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SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

Eighth session

Bonn, 2-12 June 1998

Item 8 of the provisional agenda

SUBSIDIARY BODY FOR IMPLEMENTATION

Eighth session

Bonn, 2-12 June 1998

Item 8 of the provisional agenda

MECHANISMS FOR COOPERATIVE IMPLEMENTATION

Responses to questionnaire relating to cooperative implementation mechanisms

Submissions by intergovernmental and non-governmental bodies

Note by the secretariat

1. This document provides information on activities and plans of intergovernmental and non-governmental organizations with particular expertise and/or interest in the three mechanisms of cooperative implementation referred to in the Kyoto Protocol to the Convention (FCCC/CP/1997/7/Add.1, decision 1/CP.3): joint implementation (Article 6), a clean development mechanism (Article 12) and emissions trading (Article 17). The information was compiled in response to an interest expressed by the Chairmen of the Subsidiary Body for Scientific and Technological Advice (SBSTA) and the Subsidiary Body for Implementation (SBI), and aims at gaining an overview of work which can contribute to the intergovernmental process. The document contains a summary table of responses to the UNFCCC questionnaire on ongoing and planned activities related to the three cooperative implementation mechanisms. This compilation does not provide information on activities of the secretariat.

2. In accordance with the procedure for miscellaneous documents, the questionnaire responses are reproduced in the language in which they were received and without formal editing.\*

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\* In order to make these submissions available on electronic systems, including the World Wide Web, these contributions have been electronically scanned and/or retyped. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

3. In order to further enhance the exchange of views on concepts and approaches and to identify opportunities and modalities for cooperation among intergovernmental and non-governmental agencies and organizations on the new mechanisms, the secretariat will convene an inter-organization meeting at UNFCCC headquarters in Bonn on 1 June 1998. An oral report on the outcome of this meeting will be provided to the joint meeting of the SBSTA and the SBI by the secretariat in the context of agenda item 8 on cooperative implementation.

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Summary table of responses to UNFCCC questionnaire on ongoing and planned activities related to the three cooperative implementation mechanisms

	AIJ		CDM		JI		ET	
	Ongoing	Planned	Ongoing	Planned	Ongoing	Planned	Ongoing	Planned
1. Which mechanisms are you working on?	(number following the name of an organization/agency indicates priority, if applicable, of work among the mechanisms)							
UN	UNEP		UNDP (1), UNEP, UNIDO (1)		UNDP (2), UNEP, UNEP/ROE, UNIDO (2)	UNEP/ROE	UNEP, UNIDO (3)	
IGO			GEF*, IEA (1), IFC (2), OECD*, World Bank		IEA (3), IFC (1), OECD*, World Bank		IEA (2) (with OECD), OECD*	
NGO	Pacific I. (2), TERI (1)		CCAP (2), CSDA, ENDA, FIELD (1), HIID (1), Pacific I. (1), TERI (2), USCAN (2), WRI (1)	Wuppertal I. (3)	CCAP (3), FIELD (2), HIID (2), Pacific I. (3), RIIA (2), TERI (4), USCAN (3), Wuppertal I. (2)		CCAP (1), FIELD (3), HIID (3), RIIA (1), TERI (3), USCAN (1), WRI (2), Wuppertal I. (1)	
2. Which area of work are you engaging in?	Methodology abbreviations: A=additionality, B=baselines, C=certification, M=monitoring, V=verification							
-general policy/strategy	Pacific I., TERI, UNEP*		CCAP, CSDA, ENDA, FIELD, GEF*, HIID, IEA, IFC, OECD, Pacific I., TERI, UNDP*, UNEP*, USCAN, World Bank, WRI		CCAP, FIELD, HIID, IFC, OECD, Pacific I., RIIA, TERI, UNDP*, UNEP*, USCAN, World Bank, Wuppertal I.		CCAP, FIELD, HIID, IEA, OECD, RIIA, TERI, UNEP*, USCAN, WRI, Wuppertal I.	
-methodological issues and options (see key above for abbreviations)	Pacific I., TERI (B/M/V), UNEP*	TERI (C)	CCAP, ENDA, FIELD, GEF*, HIID, OECD, Pacific I., TERI (B/M/V), UNDP*, UNEP*, UNIDO, USCAN, World Bank, WRI	IEA (C/M), TERI (C)	CCAP, FIELD, HIID, OECD, Pacific I., TERI (B/M/V), UNDP*, UNEP*, UNIDO, USCAN, World Bank, Wuppertal I.	IEA (B/A), TERI (C)	CCAP, FIELD, OECD, UNEP*, USCAN, WRI, Wuppertal I.	
-institutional requirements and options	TERI, UNEP*		CCAP, CSDA, FIELD, OECD, Pacific I., TERI, UNDP*, UNEP*, UNIDO, USCAN, World Bank, WRI		CCAP, FIELD, OECD, RIIA, UNDP*, UNEP*, UNIDO, USCAN, World Bank, Wuppertal I.	IEA	CCAP, FIELD, IEA (w/OECD), OECD, RIIA, UNEP*, UNIDO, USCAN, WRI, Wuppertal I.	
-project identification/ development (AD=adaptation, MI=mitigation)	TERI (MI)		CSDA (MI), FIELD, GEF*, HIID, IFC, TERI (MI), UNDP, UNIDO, World Bank (MI)	IFC, TERI (AD)	HIID, IFC, UNDP, UNIDO, World Bank (MI)	IFC	HIID	
-capacity building	Pacific I., TERI, UNEP*		CCAP, CSDA, ENDA, FIELD, GEF*, HIID, IEA, Pacific I., TERI, UNDP*, UNEP*, UNIDO, World Bank, WRI		CCAP, HIID, Pacific I., UNDP*, UNEP*, UNEP/ROE, UNIDO, World Bank, Wuppertal I.		CCAP, HIID, UNEP*, UNIDO, WRI, Wuppertal I.	IEA
-potential impact and implications of mechanisms	TERI		CSDA, HIID, OECD, Pacific I., TERI, UNDP*, USCAN, World Bank, WRI		HIID, OECD, TERI, USCAN, World Bank, Wuppertal I.		HIID, OECD, TERI, USCAN, Wuppertal I., WRI	IEA (energy sectors)
-linkages among the mechanisms	Pacific I., TERI		CCAP, ENDA, FIELD, OECD, Pacific I., TERI, UNDP*, UNEP*, USCAN, World Bank, WRI		CCAP, FIELD, OECD, Pacific I., RIIA, TERI, UNDP*, UNEP, USCAN, World Bank, Wuppertal I.		CCAP, FIELD, OECD, RIIA, TERI, UNEP*, USCAN, WRI, Wuppertal I.	

