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SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE  
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Item 8 of the provisional agenda

## ACTIVITIES IMPLEMENTED JOINTLY UNDER THE PILOT PHASE

### Contact and Activity Information

1. The secretariat updates information on activities implemented jointly (AIJ) on the United Nations Framework Convention on Climate Change (UNFCCC) website under CC:INFO products. The continuously updated section "CC:INFO/AIJ" contains a short updated history of the negotiations, a list of relevant documents (hotlinked if available), an update on findings in methodological work and all the information elements reproduced in this document.
2. The direct address is <http://www.unfccc.de/fccc/ccinfo/defaij.htm>.

### I. WORK ON METHODOLOGICAL ISSUES

3. At its fifth session, the Subsidiary Body for Scientific and Technological Advice (SBSTA) requested the secretariat to develop practical options with regard to an indicative list of methodological issues related to activities implemented jointly under the pilot phase. The secretariat has undertaken work for that purpose with the support of Parties and in collaboration with a number of partners. Preliminary findings, obtained by consulting with experts, on the issue of the determination of environmental benefits, may be found below. Such initial findings will be utilized in developing practical options.

### **A. The Reference Case / Baseline Scenario**

4. Activities implemented jointly (AIJ) must fulfil the criteria of decision 5/CP.1, to “bring about real, measurable and long-term environmental benefits related to the mitigation of climate change that would not have occurred in the absence of such activities” (paragraph 1(d)).

5. The baseline for an AIJ project is a counterfactual construct, a scenario that may never actually unfold. The baseline for an AIJ project defines the scenario that would have occurred in the host country in the absence of the activity implemented jointly. The baseline scenario is the necessary foundation for calculating, by comparison, the global environmental benefits that would accrue if the AIJ project were successfully completed.

6. Credible baselines are critical to determining the environmental benefits of activities implemented jointly.

7. Guidelines for the determination of AIJ baselines would be useful in promoting transparency and comparability in activities implemented jointly.

#### **1. Characterizing the Baselines**

8. The calculations underlying the baseline for each AIJ project need to be sufficiently transparent in order to allow Parties to the UNFCCC to verify the estimates or reproduce the calculations, should they choose to do so.

9. All activities implemented jointly require project-specific baselines. The methodologies used in calculating the baseline scenario may be sector-specific, technology-specific or country-specific.

10. The baseline scenario for an AIJ project should be constructed *ex ante* and should include an indication of greenhouse gas emissions expected to occur in the absence of the AIJ project.

11. A variety of technologies could be envisaged as central to the construction of the baseline scenario. For purposes of constructing the baseline and estimating the incremental environmental benefits of an activity implemented jointly, preferential consideration should be given to using the technology which would have been the most likely marginal addition to the host country economy. By contrast, using the average technology available in the host country as the foundation for the baseline may lead to an exaggerated and inaccurate estimate of the expected environmental benefits from the AIJ project.

#### **(a) System Boundaries**

12. System boundaries for AIJ projects should be appropriate to the scale and complexity of the activity, so as to incorporate consideration of possible leakage.

13. For the purposes of constructing the baseline for an AIJ project, the relevant system boundary and timeframe should be determined by the project participants and approved by the

governments of the investing and host countries. This agreement should be accessible to the Parties to the UNFCCC in order to verify the assumptions, should they choose to do so.

14. In many cases, the relevant system boundary for the baseline of an AIJ project is the border of the site of the proposed activity. In other cases, the systemic effects of the AIJ project may be captured more completely if the boundary is defined by a network of inter-connected facilities, for example an electric utility grid, or by an economic sector like transportation or forest products.

(b) Time Frames For Activities Implemented Jointly

15. The project participants, acting in accordance with accepted guidelines, will establish the time frame or duration of an activity implemented jointly. The selection of a relevant time frame may be guided by consideration of the technical or financial characteristics of the activity or by policy factors.

16. For example, in projects with equity financing, a relevant time frame for the determination of environmental benefits could be the engineering or operating lifetime of the project. In projects with debt financing, a relevant time frame may be the amortization or depreciation lifetime of the project.

17. Future attention should be given to those cases in which the annual net environmental benefits of an AIJ project become negative during the life of the project.

