of all respondents agreed or strongly agreed with the statement that their level of satisfaction with the work of the secretariat was consistently high. Target: to increase the level of satisfaction</p>	<p>A total of 362 mandates required the secretariat to deliver outputs during the reporting period, including some that required ongoing output delivery. In 90 per cent of cases, outputs were fully delivered on time or output delivery was ongoing and expected to be delivered on time</p> <p>Information on the level of satisfaction of Parties with the work of the secretariat will be made available in the budget performance report covering the period 1 January 2016 to 30 June 2017</p>

**Objective 2: to ensure optimal secretariat support for the Conference of the Parties and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, thus enabling progress to be made in the intergovernmental process**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Climate change intergovernmental meetings are well organized in all aspects, including the logistical, procedural and substantive support provided to Parties. The Presidents of the Conference of the Parties (COP) and the COP Bureau are well	<p>The level of satisfaction of Parties with the secretariat's support of negotiation sessions. Actual results for 2010: 61 per cent of respondents either agreed or strongly agreed with the following statement: "Logistical arrangements provided by the secretariat during mandated conferences and similar events met our requirements". Altogether, 89</p>	<p>Information on the level of satisfaction of Parties with the secretariat's support of negotiation sessions will be made available in the budget performance report covering the period 1 January 2016 to 30 June 2017</p>

informed and able to carry out their functions effectively	per cent of respondents either agreed or strongly agreed with the following statement: "Substantive input and procedural advice provided by the secretariat for mandated conferences, meetings and events met our requirements". Target: to increase the level of satisfaction	
	The level of satisfaction of the COP President and the COP Bureau with the secretariat's support	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 1 January 2016 to 30 June 2017

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Information on the UNFCCC process is effectively communicated by the secretariat	The level of satisfaction of Parties with the information provided. Actual result for 2010: 81 per cent of the respondents either agreed or strongly agreed with the following statement: "The secretariat's overall communication with us was appropriate and effective". Target: to increase the level of satisfaction	No monitoring tool is in place. Previously, data were provided by the United Nations Department of Public Information but it has discontinued this practice and within the secretariat it was not possible to carry out continuous analysis with existing communications resources
Support provided by the United Nations intergovernmental agencies and other stakeholders to Parties in the implementation of the Convention is enhanced, including through the development of new and innovative partnerships	The number of partnerships formalized with a memorandum of understanding	Eight partnerships were concluded during the reporting period

**Objective 4: to 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	The net cost savings resulting from efficiency measures	During the reporting period, a report on efficiency gains resulting from measures undertaken in the period 2012–2013 was published. <sup>c</sup> Additional initiatives have been undertaken during the reporting period. As the secretariat does not have a mandate to provide an official report on efficiency gains in the biennium 2014–2015, no monitoring is in place

	<p>The amount of greenhouse gas (GHG) emissions (measured in carbon dioxide equivalent) avoided per sessional meeting of the COP and the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and their subsidiary bodies as a result of measures undertaken by the secretariat</p>	<p>The major part of GHG emissions from sessions of the COP/CMP and their subsidiary bodies is generated by travel activities. Within this area, the secretariat can effectively undertake measures concerning the travel of its staff</p> <p>In the reporting period, sessions of the COP/CMP and all subsidiary bodies took place in Lima, Peru; two separate sessions of the subsidiary bodies took place in Bonn, Germany; two separate sessions of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) also took place in Bonn and one separate session of the ADP took place in Geneva, Switzerland. The emissions from staff travel to sessions in this period add up to 848.5 t CO<sub>2</sub> eq, thereof 836 t CO<sub>2</sub> eq relating to the COP/CMP and 12.5 t CO<sub>2</sub> eq to the ADP in Geneva. Some secretariat staff voluntarily downgraded their tickets to Lima, thus saving 43.5 t CO<sub>2</sub> eq. Part of the secretariat's staff took the train to Geneva rather than an airplane, thus avoiding 3 t CO<sub>2</sub> eq of emissions. Furthermore, by holding two ADP sessions in Bonn rather than Geneva, another 31 t CO<sub>2</sub> eq were avoided, and even more if the sessions had been held in other historical locations of ad hoc working groups such as Bangkok, Thailand, or Panama City, Panama</p>
Competent and motivated staff representing a broad geographical spectrum and gender balance are recruited, trained and retained	<p>The percentage of staff from Parties not included in Annex I to the Convention (non-Annex I Parties). Actual figures as at March 2013: 50 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 figures as at March 2013: 41 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 staff satisfaction with their job, management and development opportunities. Actual figures as at June 2011: more than 70 per cent of staff participating in a secretariat-wide survey expressed a high level of satisfaction with their job and secretariat management. Altogether, 42 per cent of the respondents expressed the view that they had adequate opportunities to advance their career. Target: to increase the level</p>	<p>A total of 49 per cent of staff in the Professional and higher levels were from non-Annex I Parties as at 30 June 2015</p> <p>A total of 37 per cent of staff in the Professional and higher levels were women as at 30 June 2015</p> <p>A staff satisfaction survey was due in the third quarter of 2015 but in view of COP 21 and additional sessions of the ADP, it was decided to postpone the survey to the first half of 2016. Therefore, information on the level of staff satisfaction with their jobs, management and development opportunities will be provided in 2016 following the next staff satisfaction survey</p>

	of staff satisfaction	
The secretariat has the required financial resources to implement mandates given to it by the COP and the CMP	<p>The percentage of mandated outputs that cannot be delivered as a result of insufficient funding. Actual result for the period January 2010 to June 2011: less than 1 per cent. Target: to reduce this percentage to 0 per cent</p> <p>The contribution rate to the core budget. Actual result for the period January 2010 to June 2011: 79 per cent of the indicative contributions for the biennium 2010–2011 had been received by the secretariat by 30 June 2011. Target: to increase the contribution rate</p> <p>The proportion of actual expenditure compared with the approved budget. Actual result for the biennium 2010–2011: 98 per cent. Target: to maintain this percentage in the biennium 2014–2015</p>	<p>Sufficient funding was available for the delivery of all mandated outputs</p> <p>EUR 38.8 million or 72.9 per cent of the total core budget indicative contributions expected for 2015 had been received as at 30 June 2015</p> <p>The implementation rate of the core budget had reached 75.8 per cent through to June 2015. While this is above the ideal rate of 75 per cent, it is expected that the target will be reached by the end of the biennium</p>
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	Of the six audit recommendations made for the biennium 2012–2013, five (83 per cent) were implemented and one (17 per cent) is under implementation

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

<sup>b</sup> A survey on the level of satisfaction of Parties with the work of the secretariat was conducted in 2010.

<sup>c</sup> See document FCCC/SBI/2014/INF.4.