Summary table of responses to UNFCCC questionnaire on ongoing and planned activities related to the three cooperative implementation mechanisms

	AIJ		CDM		JI		ET	
	Ongoing	Planned	Ongoing	Planned	Ongoing	Planned	Ongoing	Planned
3. What type of work are you carrying out?								
-technical studies/topics	TERI, World Bank*		FIELD, GEF*, HIID, OECD, Pacific I., TERI, UNDP*, UNIDO, USCAN*, World Bank*, WRI		FIELD, HIID, IEA*, OECD, RIIA, UNIDO, USCAN*, World Bank*, Wuppertal I.		FIELD, HIID, IEA*, OECD, RIIA, TERI, UNIDO, USCAN*, Wuppertal I.	
-workshops	TERI, UNEP, World Bank*		CCAP*, CSDA, ENDA (inputs), FIELD, IEA*, OECD, Pacific I., TERI, UNDP*, UNEP, UNIDO, World Bank*, WRI	HIID, UNEP (w/UNCTAD, IEA)	CCAP*, OECD, Pacific I., UNEP, UNEP/ROE, UNIDO, World Bank*	HIID, RIIA*, UNEP/ROE	CCAP*, OECD, UNIDO, Wuppertal I.	HIID, RIIA*
-technical cooperation	TERI, World Bank*		CSDA, FIELD, HIID, TERI, UNDP*, UNIDO, USCAN*, World Bank*		HIID, UNIDO, USCAN*, World Bank*		HIID, UNIDO, USCAN*	
-other	TERI*, UNEP*		CCAP* (issue papers), CSDA (policy), ENDA (position papers), IFC*, UNEP*, Wuppertal I.* (book on KP)		CCAP* (issue papers), IFC*, TERI*, UNEP*, Wuppertal I.* (book on KP)	UNEP/ROE (translation of JIQ into Russian)	CCAP* (issue papers), UNEP*, Wuppertal I.* (book on KP)	
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.								
-UNFCCC intergovernmental process (SB/COP)	Pacific I.*, TERI*, UNEP*, World Bank*		CSDA, IEA*, IFC*, Pacific I.*, TERI*, UNDP*, UNEP*, UNIDO, World Bank*		FIELD*, IEA*, IFC*, Pacific I.*, UNEP*, UNIDO, World Bank*, Wuppertal I.*		FIELD*, IEA* (w/OECD), UNEP*, UNIDO, Wuppertal I.*	
-other inter-governmental process	Pacific I.*, TERI*		CSDA (Latin America), ENDA (UNDP initiative), OECD*, Pacific I.*, TERI*, WRI (UNDP)		OECD*, Pacific I.*, TERI*, UNEP/ROE* (1994 request by European Ministers of Environment), Wuppertal I.*		OECD*, RIIA (UNCTAD trading study- June '98; European Commission, December '98), TERI*, Wuppertal I.*	
-non-governmental community	TERI*		CCAP*, FIELD*, HIID, IEA (regional workshops), TERI*, UNIDO, WRI		CCAP*, HIID, UNIDO, Wuppertal I.*		CCAP*, HIID, UNIDO, WRI, Wuppertal I.*	
* indicates that more detailed information is available from original questionnaire form included in this document (see Contents)								

## Questionnaire

### Ongoing and planned activities related to the three cooperative implementation mechanisms

Name of Organization: United Nations Development Programme

Contact person/responsible officer (address): Thomas B. Johansson, Director  
Energy and Atmosphere Programme  
UNDP, 304 East 45<sup>th</sup> St, New York, NY 10017

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1. Which mechanism(s) are you working on (if several, please state in order of priority)?
  - 1) Clean Development Mechanism (CDM)
  - 2) Joint Implementation (JI) to some extent in Central and Eastern Europe
  