(c) Enduring or Dynamic Baselines

18. The calculated baseline for each AIJ project should remain fixed, so as to ensure predictability for investors.

19. However, for projects with long lifetimes, the participants may propose revisions to the project baseline at appropriate intervals. Any such changes should be approved by both host and investing countries. They must be reported to the secretariat of the UNFCCC. Such changes could be subject to challenge by other Parties to the Convention.

20. For a given class of projects, the appropriate methodology of constructing baseline scenarios may change over time.

21. Technological change or change in the policy context of the host country, for example, may lead to changes in the method for calculating baseline scenarios.

(d) Precision in the Determination of Environmental Benefits

22. The precision required in determining environmental benefits from activities implemented jointly should be commensurate with the scale and complexity of the activity. The degree of precision in the baseline need not exceed that which is needed for the measurement of the performance of the project.

23. An issue that will require further work is how to prevent systematic errors in the calculation of AIJ baselines.

(e) Verification of Environmental Benefits by Independent Third Parties

24. Carbon emissions offsets have never been traded internationally before. Technical limits in estimating the environmental benefits and economic value of these emissions offsets reliably may add uncertainties to the evaluation of AIJ projects, compared to the normal array of risks associated with more traditional investments. These uncertainties suggest the need to establish a process for verification of the environmental benefits of AIJ projects.

25. One option for the verification of AIJ baselines involves the use of independent, third-party auditors. Third-party verification can be used to assess the credibility of AIJ baselines and of the related calculation of environmental benefits. Such verification procedures should confirm that the guidelines of the Conference of the Parties (COP) have been applied in a reasonable manner and that the data supplied by the project participants is credible.

26. Third party verification may not be necessary for all AIJ. Random audits of AIJ baselines may be sufficient to establish the credibility of the process. Alternatively, the verification process could be initiated on a specific project following a request from either a project participant or another Party to the UNFCCC.

**B. Environmental Benefits**

27. Decision 5/CP.1 provides “that activities implemented jointly should bring about real, measurable and long-term environmental benefits related to the mitigation of climate change that would not have occurred in the absence of such activities” (paragraph 1(d)).

28. The estimated environmental benefits related to the mitigation of climate change of an activity implemented jointly (AIJ) are equivalent to the difference between the quantity of greenhouse gas (GHG) emissions released or sequestered as a result of the activity and the amount of GHG emissions that would have been released or sequestered in the baseline or reference scenario. If defined in this way, the estimated environmental benefits should take into consideration any possible leakage.

29. In assessing the environmental benefits of an activity implemented jointly, it is important to ensure that the claimed benefits fulfil the criteria of decision 5/CP.1. That is to say that the claimed benefits are real, measurable, long-term and additional.

30. The environmental benefits related to the mitigation of climate change of an AIJ would be recognized as real if the actual GHG emissions or sequestration can be shown to differ from a credible and probable baseline scenario, taking leakage into account. In the case of an GHG emission project, the actual GHG emissions in the project case must be lower than the projected GHG emissions in the baseline scenario. In the case of an GHG sequestration project, the actual rate of sequestration in the project case must be higher than the projected GHG emissions in the baseline scenario.

31. The environmental benefits of an AIJ related to the mitigation of climate change are considered to be measurable if the actual level of GHG emissions of the project case and the level of GHG emission in the baseline scenario can be established with a reasonable degree of certainty. The degree of certainty in each case will need to be determined. Direct measurement is the preferred method for observing emissions in the project case. This may not be possible in the baseline scenario, which is often a counterfactual case.

32. The environmental benefits of an AIJ related to the mitigation of climate change can be recognized as long-term if the emissions avoidance or sequestration are sustainable, i.e. they persist over an appropriate period of time which may extend beyond the life of the project.

33. The environmental benefits of an AIJ related to the mitigation of climate change can be recognized as additional if it can be demonstrated that the resulting environmental benefits related to GHG would not have otherwise occurred. Several methods are currently being used or developed to demonstrate this additionality. Possible methods include:

- (a) Measuring additionality for an AIJ against a credible, quantitative baseline;
- (b) Defining narrow categories of activity types whose emission benefits will *a priori* be considered additional; or
- (c) Assessing additionality by evaluating whether an AIJ overcame financial (not to be confused with the aspects dealt with in the next section), institutional, technological, or other barriers to project development.