Table 18

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

**Objective 1: to support Parties included in Annex I to the Convention in the communication and consideration of information related to implementation (Articles 4 and 12 of the Convention, Articles 5, 7 and 8 of the Kyoto Protocol and decisions 10/CP.2, 31/CP.7, 17/CP.8, 3/CP.8, 2/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, 22/CP.19; 13/CMP.1, 14/CMP.1, 15/CMP.1, 16/CMP.1, 20/CMP.1, 22/CMP.1, 27/CMP.1, 8/CMP.5, 2/CMP.7, 3/CMP.7, 4/CMP.7, 5/CMP.7, 1/CMP.8, 2/CMP.8, 7/CMP.8, 12/CMP.8 and 9/CMP.9)**

<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 Annex I Parties under the Convention and its Kyoto Protocol	All greenhouse gas (GHG) inventories from Annex I Parties as well as relevant supplementary information submitted on time during the biennium 2014–2015 are received and reviewed by international expert teams within the mandated time frames	All 44 2014 submissions of GHG inventories from Annex I Parties and the relevant supplementary information have been received and processed in accordance with the relevant guidelines. This includes timely preparation of the annual status reports for 2014 and of the 2014 version of part I of the synthesis and assessment report for Annex I Parties

		<p>Preparations for the technical reviews of the 2015 GHG inventory submissions from Annex I Parties have been launched; at the time of writing, only two submissions have been received and processed. Generally, much fewer than the usual number of submissions are expected in 2015 because of the delay in the readiness of the CRF Reporter software</p>
	<p>All national communications as well as relevant supplementary information and biennial reports from Annex I Parties due by 1 January 2014 are received and reviewed by international expert teams and relevant reports are published within the biennium 2014–2015</p>	<p>Starting from 1 January 2014, the due date for submissions, the Mitigation, Data and Analysis (MDA) programme received and processed all submissions of the sixth national communications and biennial reports from Annex I Parties. As part of the international assessment and review process that was launched with the submission of the above-mentioned reports, the secretariat coordinated the technical reviews of the submissions of the sixth national communications and biennial reports from 43 Parties</p>
	<p>All mandated initial reports submitted by Annex I Parties with emission reduction commitments in the second commitment period under the Kyoto Protocol by 15 April 2015 are received and processed by 30 June 2015 with all relevant information made available on the UNFCCC website</p>	<p>This activity was delayed because of the incompleteness of agreed guidance from Parties on methodological, accounting and review modalities for the second commitment period as well as the delay in the readiness of the CRF Reporter software</p>
<p>The UNFCCC is recognized as an authoritative source of GHG data for Annex I Parties</p>	<p>All reports and other documentation prepared within the framework of the reporting and review processes for Annex I Parties are made available in accordance with agreed timelines</p>	<p>A report on mitigation action and two compilation and synthesis reports of implementation by Annex I Parties under the Convention and the Kyoto Protocol are in preparation for consideration by the Conference of the Parties (COP) at its twentieth session/the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its tenth session</p> <p>The secretariat made four full updates of its online GHG database (the GHG data interface; see &lt;<a href="http://unfccc.int/ghg_data/items/3800.php">http://unfccc.int/ghg_data/items/3800.php</a>&gt;) during the reporting period, including updates for both Annex I Parties and non-Annex I Parties</p> <p>Reports and other documentation required in the negotiations were prepared as required during the reporting period. Examples include reports on the meetings of the lead reviewers in March 2014 and March 2015, and technical papers to facilitate the negotiations on the revised review guidelines for GHG inventories from Annex I Parties and the revision of the reporting guidelines for the national communications of developed country Parties under the Subsidiary Body for Implementation (SBI)</p>
	<p>The two key annual UNFCCC data reports (the GHG data reports under the Convention and the compilation and accounting reports under the Kyoto Protocol)</p>	<p>The 2014 versions of the GHG data report under the Convention and the compilation and accounting reports under the Kyoto Protocol<sup>b</sup> were made available to the relevant sessions of the SBI and the CMP in Lima, Peru, in December 2014. Preparation</p>

	are considered by the COP and the CMP	of the 2015 versions of the reports is planned to start in the second part of 2015
	In total, 95 per cent or more of all data-related enquiries received by the secretariat are answered within one week	In the first half of the year, MDA received 130 enquiries that required action. Of these, 99 per cent were answered within one week, exceeding the success criteria by 4 per cent
The international assessment and review (IAR) of GHG emissions and removals relating to quantified economy-wide emission reduction targets for developed country Parties is facilitated	The proportion of mandated outputs with respect to the further development of IAR delivered and delivered on time	All relevant mandates have been fulfilled on time
	The first round of the IAR process under the SBI is completed within the biennium 2014–2015	Multilateral assessment (MA) under the SBI was conducted for 40 Parties during SBI 42 and SBI 43. The MA for the remaining two Parties is planned for SBI 44 in December 2015
Training courses are updated and a sufficient number of experts are trained and ready to participate in the reviews under the Convention and its Kyoto Protocol	The number of experts participating in the training courses per year. Baseline and target: up to 60 experts per year	Refresher seminars for experienced reviewers were organized in March 2014 and in March 2015. Sixty-four experts participated in the training courses for reviews of GHG inventories under the Convention in 2014. Nineteen experts in 2014 and fifty-five experts in 2015 took the courses for review under the Kyoto Protocol. Thirteen experts took the courses for the review of the national communications and biennial reports in 2015
	The availability of timely updates of training materials. Target: up to five courses are updated and up to two new courses are developed by the end of the biennium 2014–2015	Four training courses for the review of biennial reports and national communications were developed in 2014 and offered to experts since the beginning of 2015. Update and completion of the training courses for reviews of GHG inventories under the Convention (six courses) to reflect the most recent Intergovernmental Panel on Climate Change methodologies and reporting and review guidelines is ongoing and planned to be completed and offered in the second half of 2015
Effective support is provided for the work of the subsidiary bodies and the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) on matters related to mitigation and clarification of developed countries' emission reduction targets	The proportion of mandated outputs delivered and delivered on time	On intended nationally determined contributions (INDCs), an online portal for the communication of INDCs was delivered at the beginning of the year. Two regional dialogues were organized and three are in preparation. A synthesis report on the aggregate effect of INDCs is in preparation, to be delivered by 1 November 2015  Elements for a draft decision text as well a draft negotiating text was delivered on time under the ADP

**Objective 2: to 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 (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, 17/CP.8, 3/CP.8, 2/CP.9, 8/CP.11, 1/CP.13, 1/CP.16, 2/CP.17, 17/CP.18, 18/CP.18 and 24/CP.18)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided to non-Annex I Parties in the fulfilment of their reporting requirements under the Convention	The number of experts from non-Annex I Parties trained	286 national experts from non-Annex I Parties have been trained on the use of the non-Annex I GHG inventory software, and 719 national experts (many attended several specific events) from Africa and Asia received technical assistance on building sustainable national GHG inventory systems. 119 national experts from 100 non-Annex I Parties have been trained on the preparation of biennial update reports
	The number of national communications from non-Annex I Parties submitted during the biennium 2014–2015	19 national communications have been received and processed. 13 biennial update reports have been received and processed
The nationally appropriate mitigation action (NAMA) registry is established effectively and updated regularly	The number of users granted access to the registry	95 access rights were granted to developing countries for the submission of their NAMAs. 28 access rights were provided to support providers
	The number of mitigation actions and the provision of support recorded in the registry	95 NAMAs were recorded, 16 sources of support were recorded and 10 matches of action with support were made
The international consultation and analysis (ICA) process for biennial update reports from developing countries is facilitated	The roster of experts is established by the end of 2014	Notification to update the roster was sent to all Parties in July 2014. The existing electronic application to support the operation of the roster has been updated and work on a major upgrade of the roster is currently under way
	A package of training materials for the training of experts is developed by the end of 2014	The training materials were developed and used for the first round of the training held in the first quarter of 2015
	The number of experts trained to provide ICA support	67 experts on the UNFCCC roster of experts are now certified to be eligible to undertake the technical analysis of biennial update reports (BURs). The registration for the second batch of the training was opened in June 2015
	Templates for summary reports for the technical analysis and facilitative sharing of views are prepared	The template for summary reports of the technical analysis of BURs were developed and used for the first round of the technical analysis covering 11 BURs held on from 18 to 22 May 2015