2. Which area of work are you engaging in? Kindly state by mechanism.
  - General policy/strategy: Yes; The point of departure for UNDP involvement in the Kyoto follow-up is based on the need to meet broader objectives than climate change concerns only. In the context of its policy document "Energy After Rio: Prospect and Challenges", UNDP is involved to raise awareness and comprehension in developing countries, within the context of sustainable energy strategies, on both substantive technical questions and operational issues related to the cooperative implementation mechanisms.
  - Methodological issues and options: (such as baselines, monitoring and verification, certification): Yes; analytical and operational review of above noted methodological issues and options through the implementation of activities noted in 3 and 4 of this questionnaire.
  - Institutional requirements and options: Yes (see under 3 and 4)
  - Project identification/development:
    - Mitigation: Yes
    - Adaptation: if so requested, yes
  - Capacity-building/training: UNDP will assist developing countries in capacity building within the context of their national environment and development priorities and strategies. In particular, to support developing country efforts in exploring if and what benefits/interests they have in participating in cooperative implementation projects.
  - Potential impact and implications of mechanism(s): Analysis of the potential impacts and the consequences of implementing cooperative mechanisms will be carried within the context of the analytical work UNDP will carry out in preparation for the Issues and Options: Clean Development Publication, as well as through piloting activities just launched.
  - Linkages among the mechanisms: UNDP regional and country programmes, including UNDP/GEF support to enabling activities and national communications, provide a comprehensive basis for identifying and assessing relevant strategic approaches as well as concrete pilot project options. This linkage will be systematically introduced to maximize the implementation of the Convention and the interests of host countries.
  
3. What type of work are you carrying out?
  - Technical studies/topics: UNDP has invited selected individuals to provide their views and ideas for a UNDP publication on various issues and options for the design and operation of the Clean Development Mechanism. The publication will be edited by Prof. José Goldemberg (Brazil), and put out by UNDP for the purpose of facilitating the debate but will not necessarily represent the views of the UNDP.

- Workshops: As highlighted in the review of some elements of the UNDP climate change programme post-Kyoto, the main focus of UNDP activities is on technical cooperation. In general, workshops for the exchange of information and experiences as well as in-depth consideration of emerging issues constitute an integral part of this approach. Specific aspects of institutional strengthening and project participation under the cooperative mechanisms of the UNFCCC/Kyoto Protocol will be taken up at UNDP workshops planned for 1998/99. One workshop was recently facilitated by UNDP in Peru for the Governments of Latin America. UNDP contributed to another in Dakar for the Governments of Africa. UNDP will continue to support the convening of regional workshops in order to support policy dialogue and preparations for UNFCCC negotiations on cooperative implementation. For the moment, three concrete opportunities have been identified: in the Philippines in August and in Africa and China later in the fall.
  - Technical cooperation: On the basis of existing activities carried out under the Energy and Atmosphere Programme, the Public-Private Partnerships unit, relevant experiences of the work of the GEF unit, and through engaging UNDP country offices, training and capacity building will be supported in an integrated manner. As an integral part of UNDP efforts in the area of clean development/climate change, the newly established UNDP Urban Tech 21 programme promoting public and private sector partnerships represent an innovative instrument for collaboration with industry in the Kyoto follow-up. The key objective is to respond to pressing development concerns while at the same time implicitly addressing climate change. These activities will aim at generating practical host country experience through concrete projects. For this purpose, investor country participation will be facilitated. Priority activities are capacity building for identification, development and design of relevant projects. The government of Norway has provided the initial funding for programme start-up and a coordinator has recently been appointed.
4. What is the use to be made of the work and when will it be delivered?
- The analytical publication referred to above will be made available for the 4<sup>th</sup> meeting of the Conference of the Parties, Buenos Aires, 1998.
  - The purpose of the work is to assist interested host countries as well as investor countries in exploring the scope for generating mutual and multiple benefits in the areas of clean development and climate change. Experiences and findings from the work may be presented to the UNFCCC intergovernmental process as deemed appropriate by the participating Parties. Similarly, other relevant inter-governmental processes and the non-governmental community will be provided with reports upon completion of activities.

## Ongoing and Planned Activities Related to the Three Cooperative Implementation Mechanisms

UNEP has been involved in undertaking a number of projects, international and regional workshops and meetings on joint implementation since 1994. UNEP information exchange meetings have included regional meetings on JI/AIJ, a seminar on AIJ in the ECE, an international conference on JI for CITs, an international AIJ workshop, and a sub-regional workshop on AIJ for decision and policy makers from five Central Asian Republics. UNEP has convened in April and May 1998 a series of workshops on CDM jointly with IEA, UNDP and IBD in Brazil, Peru and India. UNEP has also convened a Panel discussion on CDM this month in Nairobi. Members of the panel included Michael Zammit Cutajar, Joke Waller Hunter, T. Panayotou, Rene Castro, R. Pachauri, and R. Sykes. Two additional workshops on CDM are currently being prepared jointly with UNCTAD and IEA.

UNEP is currently working on a joint initiative with UNCTAD to establish an Intergovernmental Panel on Economic Instruments for Environmental Policy. The main objective of the project is to promote and address modalities for the use and application of economic instruments for environmental management and sustainable development. In particular, the project will focus on the use and application of economic instruments as efficient and cost-effective tools to support, in association with other measures, the implementation of Multilateral Environmental Agreements, starting with the implementation of the UNFCCC and the Kyoto Protocol. This will include consideration of the operational modalities and linkages between the Clean Development Mechanism, Joint Implementation, and emissions trading. The project should result in promoting the use and application of market-based incentives to achieve environmental objectives, with particular focus initially on the implementation of the Kyoto Protocol. The principal objectives of the project are to:

- (i) increase the effective and efficient use of economic instruments for environmental management as part of a policy mix of measures, by creating a process whereby governments, the private sector, international organizations and NGOs can consolidate, coordinate and build policy coherence regarding the optimal design, implementation and monitoring of such instruments;
- (ii) build consensus through analytical assessment, information dissemination and debate for wider application of economic instruments;
- (iii) recommend global mechanisms for the universal application of economic instruments as well as for individual applications to fulfill requirements of MEAs under various socioeconomic and environmental contexts;
- (iv) create an inventory of past and existing uses of economic instruments;
- (v) deepen empirical, econometric, sectoral performance, international trade, competitiveness and other analyses of such instruments, by facilitating an on-going exchange among governments and the private sector;
- (vi) strengthen policy coherence between domestic environmental policies and economic measures taken pursuant to selective Multilateral Environmental Agreements (MEAs);
- (vii) provide analytical and technical assistance to developing countries and countries with economies in transition, in the design, implementation and monitoring of economic instruments;
- (viii) build close, cooperative partnerships with the private sector in the design and effective implementation of economic instruments; and,
- (ix) recommend research programmes and activities in the area of economic instruments for sustainable development.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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Kindly return the questionnaire to the UNFCCC secretariat by 19 May 1998 at the latest. Contact address:  
Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: [czumkeller@unfccc.de](mailto:czumkeller@unfccc.de))  
Thank you for your cooperation.

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Name of Organization: UNEP, Regional Office for Europe (UNEP/ROE)

Contact person/responsible officer (address): BEATRICE BULWA, UNEP/ROE, 15 CHEMIN DES ANEMONES, CH-1219 CHÂTELAINE - GENEVA

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
JOINT IMPLEMENTATION (FACILITATING INFORMATION EXCHANGE) (O&P)
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy
  - methodological issues and options (such as baselines, monitoring and verification, certification)
  - institutional requirements and options
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training XX JOINT IMPLEMENTATION
  - potential impact and implications of mechanism(s)
  - linkages among the mechanisms.
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics
  - Workshops XX JOINT IMPLEMENTATION (O&P)
  - Technical cooperation (project development, training)
  - Other (please specify). XX TRANSLATION OF THE "JOINT IMPLEMENTATION QUARTERLY" BULLETIN INTO RUSSIAN (P)
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify) XX FOLLOW-UP TO 1994 REQUEST BY EUROPEAN MINISTERS OF ENVIRONMENT THAT UNEP/ROE FACILITATE THE EXCHANGE OF INFORMATION ON JI ON A PAN-EUROPEAN LEVEL
  - Non-governmental community.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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Kindly return the questionnaire to the UNFCCC secretariat by 19 May 1998 at the latest. Contact address:  
Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: UNIDO

Contact person/responsible officer (address): Mr. Robert Willams/Ms. Marina Ploutakhina  
Kyoto Protocol Branch

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
CDM, JI, emissions trading
  
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX (CDM, JI) O
  - institutional requirements and options XX O
  - project identification/development XX (CDM, JI) O
    - mitigation
    - adaptation
  - capacity-building/training XX O
  - potential impact and implications of mechanism(s)
  - linkages among the mechanisms.
  
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics XX O
  - Workshops XX O
  - Technical cooperation (project development, training) XX O
  - Other (please specify).
  
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP) XX O
  - Other inter-governmental process (please specify)
  - Non-governmental community. XX (business and industry NGOs) O

Responses to UNFCCC Secretariat Questionnaire  
Ongoing and Planned Activities related to the Three Cooperative Implementation Mechanisms  
(Article 6 joint implementation, Article 12 Clean Development Mechanism, and Article 17  
emissions trading)

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Organization: Global Environment Facility

Contact: Alan S. Miller, GEF, 1818 H St NW, Rm G6-016, Washington, D.C. 20433

Question 1. Which mechanisms are (we) working on?

As the Interim Financial Mechanism for the Convention, we have no formal program pertaining to any of the three implementation mechanisms, although as described below some of our activities offer relevant experience.

Question 2-4. What type of work are (we) engaged in with respect to different issues associated with the implementation of the three mechanisms?

Although not in the context of the cooperative implementation mechanisms, the GEF climate program includes several elements that respond to the listed areas of work:

- with respect to project identification and development, the GEF has provided more than \$700 million in support for more than 60 projects to mitigate greenhouse gas emissions through the removal of barriers or support of promising new technologies for improving energy efficiency and utilizing renewable energy.
- with respect to general policy and strategy, the GEF climate program operates under the guidance of the COP through an operational strategy and three operational programs (removal of barriers to energy efficiency, removal of barriers to renewable energy, and commercialization of promising new technologies for climate mitigation). Additional operational programs are also planned for transportation and carbon sequestration.
- with respect to methodological issues and options, GEF financing is based on principles that overlap with those that must be addressed for the cooperative mechanisms. The GEF provides funding to compensate for the “incremental costs” of climate mitigation, a concept that requires some assumption about baseline practice in much the same way as may be necessary for evaluating carbon offsets in the context of projects under JI or the CDM. The GEF also has requirements for project monitoring and reporting but no equivalent of verification or certification.
- the GEF provides basic support for climate capacity building through its financing of national communications, including emission inventories and reporting. Many GEF climate projects also emphasize or at least include components for training and other capacity building activities. The GEF supports first-stage planning of adaptation activities.