34. Guidelines should be developed to facilitate the determination of environmental benefits related to the mitigation of climate change. Such guidelines should provide a set of internationally accepted methods of executing the necessary calculations and evaluations of environmental benefits generated by an AIJ. In some cases, those guidelines could allow for a choice between such recommended methods or a combination of them.

### **C. Financial Additionality**

35. Decision 5/C.P.1 provides “that the financing of activities implemented jointly shall be additional to the financial obligations of Parties included in Annex II to the Convention within the framework of the financial mechanism as well as to current official development assistance (ODA) flows” (paragraph 1(e)).

36. This financial additionality should not be confused with the assessment of the financial feasibility of potential AIJ/Joint Implementation (JI) projects as an indicator of the environmental additionality of a project, if this indicator is to be used for such purposes.

37. The issue of financial additionality may become less significant after the pilot phase when emissions reductions are credited, assuming that considerably more private funding of JI will then take place. By definition, private funding is not ODA. Besides, it is unlikely that the private sector will contribute directly to the financial mechanism of the Convention.

38. Among ways to operationalize financial additionality conceivable options include establishing a link between the recognition (or the crediting when established) of an AIJ with the level of ODA and contributions to the financial mechanism of the Convention, as well as excluding strictly from AIJ funding any ODA or GEF funding.

#### **D. Compatibility and Supportiveness of National Priorities**

39. Activities implemented jointly should be compatible with and supportive of national environment and development priorities, especially in host countries. In this regard, it is important that designated national authorities of host Parties who are charged with the responsibility of approving AIJ have the capacity to ascertain whether the proposed activities are compatible with and supportive of national environment and development priorities and strategies. Individual Parties may establish their own criteria for acceptance of AIJ-projects, such as capacity building and transfer of appropriate technology.

#### **E. Possible Approaches and Need for Additional Work**

40. To strengthen the credibility of the AIJ regime, guidelines and methodologies for establishing AIJ baselines should be developed. The degree of detail necessary in these guidelines and methodologies remains to be determined.

41. Methodologies for the determination of environmental benefits should meet the following criteria of credibility, transparency, operational simplicity and predictability. The Parties to the UNFCCC require that these methodologies be both credible and transparent. Project participants need methods that are simple to apply, user-friendly, and involve low transaction costs. Private investors require a measure of predictability in the application of the guidelines so that they may gauge the value of AIJ projects.

42. The guidelines for preparing AIJ baselines should provide project participants with several options. One option might include the use of tools such as simplified methodologies, matrices and analytic typologies. A second approach might include the use of some simple paradigmatic illustrations that could be followed by project participants in the construction of typical baselines. Yet another option could allow the project participants to construct more elaborate baseline scenarios based on sufficient country-specific and site-specific data.

43. Additional work may be needed in the following areas (not in an order of importance):

- (a) Development of guidelines:
  - (i) at a level of specificity which needs to be determined;
  - (ii) with respect to system boundaries and consideration of leakage;
  - (iii) for the preparation of sector-specific and technology-specific baselines; and
  - (iv) to prevent systematic errors in the determination of AIJ baselines;

- (b) Identification of sectors and technologies which are to be given priority in this process of methodological work and identification of indicative criteria for these sectors and technologies;
- (c) Definition of narrow categories of projects that could be assumed on an *a priori* basis to provide additional environmental benefits;
- (d) Consideration of activities in which estimated emissions in the project case reach or exceed the level of estimated emissions in the baseline;
- (e) Institutional issues that would need to be addressed in a post-pilot phase with regard to crediting, if such crediting were agreed to by the Parties;
- (f) Establishment of appropriate procedures and mechanisms for third-party verification (Such work might be enriched by drawing upon lessons learned from the Helsinki Process on Tied Aid.);
- (g) Clarification of the operational definition of financial additionality with regard to ODA;
- (h) Further exploration of the issue of “perverse incentives” and their implications;
- (i) The operational determination that environmental benefits are real and are long-term;
- (j) The possibility of earning credits in the future for focussed capacity-building activities; and
- (k) The problem of how to value benefits other than GHG emissions reductions or sequestration.