**Objective 3: to improve the methodological and scientific bases for enhancing the implementation of the Convention and its Kyoto Protocol (decisions 16/CMP.1, 10/CP.2, 31/CP.7, 17/CP.8, 3/CP.8, 2/CP.9, 8/CP.11, 6/CMP.3, 1/CP.13, 1/CP.16, 2/CMP.7, 2/CP.17, 12/CP.17, 1/CP.18, 9/CP.19, 10/CP.19, 11/CP.19, 12/CP.19, 13/CP.19, 14/CP.19 and 15/CP.19)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided for the consideration of the scientific and methodological issues relating to the socioeconomic aspects of mitigation	The proportion of mandated outputs delivered and delivered on time	All relevant mandates have been fulfilled on time and the Subsidiary Body for Scientific and Technological Advice concluded its consideration of this item. This includes supporting negotiations, the update of a technical paper on developed country targets, the organization of an in-session event on land use, land-use change and forestry (LULUCF) and the use of market mechanisms in the context of developed country targets

Work on methodological and scientific matters regarding LULUCF and agriculture as well as on reducing emissions from deforestation and forest degradation in developing countries (REDD-plus <sup>c</sup> ) is facilitated	The proportion of mandated outputs delivered and delivered on time	All mandated outputs were delivered and delivered on time. This included the preparation of: (a) a technical paper on possible LULUCF activities and alternative approaches to addressing the risk of non-permanence under the clean development mechanism; (b) seven compilations of views of Parties on issues relating to LULUCF, REDD-plus and agriculture; and (c) a report on the in-session workshop on the current state of scientific knowledge on how to enhance the adaptation of agriculture to climate change impacts. Also, the secretariat organized: (a) an in-session expert meeting on matters relating to non-market-based approaches to support the implementation of REDD-plus; (b) an expert meeting on an information hub for information on REDD-plus results and results-based payments; (c) an in-session workshop on the development of early warning systems and contingency plans in relation to extreme weather events and its effects such as desertification, drought, floods, landslides, storm surge, soil erosion and saline water intrusion; (d) an in-session workshop on the assessment of risk and vulnerability of agricultural systems to different climate change scenarios at regional, national and local levels, including but not limited to pests and diseases; and (e) two technical assessments of submitted reference levels by developing country Parties as part of their implementation of REDD-plus activities. All reports of the above-mentioned events due by 30 June 2015 were delivered on time. Additionally, the secretariat facilitated the organization of two voluntary meetings on REDD-plus coordination of support
	The number of representatives from Parties participating in the UNFCCC REDD discussion forum and web platform <sup>d</sup>	During the reporting period, the platform received eight submissions. Since its launch in 2012 the REDD discussion forum has registered 284 users
Work on methodological and scientific matters is facilitated, including in the areas of common metrics, international aviation and maritime transport, and fluorinated gases	The proportion of mandated outputs delivered and delivered on time	Six outputs were mandated to be delivered during the reporting period, all of which were delivered on time <sup>e</sup>
Cooperation with intergovernmental organizations active in REDD-related activities as well as activities related to LULUCF, agriculture, international maritime and aviation transport, and fluorinated gases is maintained and further strengthened	The number of meetings of relevant intergovernmental organizations attended by secretariat 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 within the area of their competencies	The secretariat attended 13 meetings of relevant intergovernmental organizations in the areas of mitigation, REDD-related activities and activities related to LULUCF, agriculture, international maritime and aviation transport, and fluorinated gases



**Objective 4: to support Parties, in particular developing country Parties, in meeting their specific needs and concerns arising from the impact of the implementation of response measures (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, 1/CMP.16 and 8/CP.17)**

<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	The number of forums supported	Not applicable since the Parties could not conclude their work on impacts of the implementation of response measures at COP 19 and COP 20
	The number of documents prepared	A report on the in-forum workshop on cooperation on response strategies – area (b) of the work programme on the impact of the implementation of response measures was prepared. Compiled the information reported by Annex I Parties with respect to Article 3, paragraph 14, of the Kyoto Protocol. Prepared a synthesis paper based on the work of the forum and a technical paper on areas on convergence and cooperation based on submissions from Parties

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

<sup>b</sup> FCCC/SBI/2014/20 and FCCC/KP/CMP/2014/7 and Add.1, respectively.

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

<sup>e</sup> They included the support by MDA of the ongoing work of the Subsidiary Body for Scientific and Technological Advice on: (a) international aviation and maritime transport; (b) common metrics and the organization of a workshop on common metrics in April 2012; and (c) the implications of decisions 2/CMP.7 to 5/CMP.7 in relation to the second commitment period of the Kyoto Protocol on the previous decisions of the CMP on methodological issues related to the Kyoto Protocol, including those relating to Articles 5, 7 and 8, as well as the preparation of a relevant technical paper and the organization of a workshop.

Table 19

**Objectives, expected results,<sup>a</sup> performance indicators and performance data for the Finance, Technology and Capacity-building programme**

**Objective 1: to support the intergovernmental process with regard to the provision of financial resources to developing country Parties for adaptation and mitigation (Article 11 of the Convention and decisions 1/CP.13, 1/CP.16, 2/CP.17, 3/CP.17, 1/CP.18 and 1/CMP.3)**

<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 functioning of the Financial Mechanism	The proportion of mandated outputs delivered and delivered on time	Two in-session workshops on long-term finance were held during the reporting period. The summary report of the in-session workshop held during 2014 was produced and published, and the report for the 2015 in-session workshop is being produced and will be delivered on time. The mandated outputs have been delivered on time in accordance with the decisions of the Conference of the Parties (COP)

Effective support is provided to the Standing Committee on Finance (SCF)	The proportion of mandated outputs delivered and delivered on time	<p>Four meetings of the SCF and one forum of the SCF were held during the reporting period and support continues to be provided to the COP mandated activities of the SCF, such as the biennial assessment and overview of financial flows, the development of expert inputs for the fifth review of the Financial Mechanism, work on measurement, reporting and verification beyond the biennial assessment, guidance to the operating entities of the Financial Mechanisms, the 2015 SCF forum and work on coherence and coordination of finance for forests</p> <p>The finance portal modules have been regularly updated and new information pertaining to the sixth national communications and the first biennial reports has been included. The web pages on long-term finance and the SCF have been restructured and updated to include information on long-term finance in-session workshops, a joint Subsidiary Body for Scientific and Technological Advice (SBSTA)/ Subsidiary Body for Implementation (SBI)/SCF in-session technical workshop, and the work of the SCF on the biennial assessment and overview of financial flows, as well as updated information on the SCF second information exchange forum and other related SCF mandated activities. All mandated outputs have been delivered on time for the reporting period</p>
Effective support is provided to activities relating to the scaling up of financial resources and the enhanced provision of information on climate finance	<p>The number of visits to the section on the Financial Mechanism and the finance portal on the UNFCCC website</p> <p>The proportion of mandated outputs delivered and delivered on time</p>	<p>A total of 42,719 visits were registered</p> <p>Logistical and substantive support was provided to the organization of two in-session workshops held, including the organization of three preparatory webinars and the summary report of the 2014 in-session workshop. An information document on the compilation and synthesis of the biennial submissions from developed country Parties on their strategies and approaches for scaling up climate finance from 2014 to 2020 has been produced and published<sup>b</sup></p> <p>Support was provided for the organization in 2015 of a joint SBSTA/SBI/SCF in-session technical workshop on methodologies for the reporting of financial information by Parties included in Annex I to the Convention. A technical paper on existing international methodologies for the reporting of financial information was also produced<sup>c</sup></p> <p>The mandated outputs have been delivered on time in accordance with COP decisions</p>