Questionnaire  
Ongoing and planned activities related to  
the three cooperative implementation mechanisms

Name of organisation: International Energy Agency  
Contact person/responsible officer: Richard Baron  
IEA, Energy and Environment Division  
9 Rue de la Fédération  
F - 75739 Paris Cedex 15  
Tel: 33 1 40 57 67 24  
Fax: 33 1 40 57 67 39  
E-mail: richard.baron@iea.org

N.B. Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).

1. Which mechanisms are you working on (if several, please state in order of priority)?

Clean development mechanism  
Emissions trading  
(including with the OECD, support to the Annex I Expert Group on UNFCCC)  
Joint implementation

Order indicates resources devoted to the different activities in 1998.

2. Which area of work are you engaging in?

Clean development mechanism

General policy (O)  
Methodological issues (certification, monitoring) (P)  
Capacity building (O)

Emissions trading

General policy and strategy (O)  
Institutional issues and options: principles, modalities, rules and guidelines, with OECD (O)  
Capacity building and training (P)  
Potential implications: on energy sectors, such as electricity (P)

Joint implementation

Methodological issues: baselines and additionality (P)  
Institutional requirements and options (P)

3. What type of work are you carrying out?

Clean development mechanism

Workshops to gather views on the CDM from different regions outside Annex I: 9 person-months.

Regions covered are: Latin-America (Brazil), South-East Asia (India), China, Africa (West).

Emissions trading and joint implementation

Study on electricity and international GHG emissions trading: 8 person-months.

Workshop on Emission Trading and Joint Implementation (Moscow, September): 5 person-months.

Support for the Annex I Expert Group on the UNFCCC (emission trading): 4 person-months. Analytical work (issues related to international emissions trading) and 'secretariat' work.

#### 4. What is the use?

All the IEA work is used as an input for discussion at the International Energy Agency Standing Group on Long-Term Policy Co-operation, and IEA Governing Board (Energy and Economics Ministries). Meetings where these and other topics are discussed are scheduled throughout the year.

Inform UNFCCC Subsidiary Bodies and Conference of the Parties:

- Report on and summary of discussions during workshops organised by the IEA on the Clean Development Mechanism, to be delivered in Bonn and Buenos Aires.
- Report and summary of discussions during Moscow workshop on emissions trading and joint implementation.
- Together with OECD, possible input to UNFCCC discussion on emissions trading through our contribution to the work of the Annex I Expert Group (COP-4).
- IEA product on baseline and additionality issues for the Annex I Expert Group (COP-4?)

Input to IPCC work on policy instruments for (Third Assessment Report), through IEA staff participation as contributing authors.

## Questionnaire

### Ongoing and planned activities related to the three cooperative implementation mechanisms

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Kindly return the questionnaire to the UNFCCC secretariat by 19 May 1998 at the latest. Contact address:  
Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: [czumkeller@unfccc.de](mailto:czumkeller@unfccc.de))  
Thank you for your cooperation.

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Name of Organization: International Finance Corporation (World Bank Group)

Contact person/responsible officer (address): Dana Younger, Environmental Projects Unit,  
Environment Division, Technical and Environment Department tel: (202) 473 4779;  
fax: (202) 974 4349; [dyounger@ifc.org](mailto:dyounger@ifc.org)

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
Article 6 and Article 12 projects.
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX (ongoing participation in selected/focused discussions related to CI mechanisms, particularly related to Article 6 and Article 12)
  - methodological issues and options (such as baselines, monitoring and verification, certification)
  - institutional requirements and options
  - project identification/development XX (preparatory activities ongoing; participation in structuring investments in Article 6 and Article 12 emissions limitation projects anticipated)
    - mitigation
    - adaptation
  - capacity-building/training
  - potential impact and implications of mechanism(s)
  - linkages among the mechanisms.
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics
  - Workshops
  - Technical cooperation (project development, training)

IFC works with private sector project sponsors to structure and finance investment projects in developing countries and countries with economies in transition. IFC is identifying opportunities for attracting additional financing to some projects in its portfolio (of past investments) and pipeline (of new investments) that can be enhanced through the application of specific technologies or with additional financing to reduce greenhouse gas emissions.

- Other (please specify).

4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.

- UNFCCC intergovernmental process (SB/COP)
- Other inter-governmental process (please specify)
- Non-governmental community.

IFC would like to assist private sector project sponsors to reduce greenhouse gas emissions associated with their investment projects, and that “additional” emissions reductions associated with such projects will qualify, in the future, for Article 6 or Article 12 emissions reductions transfers.

The project sponsors would be responsible for ensuring future COP/MOP rules and modalities are complied with. IFC would be pleased to share its experiences with the COP/MOP, subsidiary bodies and/or the secretariat for the FCCC. IFC does not anticipate to prepare formal reports on its activities.

Comments regarding design of the CDM:

Since IFC is unable to participate in the June 1 meeting, we wish to offer a few comments regarding CDM design. The comments are relevant to future transfers under Article 6 of the Kyoto Protocol.