## II. LIST OF ACTIVITIES IMPLEMENTED JOINTLY

44. The table below contains AIJ which have been reported in addition to the 62 AIJ listed in document FCCC/SBSTA/1997/12/Add.1. These activities have been accepted, approved or endorsed by the designated national authorities for AIJ. A consolidated, updated table is available on the UNFCCC website, providing links to reports on AIJ available in electronic format.

Activity Type	Activity Title	Parties
Forest preservation	Commercial Reforestation in the Chiriquí	Panama, USA
Fuel switching	City of Deçin: Fuel Switching for District Heating	Czech Republic, USA
Renewable energy	Bio-Gen Biomass Power Generation Project, Phase I	Honduras, USA
Renewable energy	Bio-Gen Biomass Power Generation Project, Phase II	Honduras, USA
Renewable energy	Kilung-Chuu Micro Hydel, Bhutan	Bhutan, Netherlands

## III. OFFERS OF ACTIVITIES

45. This section reproduces only new offers received since FCCC/SBSTA/1997/INF.2. The list of all offers is available on the UNFCCC website.

### Uzbekistan

(contact: see section "National Contact Information")

#### 1. TASHKENT Utilisation of domestic wastes

This project involves construction of a combined heat and power station incinerator for the burning of domestic and agricultural wastes. The functioning prototypes exist in Denmark.

*Total cost:* \$US 65,000.

*Duration:* 5 years. *Benefits:* Reduction of CO<sub>2</sub> emissions from uncontrolled burning of domestic wastes, reduction of smoke and methane emission, removal of domestic waste collectors from the territory. *Participants:* Ministry of Municipal Service of the Republic of Uzbekistan, Glavgidromet.

#### 2. Biomass gasification

This project involves handling and adaptation of gasification technology to the local biomass resource, and, in particular, production of biomass from the solid domestic waste, active silt, and cattle breeding wastes in Uzbekistan. Prototypes exist in Sweden, USA, and Canada.

*Module cost:* \$US 70,000.

*Duration:* 5 years.

*Benefits:* Gasification of 1 ton of biomass corresponds to the reduction of 1.5 tons of CO<sub>2</sub> biomass which equals 0.5 tce of fossil fuel. It is planned to reduce CO<sub>2</sub> emissions per 80,000 ton on one installation for the designed reprocessing of 55,000 tons of biomass.

*Participants:* Ministry of Municipal Service of the Republic of Uzbekistan, Glavgidromet.

#### 3. Creation of monitoring system for the heat power stations emissions

The objective of this project is the creation of equipment for the permanent measurement of emissions concentrations during the burning of different types of fuel by the heat power stations of Uzbekistan. *Total cost* will be estimated after definition of range of usage. *Duration:* 5 years.

*Benefits:* Controlling the amount and concentration of emissions from the use of different types of fuel in energy production in Uzbekistan.

*Participants:* Ministry of Energy and Electrification of the Republic of Uzbekistan, Glavgidromet.



#### 4. Combined wind-solar energy complex

The goal of this project is the provision of the reliable energy supply for the remount self-sufficient telecommunication objects of Uzbekistan (radio- and tele-transmitters) using the combined wind-solar energy source.

*Module cost* (5 kwt): \$US 90,000.

*Duration*: 5 years. *Benefits*: Reduction of 3.5 tons CO<sub>2</sub> emissions of each diesel-generator, decrease of anthropogenic load on environment.

*Participants*: Ministry of Communication of the Republic of Uzbekistan, Research Centre of Ministry of Communication, Glavgidromet.

#### 5. Autonomous heating and power supply

The goal of this project is the creation and preparation of industrial production of autonomous source of energy and hot water supply for heating and domestic needs on the base of Stirling engine.

*Total cost*: \$US 550,000. *Duration*: 5 years.

*Benefits*: Total utilisation of heat produced by the fuel burning and 6 tons reduction of CO<sub>2</sub> emission per year for each installation. The number of potential users of autonomous power installations in the Republic of Uzbekistan is more than 1 million. *Participants*: Academy of Sciences of the Republic of Uzbekistan, Ministry of Municipal Service of the Republic of Uzbekistan, Ministry of Water Economy and Agriculture of the Republic of Uzbekistan, Glavgidromet.