**Objective 2: to support and enhance cooperation among Parties and relevant organizations on research, development, demonstration, deployment, diffusion and transfer of technologies for adaptation and mitigation (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 and 14/CP.18)**

<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	Three outputs were required to be delivered during the reporting period in accordance with the Technology Executive Committee (TEC) workplan; all were delivered on time  The TEC two-year rolling workplan for 2014–2015 was successfully adopted at the eighth meeting of the TEC in March 2014. Support to the work of the TEC was provided intersessionally and during three meetings of the TEC in a timely manner
Effective support is provided to facilitate the effective engagement of relevant stakeholders under and outside of the Convention in the implementation of the Technology Mechanism, including through providing regularly updated information and analysis on the UNFCCC technology information clearing house (TT:CLEAR)	The number of partner agencies and organizations that participate in the work of the TEC  The number of visits to TT:CLEAR	The TEC has established six task forces to work intersessionally to support the implementation of its workplan for 2014–2015. The task forces also include the active participation of representatives of 12 observer organizations  TT:CLEAR received a total number of 539,275 page visits and more than 22,350 registered downloads

**Objective 3: to enhance the capacity of Parties, and education, training, public awareness, public participation and public access to information and international cooperation activities by Parties, in particular developing country Parties, to enable the full, effective and sustained implementation of the Convention and its Kyoto Protocol (Article 6 of the Convention, Article 10(e) of the Kyoto Protocol and decisions 2/CP.7, 3/CP.7, 11/CP.8, 2/CP.10, 3/CP.10, 7/CP.10, 4/CP.12, 9/CP.13, 6/CP.14, 1/CP.16, 7/CP.16, 2/CP.17, 13/CP.17, 1/CP.18, 15/CP.18, 29/CMP.1, 6/CMP.2, 6/CMP.4, 11/CMP.6, 15/CMP.7, 10/CMP.8 and 11/CMP.8)**

<i>Expected result(s) under the Convention</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Effective support is provided for intergovernmental negotiations on issues related to capacity-building and to Article 6 of the Convention	The proportion of mandated outputs delivered and delivered on time	Five reports on capacity-building related issues were mandated and made available during the reporting period. One report was submitted on time and four reports were slightly late due to the delayed submissions of information from United Nations organizations and other institutions, and the timing of scheduled meetings of the bodies established under the Convention and its Kyoto Protocol  Two reports on Article 6 of the Convention were mandated and made available during the reporting period
The Durban Forum on capacity-building and the dialogue on Article 6 of the Convention are facilitated	The level of satisfaction of participants of the Durban Forum and the dialogue on Article 6 of the Convention	Various regional groups, Parties and an observer constituency, in plenary statements, expressed appreciation for the successful organization of the 3 <sup>rd</sup> and 4 <sup>th</sup> meetings of the Durban Forum and the 2 <sup>nd</sup> and 3 <sup>rd</sup> Dialogues on Article 6 of the Convention

The implementation of the frameworks for capacity-building is facilitated	The number of partner agencies and organizations that contribute to the implementation of the frameworks for capacity-building	A total of 358 partner agencies and organizations contributed to the implementation of the capacity-building frameworks
The implementation of the Doha work programme on Article 6 of the Convention is facilitated	The number of partner agencies and organizations that contribute to the implementation of the Doha work programme on Article 6 of the Convention	A total of 67 partner agencies and organizations contributed to the implementation of the Doha work programme on Article 6 of the Convention
	The number of registered users of the UNFCCC information network clearing house (CC:iNet)	A total of 916 users from different world regions were registered
	The level of satisfaction with CC:iNet of the users surveyed	Most consulted users have expressed no opinion or otherwise have shared low levels of satisfaction (71.9 per cent) with CC:iNet. Most consulted users have no opinion or otherwise have indicated that CC:iNet is not user-friendly (64.8 per cent)

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

<sup>b</sup> FCCC/CP/2015/INF.1.

<sup>c</sup> FCCC/TP/2015/2.

Table 20

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

**Objective 1: to support Parties, in particular developing country Parties, in assessing impacts, vulnerability and risks and in developing and implementing adaptation plans, policies and actions (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, 6/CP.17, 7/CP.17, 3/CP.18, 11/CP.18 and 12/CP.18)**

<i>Expected result(s) under the Convention</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	100 per cent of the mandated activities were delivered on time, as follows: during the six-month reporting period, the secretariat organized three Adaptation Committee meetings, including the first meeting of the Committee's task force on national adaptation plans. It also organized four workshops, of which one was in collaboration with the Nairobi work programme on impacts, vulnerability and adaptation to climate change (NWP) and one jointly with the Technology Executive Committee (TEC), and one with the Least Developed Countries Expert Group (LEG). It further organized its second Adaptation Forum and collaborated with the Standing Committee on Finance (SCF) on a forum on adaptation finance. In addition, it organized two in-session meetings during the fortieth sessions of the subsidiary bodies, and contributed to a range of other events and publications

	<p>The proportion of working papers and information products delivered in support of the work programme of the Adaptation Committee and delivered on time</p>	<p>The Adaptation Committee produced a total of 39 mandated background papers for its meetings and workshops held during the reporting period. 100 per cent were delivered on time. The Adaptation Committee has further been contributing towards publications being prepared by the TEC (TEC briefs on adaptation), it contributed to the background paper for the SCF adaptation finance forum, as well as to documentation prepared jointly with the LEG</p>
<p>The process for the formulation and implementation of national adaptation plans (NAPs) is facilitated</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>All mandated activities were delivered on time, including the compilation of submissions received from Parties and relevant organizations in response to decision 18/CP.19, paragraph 6, were compiled into a miscellaneous document and made available to the Subsidiary Body for Implementation (SBI) at its fortieth session in a timely manner. The submissions were also made available on the submission portal at &lt;<a href="http://unfccc.int/5900">http://unfccc.int/5900</a>&gt;, including three more that were received after the deadline. Three information papers on the NAP process were also made available on time for SBI 41/the Conference of the Parties at its twentieth session (COP 20)</p>
<p>The implementation of the NWP is facilitated</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>All expected results mandated during the reporting period were delivered on time. The joint meeting with the Adaptation Committee on the available tools for the use of indigenous and traditional knowledge and practices for adaptation, the needs of local and indigenous communities, and the application of gender-sensitive approaches and tools for adaptation was successfully organized, with the participation of relevant organizations, experts and practitioners, including preparation of the meeting report. In addition, the secretariat, under the guidance of the Chair of the Subsidiary Body for Scientific and Technological Advice (SBSTA), engaged and collaborated with the Adaptation Committee, the LEG, Parties, NWP partners, and regional centres and networks in implementation of activities under the NWP. To this end, the eighth NWP Focal Point Forum was successfully convened during SBSTA 41. Parties and NWP partner organizations contributed 170 case studies on good practices and lessons learned on ecosystems, water resources, health, human settlements, and on linking national and local adaptation planning. The secretariat also engaged regional centres and networks in sharing and disseminating knowledge on good practices and lessons learned on ecosystems, water resources, health, human settlements, and on linking national and local adaptation planning, at the regional level in 2015. Twenty-five regional centres and networks and five United Nations organizations/intergovernmental organizations (which will coordinate collaboration on behalf of their country/regional offices) have confirmed their engagement and that they would share the results and outcomes of relevant regional activities</p>