- 1) IFC will assume that private-sector - to - private sector transactions of certified emissions reductions (CERs) will be allowed under the provisions of the CDM. This implies that government approvals/acceptance would be sought by the private parties involved in projects whose CERs will be processed by the CDM.
- 2) From a private sector perspective, Article 12 should be interpreted to limit the role of the CDM Executive Board (and any secretariat function associated with the CDM) to the processing of certified emissions reductions (CERs), recommending standards and procedures for auditing, verification and certification, and providing an oversight role to ensure that emissions reductions certified by “operational entities” meet minimum standards. The CDM Executive Board could be a special subsidiary body of the COP/MOP.
- 3) The roles of auditing, verification and certification can be delegated to “designated” operating entities in the private sector. The private sector has significant experience in developing rules and standards for accreditation and certification. Rules and standards can be developed through broad consultative processes that involve experts and institutions from all relevant sectors (multilateral, public, private and NGO). Several models exist in a range of industries. There are already more than 100 standards organizations, and more than 500 certifiers have been accredited by these organizations. For example, Lloyd’s Register, a British company, is regularly assessed or audited by 13 accreditation bodies that provide oversight to ensure compliance with standards and methodologies in various sectors. As an example, the USA-based financial accounting standards board (FASB) develops rules for financial accounting that are complied with by accounting firms and publicly listed companies alike. FASB is accountable to the US Securities and Exchange Commission. FASB rules are generally clear and widely published. FASB revises rules/standards, over time. Based on experience and as needed (eg special committees are appointed to address specific issues/problems). Violations of FASB rules by auditors and companies alike are subject to penalties.
- 4) In determining proceeds of project activities to cover administrative costs for processing of CERs, the COP/MOP and subsidiary bodies should take into account the fact that a “small” share will “facilitate” transactions of CERs. The share should be based on the amount of CERs to be processed for transfer via the CDM (rather than “project activities”, which is undefined and can be easily manipulated). The experience of commodities and securities trading suggests that the share should be based on a very small percentage of the amount of CERs transferred. A sliding scale would be appropriate, with a higher percentage for

smaller amounts of CERs (to guarantee a minimum amount of revenue for value added CDM processing services), and a lower percentage (eg 0.5%) for larger amounts of CERs (so as not to penalize large investments in emissions reductions). Again, the fee should be for value added services for processing CERs. From a private sector perspective, it is realistic to assume that the fee will not be a major source of funding for assistance to developing countries vulnerable to the impacts of climate change.

- 5) The procedures for processing CERs by the secretariat for the CDM executive board should be efficient. The procedures should reduce the time and documentation required for processing (through standardized reports on CERs prepared by operating entities and submitted by project investors). In IFC's experience, one difficulty in engaging the private sector in GEF projects is the cumbersome approval process. There is a risk that, if transaction costs are too high, the private market will not develop as it is now expected to. It may be worthwhile to explore the recent experience of industrialized countries in "streamlined" environmental permitting processes for lessons that can be learned on minimizing overly cumbersome bureaucratic procedures.

## Questionnaire

### Ongoing and planned activities related to the three cooperative implementation mechanisms

Name of Organization: Organisation for Economic Co-operation and Development (including its affiliates of the International Energy Agency, European Conference of the Ministers of Transport, Nuclear Energy Agency, Development Centre)

Contact person/responsible officer (address):  
Jan Corfee Morlot, Acting Principle Administrator  
Environment Directorate, OECD  
2 rue Andre Pascal  
75005 Paris, FRANCE  
tel: 33-1-45-24.79.24  
fax: 33-1-45-24.78.76  
email: jan.corfee-morlot@oecd.org

1. Which mechanism(s) are you working on (if several, please state in order of priority)?

- international greenhouse gas emissions trading
- joint implementation
- clean development mechanism

Across the OECD and IEA no prioritisation of work on these different mechanisms has taken place. However, individual work programmes under different parts of the organisation have implicit priorities for work on the individual mechanisms.

2. Which areas of work are you engaging in? Kindly state by mechanism	Emissions Trading	Joint Implementation	Clean Development Mechanism
● general policy/strategy	yes	yes	yes
● methodological issues and options (such as baselines, monitoring and verification, certification)	yes	yes	yes
● institutional requirements and options	yes	yes	yes
● project identification/development mitigation	no	no	no
● project identification/development adaptation	no	no	no
● capacity building/training	no	no	no
● potential impact and implications of mechanism(s)	yes	yes	yes
● linkages among the mechanisms	yes	yes	yes

3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.	Emissions Trading	Joint Implementation	Clean Development Mechanism
● Technical studies/topics	yes	yes	yes
● Workshops	yes	yes	yes
● Technical cooperation (project development, training)	no	no	no
● Other (please specify)			

4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.

OECD and IEA work products in these areas are requested by Member country governments through various oversight committees in both organisations. In addition, the OECD and the IEA provide analytical and secretariat support for the ad hoc Annex I Expert Group on the UN FCCC. In general, initial review and vetting of OECD and IEA products is carried out by government representatives from Member countries. Once the product is of sufficient quality, it is released as a public document. The OECD and the IEA aim to widely disseminate the results of completed work. This may be done in various ways: as working papers; in journal articles; through formal publications; or as public presentations in appropriate fora.

The World Bank is participating in two activities which contribute to the international processes for the reduction of global greenhouse gases. Please find a few introductory paragraphs regarding the two mechanisms prior to the response.

#### National AIJ/JI Strategy Studies Program (NASS)

In September 1997 the World Bank and the Government of Switzerland (and other bilateral donors) formally launched a collaborative initiative to assist potential host country governments in exploring the opportunities and potential benefits from participating in the AIJ pilot phase and in formulating their own positions regarding AIJ and JI (Joint Implementation).

Prior to the Kyoto conference, the program focused on countries with economies in transition. Following agreement in Kyoto on the establishment of a Clean Development Mechanism (CDM), the scope of the program has been expanded to also include developing countries and assist them in assessing their role in the CDM, identify potential investment projects and develop national policies regarding the CDM.