#### 6. Set of power generation equipment for ecologically sound livestock farm (demonstration project)

The aim of this project is the creation of combined Stirling generator for the complex energy supply including power, hot water and cold conditions provided for dairy farm with 50 head of cattle.

This set includes bio-gaseous device combined Stirling generator, solar water heating devices-collectors. Combined Stirling engine uses the produced bio-gas and solar energy and fully provides for the farm's needs in hot water, cold and partially, in power. *Total cost*: \$US 160,000.

*Duration*: 5 years. *Benefits*: Reduction of CO<sub>2</sub> and methane emissions, bio-gas utilisation, ecological cleanliness of the farm.

*Participants*: Academy of Sciences of the Republic of Uzbekistan, Ministry of Water Economy and Agriculture of the Republic of Uzbekistan, Glavgidromet.

#### 7. Preservation of heat energy and control for pollutants monitoring in Tashkent

This project involves the assessment of the existing system of heat production and monitoring of emissions in the atmosphere in Tashkent and working out of economical and legislative regulating standards for the optimum heat use and improvement of the monitoring system of atmosphere quality in Tashkent.

*Total cost*: \$US 50,000. *Duration*: 3 years.

*Benefits*: 20 million tons reduction of CO<sub>2</sub> emissions and toxic compounds from the burning of fossil fuel in heat power stations, and working out of proposals on the legislative documents on the protection of the environment.

*Participants*: Ministry of Municipal Service of the Republic of Uzbekistan, Ministry of Energy and Electrification of the Republic of Uzbekistan, Glavgidromet.

#### 8. Demonstration project

The objective of this project is to demonstrate the possibilities and benefits of the solar and wind energy use in rural and remote areas of the Republic of Uzbekistan, the assessment of the existing system of heat production and consumption in remote areas of Karakalpakistan and working out of proposals on the wide use of the solar and wind energy for the heating and lighting of the working buildings and houses in the example of 5 rural areas of Karakalpakistan.

*Total cost*: \$US 90,000. *Duration*: 3 years.

*Benefits*: reduction of emission GHGs and toxic gases from the burning of the fossil fuel and biomass, development of strategy of non-traditional energy sources used for the rural areas of the Republic of Uzbekistan.

*Participants*: Ministry of Water Economy and Agriculture of the Republic of Uzbekistan, Glavgidromet.

#### IV. NATIONAL CONTACT INFORMATION

46. Listed below are the contact points for entities authorized to accept, approve or endorse activities implemented jointly and to report on them to COP. National focal points<sup>1</sup> to the UNFCCC are marked by (NFP).

**Albania (NFP):**

Committee of Environmental Protection  
Rr. B. "Curri" Nr. 9  
Tirana , Albania  
Tel.: (355-42) 6-5229/30682  
Fax: (355-42) 66-5229  
E-Mail: cep@cep.tirana.al

**Algeria (NFP):**

Ministry of State, Local Collectivities and Environment  
Mr. Ramdane Sid Ali  
Directeur de la Préservation de la Biodiversité et des Espèces Naturelles  
Director of the Preservation of Bio-diversity and Natural Species  
Algiers , Algeria  
Tel.: (213-2)65-2822  
Fax: (213-2)65-3997

**Angola (NFP):**

Ministry of Environment  
Rua Frederico Engels, Edificio 92  
Predio da Mutamba, 3 And, C.P. 1061  
Luanda, Angola  
Tel.: (244-2)33-4709/-4683 or 39-5844  
Fax: (244-2)33-2611

**Antigua and Barbuda (NFP):**

Permanent Mission of Antigua and Barbuda to the United Nations, New York  
610 Fifth Avenue, Suite 311  
New York NY 10020, United States of America  
Tel.: (1-212)541-4117  
Fax: (1-212)757-1607

**Australia:**

AIJ Australia Office  
Department of Primary Industries and Energy  
Edmond Barton Building  
Barton, ACT 2600, Australia  
Tel: (61-6) 272-4791 or (61-6) 272-4791  
Fax: (61-6) 271-5699  
E-mail: aij\_australia@regate.dpie.gov.au  
AIJ National Programme Web Site:  
Australian Initiative on Activities Implemented Jointly