		through the NWP. The outcomes of the regional activities will be reported to SBSTA 44. The secretariat also prepared three semi-annual progress reports and four NWP eUpdates (quarterly newsletter)
	The number of action pledges by NWP partners	Six new action pledges were made by partners, bringing the total number of action pledges to 184 at the end of the reporting period
Work on loss and damage is facilitated	The proportion of mandated outputs delivered and delivered on time	The interim members of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts were effectively supported intersessionally as well as in holding a two-part initial meeting in 2014 in order to develop a draft initial two-year workplan which was later endorsed by COP 20. The Executive Committee was further supported in holding an in-session information event on the margins of the fortieth sessions of the subsidiary bodies
The work of the LEG is facilitated	The proportion of mandated outputs delivered and delivered on time	The LEG was effectively supported in holding its three meetings in 2014 and 2015. The number of background documents prepared to support the three meetings is 12, 15 and 16, respectively. The LEG was also supported in holding a technical meeting on NAPs that took place prior to its 25 <sup>th</sup> meeting, which was attended by 50 experts from different organizations and disciplines. The LEG was supported in holding NAP Expos in 2014 and 2015, and in engaging a wide range of organizations across different disciplines to contribute to the implementation of its work programme. Four specific activities significantly benefited from the engagement of organizations, namely the technical meeting on NAPs, preparations for NAP Expo, preparations and conduct of regional training workshops on NAPs in 2014 and 2015, the development of NAP Central, and the review of methodologies for capturing and sharing best practices and lessons learned in addressing adaptation in the least developed countries (LDCs)
	The level of satisfaction of users of the knowledge products prepared by the LEG and the secretariat	The SBI at its fortieth, forty-first and forty-second sessions expressed its appreciation to the LEG for its work on technical guidance and support to the NAP process for LDCs

**Objective 2: to support the review of the adequacy of the long-term global goal and the consideration of various matters related to science, research and systematic observation (Articles 2, 4, paragraph 1(g) and (h), 5, 9 and 12, of the Convention and decisions 8/CP.3, 14/CP.4, 5/CP.5, 5/CP.10, 11/CP.9, 11/CP.13, 9/CP.15, 1/CP.16, 2/CP.17 and 16/CP.17)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Work by the Convention bodies on matters related to science, research and systematic observation is facilitated	The proportion of mandated outputs delivered and delivered on time	Ten mandates required output delivery during the reporting period. The 6 <sup>th</sup> and 7 <sup>th</sup> meetings of the research dialogue were organized successfully at SBSTA 40 and SBSTA 42 and three documents were made available to Parties (the report on the workshop on ecosystems with high-carbon reservoirs and two reports summarizing information on enhanced availability and visibility of scientific information).

		<p>The views from Parties and information from research programmes and organizations for the 6<sup>th</sup> and 7<sup>th</sup> meetings of the research dialogue were posted on the UNFCCC website, and the secretariat continued to improve and enhance the visibility of scientific information on the website. All achieved outputs were delivered on time; one mandated outcome is an ongoing activity</p> <p>Global Climate Observing System, in collaboration with the Intergovernmental Panel on Climate Change (IPCC) and the UNFCCC, organized a workshop on enhancing observations to support preparedness and adaptation in a changing climate – learning from the IPCC Fifth Assessment Report (AR5)</p>
	<p>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</p>	<p>A total of 23 presentations were made during the research dialogues held during SBSTA 40 and SBSTA 42, with 20 presentations being made on behalf of 10 international research programmes and organizations and the IPCC</p> <p>In addition, given the recent releases of the contributions of Working Groups II and III to the AR5 and of the synthesis report of the AR5, the secretariat facilitated the organization of three SBSTA–IPCC special events during SBSTA 40 and SBSTA 41 on the AR5</p>
<p>The periodic review of the adequacy of the long-term global goal is facilitated</p>	<p>The proportion of mandated outputs delivered and delivered on time</p>	<p>Fourteen mandates required output delivery during the reporting period. These included support for the work of the structured expert dialogue (SED) on the 2013–2015 review and of its co-facilitators, the organization of the 3<sup>rd</sup> and 4<sup>th</sup> meetings of the SED, the compilation of views from Parties on future work of the SED and on how the outcomes of the 2013–2015 review will inform the work of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP), the gathering of information and additional inputs relevant for conducting the review, the identifying of information gaps and the gathering of information on the adequacy of the long-term global goal and the overall progress made towards it</p> <p>SED 3 and SED 4, part 1, were held during the fortieth and forty-first sessions of the subsidiary bodies to consider the adequacy of the long-term global goal based on the contributions of Working Groups II and III to the AR5 and of the synthesis report of the AR5. SED 4, part 2, was held in conjunction with the eighth part of the second session of the ADP to address the key findings of reports prepared by United Nations agencies; the work done in relevant processes under the Convention; and regional and emerging information. Information notes by the co-facilitators of the SED on the approach for SED meetings were made available to Parties, and the views of Parties were compiled and posted on the UNFCCC website. The summary reports of SED 3 and SED 4 were posted on the UNFCCC website</p>

		<p>A total of 38 presentations were made during SED 3 and SED 4 by the IPCC and other experts, and the proceedings of the meeting were webcast</p> <p>A note on national information available for consideration by the SED and the report of SED were made available to Parties. The report of the SED was launched at a special SBSTA and SBI event held at the forty-second sessions of the subsidiary bodies</p> <p>All mandated outputs were delivered on time; one mandated outcome is ongoing</p>
Supporting the consideration of a shared vision for long-term cooperative action	The proportion of mandated outputs delivered and delivered on time	<p>All mandated outputs were delivered on time. ADP 2, part 4, was effectively supported on matters relating to long-term aspects and equity (March 2014). A non-paper was prepared for ADP 2, part 5 (June 2014), synthesizing Parties' views on elements for a draft negotiating text, including on these aspects</p>

**Objective 3: to engage a wide range of stakeholders and to widely disseminate information by effective means, including through the UNFCCC website (decisions 2/CP.11, 1/CP.13, 1/CP.16 and 6/CP.16)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
A wide range of stakeholders is engaged in the implementation of all relevant mandates	The number of collaborative activities facilitated between organizations and between Parties and organizations	<p>The programme collaborated with many intergovernmental organizations (IGOs) and United Nations organizations in supporting adaptation activities, including through the work of the Adaptation Committee, in promoting synergy and in strengthening engagement with national, regional and international organizations, centres and networks. The work of the LEG, including the implementation of national adaptation programmes of action was also effectively supported. The programme also supported the work under the Warsaw International Mechanism, the process to formulate and implement NAPs, and the work of the NWP. IGOs with which the secretariat cooperated on adaptation included the Global Environment Facility secretariat, the IPCC, the secretariats of the United Nations Convention to Combat Desertification and of the Convention on Biological Diversity, the United Nations Office for Disaster Risk Reduction, the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the World Health Organization and the World Bank</p> <p>The video documentary "Adapting to a changing climate", a product of the Adaptation Committee has been viewed over 8,000 times and was advertised by United Nations Television and Video, and was used by UNEP and UNDP</p>
Comprehensive user-friendly information is made available in a timely manner	The information contained in the sections of the UNFCCC website dedicated to adaptation is regularly updated. Baseline and target: to update the information every two weeks	Information contained in the sections of the UNFCCC website dedicated to adaptation <sup>b</sup> was updated on a continuous basis. Processes were put in place to implement important updates in a timely manner



The number of visits to the sections of the UNFCCC website dedicated to adaptation

The number of visits to pages related to Adaptation has increased by 8.5 per cent in relation to the period July 2012–December 2013. In the same time frame, the visits to pages under the “Science” section have increased by 59 per cent<sup>c</sup>

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

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

<sup>c</sup> Visits: Adaptation (210,511/228,473), Science (52,222/81,028). These numbers only apply to the first and second layers of the Adaptation page structure. Due to technical limitations, not all visits to subpages could be measured.