Each NASS is designed to emphasize the needs and interests of the participating country. The objective of each study is to provide the relevant national authorities and other stakeholders with an opportunity to develop and analyse options to better understand the issues and opportunities presented by potential international markets and other financing opportunities for greenhouse gas (GHG) offsets.

#### Prototype Carbon Fund

Last year, the Bank initiated the Global Carbon Fund to investigate the emissions reduction opportunities the Convention could provide through JI. Through the initiative, the Bank is exploring the feasibility of market mechanisms to reduce emissions of GHGs and support sustainable growth for developing countries. The major result of this work is the development and implementation of the Prototype Carbon Fund (PCF). Simply put, the PCF would obtain funds from industrialized countries and the private sector and invest them in projects resulting in emission reductions in either the countries with economies in transition or developing countries. The resulting emissions reductions would be certified and verified by an independent third party and transferred to the participants on a pro rata basis and in accordance with the necessary agreements between the participants and the host countries. In developing the Fund, the team has held extensive consultations with the governments of the developing and developed countries and with the private sector. The objectives of the PCF are

- to supply high quality offsets at a competitive price in an emerging market, and
- to seek to provide buyers and suppliers of offsets with a fair deal from their own perspective and a share of the value-added.

Responses to Questionnaire:

1. Articles 6 and 12; same priority
2. Articles 6 and 12; all areas except for adaptation
3. Both the PCF and the NSS will be involved in technical studies, workshops, technical cooperation. The PCF will also include project financing and brokerage of JI deals.
4. Both the PCF and the NSS programs are meant to provide input into the UNFCCC process towards developing the rules and modalities of the Kyoto Protocol. The developments of both programs are already widely disseminated and will continue to be so such that the learning value resulting from both programs is maximized. The Bank's mandate for participating in these two programs is a result of several factors. Most importantly is the past experience of the Bank through its regular climate change program, its role as an implementing agency for the Global Environment Facility and its climate change projects and the Activities Implemented Jointly Program financed by the Government of Norway.

The first three studies from the NSS Program have been completed and will be published by the Bank in the near future. An additional 5-10 studies are expected before the end of 1999. The PCF team is in the midst of developing the design and operations of the Fund based on feedback from the potential participants and host countries in addition to input from the UNFCCC processes. It is expected that the Bank's Executive Directors will endorse operations of the Fund in early 1999 at which time Fund Management would begin its initial call for capital from the participants. Throughout the remainder of the year and after the Fund begins operations, dissemination of the lessons learned from the development of such an instrument will be a high priority.

Additional information on the programs is available either through individual folders or via our website at <http://www-esd.worldbank.org/cc>

## Questionnaire

### Ongoing and planned activities related to the three cooperative implementation mechanisms

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Kindly return the questionnaire to the UNFCCC secretariat by 19 May 1998 at the latest. Contact address:  
Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: Centre for Clean Air Policy, 750 First Street NE, Suite 1140, Washington, DC 20002, USA

Contact person/responsible officer (address): David Festa, Deputy Director

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N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
We are doing ongoing work on all three mechanisms. It is very difficult to prioritize among them and we are interested in being involved in discussions on all three. If forced to prioritize, I would say  
1) Trading 2) CDM and 3) Art 6 JI.
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX all three mechanisms
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX all three mechanisms
  - institutional requirements and options XX all three mechanisms
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training XX all three mechanisms
  - potential impact and implications of mechanism(s)
  - linkages among the mechanisms. XX all three mechanisms
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics
  - Workshops XX We convene meetings of invited experts. Topics include the design of a trading system and JI/CDM baseline methodologies.
  - Technical cooperation (project development, training)
  - Other (please specify). XX We write issues papers for dissemination to delegates and other climate policy makers.
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate. Our papers are presented to US Government officials as well as delegates from other countries (both developed and developing). We are an environmental NGO but work with and present our findings to governments and industry as well as NGOs.
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify)
  - Non-governmental community.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: Center For Sustainable Development in the Americas

Contact person/responsible officer (address): Christina Figueres, 1700 Connecticut Ave NW  
Washington DC 20009 USA

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
CDM
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX
  - methodological issues and options (such as baselines, monitoring and verification, certification)
  - institutional requirements and options XX
  - project identification/development XX
    - mitigation XX
    - adaptation
  - capacity-building/training XX
  - potential impact and implications of mechanism(s) XX
  - linkages among the mechanisms.
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics
  - Workshops XX
  - Technical cooperation (project development, training) XX
  - Other (please specify). XX National and international policy
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP) XX
  - Other inter-governmental process (please specify) XX Latin American
  - Non-governmental community.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: [czumkeller@unfccc.de](mailto:czumkeller@unfccc.de))  
Thank you for your cooperation.

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Name of Organization: Environnement et Développement du Tiers Mondes (ENDA-TM)  
54, rue Carnot, B.P. 3370, Dakar, Senegal  
Contact person/responsible officer (address): Youba Sokona

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
Clean Development Mechanism (O)
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX
  - institutional requirements and options
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training XX
  - potential impact and implications of mechanism(s)
  - linkages among the mechanisms. XX
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics
  - Workshops XX (Inputs to various workshops)
  - Technical cooperation (project development, training)
  - Other (please specify). XX Position papers
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate. XX (Contribution to UNDP initiative)
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify)
  - Non-governmental community.