**Austria (NFP):**

Federal Ministry for the Environment, Youth and Family Affairs  
Stubenbastei 5  
A-1010 Wien , Austria  
Tel.: (43-1)5-1522-1737  
Fax: (43-1)5-1522-7810

**Azerbaijan (NFP):**

State Committee for Hydro-meteorology  
3 Resul Rza Str.  
370000 Baku, Azerbaijan  
Tel.: (994-12)93-9500  
Fax: (994-12)93-6937

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<sup>1</sup> According to the message from the Executive Secretary on arrangements for communication and liaison with Parties to the Convention dated 8 May 1996, the national focal point should be able to accept, approve or endorse activities implemented jointly and report on them to the COP through the secretariat. Parties are encouraged to identify their national focal points and inform the secretariat accordingly. Additional information on national focal points may be obtained from the CC:INFO booth or by contacting Mr. Horacio Peluffo, External Relations Officer.

**Bahamas (NFP):**

Bahamas Environment, Science and  
Technology Commission  
P.O. Box 10980  
Nassau, Bahamas  
Tel.: (1-242)327-4691/3  
Fax: (1-242)327-4626

**Belize:**

Ministry of Energy, Science, Technology and  
Transportation  
Mr. Carlos Fuller  
Chief Meteorologist  
Power Lane  
Belmopan, Belize  
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**Bhutan (NFP):**

National Environment Commission  
Dechen Tsering Gyaltshen  
P.O. Box 466  
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**Bolivia:**

Ministerio de Desarrollo Sostenible y Medio  
Ambiente  
Ministry of Sustainable Development and  
Environment  
Ave. Arce No. 2147  
Casilla No. 12814  
La Paz, Bolivia  
Tel: 372063 or 372378  
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**Botswana (NFP):**

Ministry of Works, Transport and  
Communications  
Ms. Gladys Ramothwa  
Director of the Department of  
Meteorological Services  
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Gaborone, Botswana  
Tel.: (267)356-281 or (267)356-284  
Fax: (267)356-282

**Bulgaria:**

Ministry of Environment  
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BUL-1000 Sofia, Bulgaria  
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**Burkina Faso (NFP):**

Ministry of Environment and Water  
03 B.P. 7044  
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**Cambodia (NFP):**

Ministry of Environment  
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**Cameroon (NFP):**

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**Canada:**

Canadian Joint Implementation Initiative  
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**Central African Republic (NFP):**

Ministry of Environment, Water, Forests,  
Hunting and Fishery  
B.P. 830  
Bangui, Central African Republic  
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Fax: (236)61-5711 or 61-6700

**Chile (NFP):**

Ministry of Foreign Affairs  
Catedral 1158  
Santiago, Chile  
Tel.: (56-2)698-0301  
Fax: (56-2)699-4202

**China (NFP):**

Ministry of Foreign Affairs  
225, Chaonan Street  
Beijing 100701, China  
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Fax: (86-10)6596-3209

**Colombia (NFP):**

Colombian Ministry for Foreign Affairs  
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Fax: (57-1)337-0578

**Congo (NFP):**

Ministry for Tourism and Environment  
Pierre Mbouyou  
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50, rue Balou Constant B.  
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**Costa Rica:**

Oficina Costarricense de Implementación  
Conjunta (OCIC)  
Costa Rican Office for Joint Implementation  
Mr. Franz Tattenbach (National  
Coordinator)  
Mr. Adalberto Gorbitz (General Manager)  
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**Cuba (NFP):**

Meteorological Institute of Cuba  
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**Cyprus (NFP):**

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**Czech Republic:**

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**Democratic Republic of the Congo (NFP):**

Ministry of the Environment, Nature  
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**Denmark (NFP):**

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**Ecuador (NFP):**

Ministry of Foreign Affairs  
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Tel.: (593-2)56-1215 or 56-1040  
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**Egypt (NFP):**

Egyptian Environmental Affairs Agency  
17 Teiba Street  
El-Mohandeseen/Dokki  
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**Eritrea (NFP):**

Eritrean Agency for the Environment  
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**Estonia (NFP):**

Ministry of Environment  
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**Ethiopia (NFP):**

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**France:**

Caisse française de développement  
Fond Français pour l'Environnement  
Mondial Secrétariat de mise en oeuvre  
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**Gambia (NFP):**

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