Table 21

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

**Objective 1: to realize the full potential of sustainable development mechanisms to enhance the implementation of the Convention (Article 4, paragraph 2(a), of the Convention, Articles 3, 6, 12 and 17 of the Kyoto Protocol and decisions of the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) related to the clean development mechanism (CDM))**

<i>Expected result(s) under the Kyoto Protocol</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Work programmes under the intergovernmental bodies concerning the further development of the project-based mechanisms are facilitated	The proportion of mandated outputs delivered and delivered on time	All six mandated outputs were delivered on time including: assistance offered to designated national authorities for the development of guidelines for local stakeholder consultations (3/CMP.9, para. 20); secretariat continues its function of facilitator of the Nairobi Framework <sup>b</sup> (3/CMP.9, para. 24); a technical paper to the fortieth sessions of the subsidiary bodies (4/CMP.9, para. 1); publication of submissions from Parties on the UNFCCC website (4/CMP.1, para. 2); a technical paper (5/CMP.10, para. 5) and one synthesis report submitted to the forty-second sessions of the subsidiary bodies (5/CMP.10, para. 7)
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	100 per cent (6 of 6) mandates from the Subsidiary Body of Scientific and Technological Advice at its fortieth session were implemented and completed in the second half of 2014 on time and to the satisfaction of the clients. There were no mandates in the period January–June 2014 and January–June 2015

**Objective 2: to support and optimize the operation of the clean development mechanism (Article 12 of the Kyoto Protocol and the CMP decisions related to the CDM)**

Meetings of the CDM Executive Board are efficiently organized and well supported	The level of satisfaction of the members of the CDM Executive Board with the support provided	One hundred per cent (12 out of 12) of the survey respondents expressed satisfaction with the support provided
	The proportion of meeting documents made available fully in accordance with the rules of procedure of the CDM Executive Board	The secretariat organized and supported five meetings of the CDM Executive Board, such that 92 per cent (105 of 114) of all documents were made available fully in accordance with the rules of procedure. The remaining documents were late submissions
	The proportion of mandated outputs delivered and	Fifty-nine per cent (106 of 180) of the CDM Executive Board mandated outputs were delivered in accordance with the specified timelines. Thirty-four per cent (61 of

	delivered on time	180) of mandated outputs are ongoing and the remaining seven per cent (13 of 180) mandated outputs are continuous at every meeting and have been delivered in accordance with the specified timelines
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	100 per cent of the bottom-up submissions were processed within the timelines specified by the procedures; eight new methodologies and 85 draft revisions of existing methodologies/tools/guidelines, developed under bottom-up and top-down workstreams have been processed within the specific timelines
	The proportion of new registrations processed within the specified timelines	91 per cent of new registrations were processed within the specified timelines
	The proportion of issuance instructions processed within the specified timelines	94 per cent of issuance instructions were processed within the specified timelines
	The proportion of applications for accreditation processed within the specified timelines	100 per cent (1 of 1) of applications for accreditation were processed within the specified timelines
Participation in CDM project activities and programmes of activities (PoAs) is facilitated	The number of standards developed or simplified that are relevant to low-income communities (including the development of standardized baselines)	Thirty-four standards were developed or simplified that are relevant to low-income communities. In addition, 31 standardized baselines are being processed
	The number of countries with 10 or more registered projects	The number of countries with 10 or more registered projects is 42
	The number of PoA registrations in underrepresented regions	The number of PoA registrations in underrepresented regions is 247

**Objective 3: to support and optimize the operation of joint implementation (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)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Meetings of the Joint Implementation Supervisory Committee (JISC) are efficiently organized and well supported	The level of satisfaction of the members of the JISC with the support provided	One hundred per cent (11 out of 11) of the survey respondents expressed satisfaction with the support provided
	The proportion of meeting documents made available fully in accordance with the rules of procedure of the JISC	The secretariat organized and supported meetings of the JISC, such that 87 per cent (13 of 15) of all documents were made available fully in accordance with the rules of procedure. The remaining documents were late submissions
	The proportion of mandated outputs delivered and delivered on time	76 per cent (29 of 38) of the CDM Executive Board mandated outputs were delivered fully in accordance with the specified timelines. 24 per cent (9 of 38) of mandated outputs are ongoing in accordance with the specified timelines

The operation of the joint implementation track 2 <sup>c</sup> procedure 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 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 the 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> 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: to provide legal advice and support so that the Convention and its Kyoto Protocol, as well as the outcomes from the negotiations under the Bali Road Map, are implemented and the associated intergovernmental process is conducted in accordance with legal, procedural and institutional requirements**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Convention and its Kyoto Protocol, as well as any new international agreement(s) adopted thereunder, are interpreted and implemented in accordance with relevant legal, procedural and institutional requirements	The absence of complaints by Parties and other stakeholders regarding the timeliness and soundness of legal advice and support provided by the secretariat. Baseline: complaints are resolved within six months. Target: no complaints	During the first 18 months of the biennium, the Legal Affairs (LA) programme issued at least 136 legal opinions on at least 18 different types of legal issues. Nine of these 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 by Parties with respect to the legal support 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 the work of the LA programme during the reporting period. Fifty-four of the 136 legal opinions issued from 1 January 2014 to 30 June 2015 dealt with the legal, procedural and institutional requirements of the intergovernmental process
The bodies established under the Convention and its Kyoto Protocol, including constituted bodies as well as the intergovernmental process, function and operate in accordance with legal, procedural and institutional requirements	The proportion of concerns, issues or disputes raised by public/private entities against 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 individuals serving on these constituted bodies. 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	The concerns and issues that were raised by public or private entities or their members in the reporting period were expeditiously resolved and did not lead to legal action against any individuals serving on constituted bodies

The absence of complaints by Parties and members of constituted bodies with respect to the legal advice and support 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
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**Objective 2: to facilitate the operations of the secretariat and to ensure that they are conducted in accordance with legal, procedural and institutional requirements**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The operations of the secretariat and the UNFCCC process are conducted in accordance with applicable United Nations rules and regulations, the legislative authority of the Conference of the Parties, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) and UNFCCC requirements	<p>The proportion of contracts and other legal instruments between the secretariat and service providers, governments, other international organizations and other partners that are concluded expeditiously and in a legally sound manner, thereby facilitating the smooth operation of the secretariat and the UNFCCC process. Baseline and target: all contracts and other legal instruments are concluded in a timely and legally sound manner and any disputes arising therefrom are settled within 12 months</p> <p>The number of audit queries and 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 queries and queries raised by the United Nations Office of Legal Affairs</p>	<p>In the period from 1 January 2014 to 30 June 2015, the LA programme provided final clearance to 139 legal instruments that could be concluded on behalf of the secretariat. During the same period, the secretariat concluded 114 legal instruments with third parties after these instruments had been reviewed or drafted and cleared by LA. No disputes have arisen nor were issues raised in the implementation of these instruments</p> <p>In the period from 1 January 2014 to 30 June 2015, no audit queries or queries from the United Nations Office of Legal Affairs were received in relation to the appropriateness of legal arrangements entered into by the secretariat</p>

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The Compliance Committee takes decisions based on 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	A web-based survey on the level of satisfaction expressed by members and alternate members of the Compliance Committee with the support of the secretariat was conducted by an independent expert from 7 to 23 July 2015. The results of the survey, which had a 46 per cent response rate (19 of 41 possible respondents), indicate a continuing improvement in satisfaction ratings both in

		overall terms and specific areas. The vast majority of members and alternate members of the Committee who completed the survey (68 per cent) expressed a high level of satisfaction with the support provided by the secretariat to the Compliance Committee
The 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 in the latter's consideration of the ninth annual report of the Compliance Committee, which was noted at CMP 11. 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: to ensure that 95 per cent of documents are issued within the required timelines. Target: to ensure that 100 per cent of documents are issued within the timelines set out in the relevant procedures	In the reporting period, all the Compliance Committee documents prepared by the secretariat were made available to the members and alternate members of the Compliance Committee 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

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

Table 23

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

**Objective 1: to advance the climate change intergovernmental process as a result of attendance at, active participation in and collaboration by representatives of Parties in 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 appropriate treatment of delegates according to protocol	The proportion of communications to which the Conference Affairs Services (CAS) programme responds. Baseline and target: to ensure that CAS responds to 100 per cent of communications	The programme responded to all communications in a timely manner
	The average response time	The average response time was 31 minutes
Representatives from eligible Parties, including those eligible for funding through the Trust Fund for Participation in the UNFCCC Process, can attend all relevant meetings and actively participate in this process	The proportion of eligible participants funded	A total of 1,382 nominations were received and reviewed for funding for the sessions of the subsidiary bodies during the reporting period  A total of 1,306 participants from Parties eligible for funding were effectively funded. Therefore, 95 per cent of eligible participants were actually funded. The remaining 5 per cent declined the offer for unknown reasons

The average duration of the admission process (waiting and processing time). Baseline and target: less than 1.5 minutes	The average duration of the admission process was 60 seconds
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**Objective 2: to assist Parties in advancing the climate change intergovernmental process as a result of observer engagement therein**

<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 enabled 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	116 applications for admission were reviewed for COP 20/ the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) at its tenth session and the eligibility decisions were made during the reporting period. None of these decisions was disagreed with by the COP  245 applications for admission were reviewed in time for COP 21/CMP 11 and the eligibility decisions were made during the reporting period
Input by observer organizations to the intergovernmental process is facilitated	The number of opportunities to make submissions to the negotiation process  The number of opportunities to intervene at plenary and contact group meetings as well as at in-session workshops  The proportion of mandated outputs delivered and delivered on time	160 observer submissions by more than 430 organizations were processed  121 opportunities were facilitated; 97 of them were implemented  The proportion of mandated outputs delivered and delivered on time was 100 per cent

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Official documents are made available to stakeholders on time and in all six official languages of the United Nations where applicable	The percentage of documents, including versions in the six official languages of the United Nations, that have been submitted to CAS in accordance with United Nations deadlines and made available to Parties on time	A total of 60 documents were mandated to be made available during the reporting period. All documents were made available and 57 per cent (34 of 60) were made available on time. Delays in the availability of the remaining 43 per cent of the documents (26 of 60) were mainly due to the additional negotiating sessions and the requirements of Parties

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Comprehensive and functional conference facilities for participants in the climate change negotiation process are planned and provided for	The number of complaints received with regard to conference facilities	A total of 165 sessions and meetings were held, including pre-sessional meetings of the four regional groups, and no complaints with regard to conference facilities were received
	The number of reports of technical failures with regard to sound projectors, electricity, etc., relative to the size, duration and frequency of workshops and meetings	A total of 165 sessions and meetings were held, including pre-sessional meetings of the four regional groups, and no reports of technical failures with regard to sound projectors, electricity, etc., were received

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

Table 24

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

**Objective 1: to make available to Parties, observer organizations, the public and other stakeholders authoritative and up-to-date information regarding the UNFCCC process in a user-friendly and cost-efficient manner (Articles 6(b) and 8, paragraph 2, of the Convention and Articles 10(d) and 14, paragraph 2, of the Kyoto Protocol)**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The UNFCCC website and its applications are recognized as the central information source for authoritative, up-to-date, comprehensive and user-friendly information on the UNFCCC process	The volume of data downloaded per website visit	10,086,493 pages were viewed by 2,037,065 users and 18.1 million documents were downloaded during the reporting period
	The number of interactive webcast sessions via social media (e.g. Facebook and Twitter)	The level of interaction has increased significantly, in particular via social media channels (see data on Facebook and Twitter below). In addition to the interactive webcast sessions, new interactive tools were introduced during the reporting period: Periscope, Google Hangouts and Twitter Chats  During the reporting period, the secretariat posted more than 2,500 tweets on Twitter and 620 items on the UNFCCC Facebook page. Within the reporting period, the secretariat's Twitter account exceeded the 190,000 milestone, and the secretariat's Facebook account grew to 117,000 fans
The UNFCCC publications and information material meet the needs of Parties and stakeholders	The level of user satisfaction with the information and data made available on the UNFCCC website through the secretariat's social media channels and other information material	The web survey results conducted in July–August 2015 confirm 83 per cent of the survey participants are satisfied with the secretariat's digital information materials such as the website, the mobile app, the social media tools and new platforms like the Newsroom, the intended nationally determined contribution portal or the nationally appropriate mitigation action news site

Global and specialist media and non-governmental organizations are informed about the progress and decisions of the intergovernmental process and its objectives

Outreach to media has significantly risen in the reporting period. Editorials (114) and media interviews (119) by the Executive Secretary have more than doubled, and major media organizations are using the Newsroom as an original source and checklist on climate news

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

<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 the appropriate tools and systems	The level of staff satisfaction with the intranet	Eleven internal newsletter publications were published, with over 139,502 page views. The intranet is now scheduled to be relaunched in 2015. Information on the level of satisfaction of staff will be provided in the 2015 budget performance report
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 amount of official documents downloaded	A total of 10,598,018 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		233 linear metres of inactive records have been processed and transferred to the Record Centre, 326 linear metres of obsolete records were destroyed in a confidential and controlled manner, and 201 retrieval requests have been processed, making records and audiovisual recordings accessible to requesting staff as well to external clients

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

Table 25

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

**Objective 1: to maintain and strengthen the secretariat's information technology infrastructure**

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Support services meet user requirements	The proportion of information technology (IT) service requests responded to and completed within 90 days. Baseline: 70 per cent of requests. Target: 90 per cent of requests	<p>During the reporting period, 25,850 work orders were created by the in-house service desk (excluding the externally contracted international transaction log (ITL) service desk). A total of 99.74 per cent were answered within the timelines specified in the Service Level Agreement (SLA) and 88.98 per cent were resolved within the timelines specified in the SLA</p> <p>During the reporting period, a total of 8,243 incoming calls, 15,680 e-mails to the service desk e-mail address and 3,071 e-mails to the service desk info mailbox were received</p>



Conferences and workshops are supported by effective and efficient IT 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

The performance metrics set for the ITL service desk are: 90 per cent of phone calls answered within 10 seconds, no more than 5 per cent of calls abandoned (user hanging up before being answered) within 20 seconds and 85 per cent of e-mails answered within 30 minutes. These three targets were met and exceeded for the 18-month period ending in June 2015: 97.36 per cent of phone calls were answered within 10 seconds, 0.00 per cent of phone calls were abandoned within 20 seconds and 97.64 per cent of e-mails were answered within 30 minutes

During the reporting period, the services for six conferences (three sessions of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP), two sessions of the subsidiary bodies and one session of the Conference of the Parties (COP)) were successfully delivered. It was the first time that an ADP session (in February 2015) was convened in Geneva, Switzerland, using a United Nations Conference Centre where most of the cabling infrastructure is aged. Nevertheless no major issues were reported during the ADP session. The forty-second sessions of the subsidiary bodies were successfully convened in the World Conference Center Bonn with a newly built infrastructure. Only some adjustments were required to improve the high availability of the network. Lessons learned during the conferences will be consolidated in order to implement improvements in future conferences

In addition to the major conferences, services were provided for 106 workshops and 426 virtual presence facilities. The virtual presence facilities (such as WebEx) enabled remote delegates to actively participate in the workshops without the need to travel to the meeting venue

100 per cent of the conferences and workshops were serviced at the agreed level

During the reporting period, the following service and IT security improvements have been achieved: The mobile conference equipment has received security updates, including firmware updates and security patches to ensure readiness for COP 21 conferences; various updates and installations have been implemented to increase security of secretariat data, such as Enterprise Certificate Authority server, BitLocker encryption for data on laptops and a mobile device management system; Langer Eugen infrastructure and workshop virtual infrastructures have been upgraded to the latest version of VMware; 95 per cent of messaging data has been migrated from Lotus Notes to Microsoft Exchange and Lync 2013; all printing devices have been replaced under a new and more cost-effective contract; all multifunctional printer printing services have been secured with a log in; the

The communications 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	<p>data backup system has been upgraded to the latest version and a new media server has been installed to speed up backup jobs; PeerLink File Collaboration software was deployed to improve file sharing during conferences; Microsoft Systems Center Operations Manager has been installed for a better monitoring of the Active Directory and related services; the VoiP system was upgraded to version 2013</p> <p>No major downtime occurred during the reporting period and 99 per cent of the work orders escalated to the Network Core Team were resolved in a timely manner</p> <p>The Wi-Fi coverage enhancement in the office building of House Carstanjen was completed in the first quarter of 2015. The implementation of a new proxy system by Cisco Ironport is in the final stage of roll-out. Other activities for enhancing the security system, such as the implementation of Certificate Authority Server and BitLocker are on the way with a planned finalization by the end of this year</p> <p>All network systems at headquarters received security updates including the latest firmware and security patches to enhance security</p>
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## Objective 2: to maintain and enhance the UNFCCC information systems

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Mandated systems meet the specified requirements	Mandated systems are operated and supported in accordance with defined service levels	<p>During the reporting period the Information Technology Services (ITS) programme has delivered the following new and updated mandated systems: intended nationally determined contribution submission portal; an enhanced common reporting format Reporter system for reporting greenhouse gas (GHG) inventories; UNFCCC submissions portal; GHG data interface; NAP Central; nationally appropriate mitigation action registry; finance portal for climate change; capacity-building portal; technology information clearing house (TT:CLEAR); biennial reporting – common tabular format; biennial reporting – virtual team room; inventory virtual team room; roster of experts; compilation and accounting database; and multilateral assessments</p> <p>In addition, ITS has completed wave 1 of the planned three-wave implementation of a new data warehouse for storing, analysing and reporting on GHG (and other) data</p> <p>All of the above-mentioned systems and other mandated systems which did not receive updates during the reporting period are being operated as services and are supported via the ITS first, second and third line support operation</p>

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	<p>During the reporting period, ITS has delivered the following new or enhanced business-enabling systems: consolidation of the collaboration platform; migration from Lotus Notes to Microsoft Exchange; migration to Windows 7; new Budget Tool; electronic Official Document System; in-session daily updates; Momentum for Change; the Management Team's decision catalogue and tracking site; communications and outreach systems for Groundswell, Momentum for Change and Stakeholder Interaction initiatives; sustainable development co-benefits tool; staff assignment list planning database; time accounting system; single sign-on for the Learning Management System; conference on-line registration system; special event online request system; and observer organizations admission system</p> <p>During the reporting period, all of the 17 monitored systems reached their availability target of 98 per cent, including planned maintenance time</p> <p>The secretariat's outsourced collaboration platform fell short of the contractually agreed availability targets of 99 per cent in two months (July and September 2014). Contractual performance management mechanisms were activated at that point. Since October 2014 the platform was operated at agreed target levels</p>
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<sup>a</sup> Unless otherwise stated, expected results relate to work both under the Convention and under the Kyoto Protocol.

Table 26

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

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
Parties are kept fully informed with regard to the receipt and utilization of financial resources	Financial statements are made available to Parties in a timely manner	The audited financial statements for 2012–2013 were completed on time and will be presented to the Subsidiary Body for Implementation in December 2015
Coherence and transparency in fundraising and the use of funds	The proportion of donor reports submitted on time	A total of 121 donor reports were due during the reporting period, of which 53 (or 44 per cent) were issued on time
Optimal budget implementation rate	Expenditure levels compared with the approved budget. Target: 99 per cent	The implementation rate of the core budget had reached 75.8 per cent through to June 2015. While this is above the ideal rate of 75 per cent, it is expected that the target will be reached by the end of the biennium

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: 70 per cent implementation rate. Target: 90 per cent implementation rate	Of the six recommendations made for the biennium 2012–2013, five were implemented (83 per cent) and one (17 per cent) is under implementation
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**Objective 2: to facilitate the timely recruitment and retention of staff who meet the highest standards of efficiency, competence and integrity in order to support mandated activities to the largest extent possible (Article 8, paragraph 2(f), of the Convention and Article 14, paragraph 2, of the Kyoto Protocol)**

<i>Expected result(s)</i>	<i>Performance indicators(s)</i>	<i>Performance data</i>
Competent and motivated staff reflecting a broad geographical spectrum and gender balance are recruited and retained	The percentage of staff from Parties not included in Annex I to the Convention (non-Annex I Parties). Actual figures as at March 2013: 50 per cent of staff in the Professional category and above were from non-Annex I Parties. Target: to increase this percentage	A total of 49 per cent of staff in the Professional and higher levels were from non-Annex I Parties as at 30 June 2015
	The percentage of women in posts in the Professional and higher categories. Actual figures as at March 2013: 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 2015, 39 per cent of staff in the Professional and higher levels were women
	The percentage of recruitment completed within the required time frame. Baseline: four months per Professional post from advertising to approval by the Executive Secretary. Target: to reduce this time frame to three months	The targeted time frame for recruiting UNFCCC staff (from the posting of the vacancy announcement on the UNFCCC website to the notification of the selected candidate) is four months. Of the 23 posts advertised in the first six months of 2015, a total of 10 were due for completion. Five have been completed during the reporting period. The delays in the other cases were largely due to more rigorous technical assessments being undertaken
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	A total of 2.61 per cent of the total staff costs were costs of staff training as at 30 June 2015

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

<i>Expected result(s)</i>	<i>Performance indicator(s)</i>	<i>Performance data</i>
The travel of delegates and staff to official meetings is arranged effectively and efficiently	The proportion of participants attending meetings versus nominations	86 per cent of nominated participants attended meetings (3,819 of 4,437)
The procurement of goods and services is carried out in a cost-effective and efficient manner in accordance with United Nations regulations and rules and with UNFCCC policies	The percentage of procurement cases processed within established time frames	98.5 per cent of procurement cases were processed within the established time frames (1,050 of 1,066)

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