**Ongoing and planned activities related to  
the three cooperative implementation mechanisms**

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Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: [czumkeller@unfccc.de](mailto:czumkeller@unfccc.de))  
Thank you for your cooperation.

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Name of Organization: Foundation for International Environmental Law and Development  
SOAS/University of London, 46-47 Russell Square, London WC1B 4JP, United Kingdom

Contact person/responsible officer (address): Farhana Yamin

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?
2. Which area of work are you engaging in? Kindly state by mechanism.
  - a ● general policy/strategy
  - b ● methodological issues and options (such as baselines, monitoring and verification, certification)
  - c ● institutional requirements and options
  - d ● project identification/development
    - i) ● mitigation
    - ii) ● adaptation
  - e ● capacity-building/training
  - f ● potential impact and implications of mechanism(s)
  - g ● linkages among the mechanisms.
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - a ● Technical studies/topics
  - b ● Workshops
  - c ● Technical cooperation (project development, training)
  - d ● Other (please specify).
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - a ● UNFCCC intergovernmental process (SB/COP)
  - b ● Other inter-governmental process (please specify)
  - c ● Non-governmental community.

Questionnaire on Ongoing and planned activities related to the three cooperative implementation mechanisms.

FIELD/Farhana Yamin

1. CDM (O)  
JI (O)  
Trading (O)
2. CDM (a), (b), (c), (d), (e), (g)  
JI (a), (b), (c), (g)  
Trading (a), (b), (c), (g)
3. CDM (a), (b), (c)  
JI (a)  
Trading (a)
4. The work on the CDM is funded by independent foundations. It is part of FIELD's climate change programme. There is no delivery date.

The work on JI is part of a research project on the FCCC funded by DG XII (EU Commission), which is due to be completed by December 1998.

The work on trading is also part of the FCCC research project. We are also working closely with UNCTAD on a contract basis.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: Harvard Institute for International Development, Harvard University  
One Eliot Street, Cambridge, MA 02138, USA

Contact person/responsible officer (address): Theodore Panayotou      Ph) 617-495-9173  
tpanayot@hiid.harvard.edu      Fax) 617-496-3956

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
1. CDM      2. Joint Implementation      3. Emissions Trading
  
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX (O)
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX CDM and JI
  - institutional requirements and options
  - project identification/development XX (O)
    - mitigation
    - adaptation
  - capacity-building/training XX (O)
  - potential impact and implications of mechanism(s) XX (O)
  - linkages among the mechanisms.
  
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics XX (O)
  - Workshops XX (P)
  - Technical cooperation (project development, training) XX (O)
  - Other (please specify).
  
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify)
  - Non-governmental community. XX (O)

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: Pacific Institute for Studies in Development, Environment and Security

Contact person/responsible officer (address): Irving Mintzer or J. Amber Leonard  
9514 Garwood, Silver Spring, MD 20901, USA

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
CDM, AIJ/JI
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX CDM, JI/AIJ
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX CDM, JI/AIJ
  - institutional requirements and options XX CDM
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training XX CDM, JI/AIJ
  - potential impact and implications of mechanism(s) XX CDM
  - linkages among the mechanisms. XX CDM, JI/AIJ
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics XX CDM
  - Workshops XX CDM, JI
  - Technical cooperation (project development, training)
  - Other (please specify).
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP) XX Support for Developing Country Parties
  - Other inter-governmental process (please specify) XX Linkages to IPCC Technical
  - Non-governmental community. Transfer Report

**Questionnaire**  
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(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: [czumkeller@unfccc.de](mailto:czumkeller@unfccc.de))  
Thank you for your cooperation.

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Name of Organization: Royal Institute of International Affairs, Chatham House,  
10 St. James's Square, London SW1Y 4LE, England

Contact person/responsible officer (address): Michael Grubb

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
Trading; JI
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX (O)
  - methodological issues and options (such as baselines, monitoring and verification, certification)
  - institutional requirements and options XX (O)
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training
  - potential impact and implications of mechanism(s)
  - linkages among the mechanisms. XX (O)
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics XX (O)
  - Workshops XX (P?)
  - Technical cooperation (project development, training)
  - Other (please specify).
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify)
  - Non-governmental community.

European Commission - December, UNCTAD Trading Study - June delivery

## Questionnaire

### Ongoing and planned activities related to the three cooperative implementation mechanisms

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Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: Tata Energy Research Institute (TERI)

Contact person/responsible officer (address): Dr. Leena Srivastava, Dean, Policy Analysis Division,  
Darbari Seth Block, Habitat Place, Lodi Road, New Delhi - 110 003, INDIA

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?
  - Activities Implemented Jointly (AIJ) - (O)
  - Clean Development Mechanism (CDM) - (O)
  - Emissions Trading (ET) - (O)
  - Joint Implementation (JI) - (O)
  
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX CDM, AIJ/JI, and ET - (O)
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX AIJ, JI and CDM: Baselines (O), monitoring and verification (O), certification (P)
  - institutional requirements and options XX relating to AIJ/CDM (O)
  - project identification/development XX CDM (P), AIJ (O)
    - mitigation XX AIJ/CDM (O)
    - adaptation XX CDM (P)
  - capacity-building/training XX CDM and AIJ (O)
  - potential impact and implications of mechanism(s) XX CDM, AIJ/JI and ET (O)
  - linkages among the mechanisms. XX CDM, AIJ/JI and ET (O)
  
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics XX AIJ, CDM and ET
  - Workshops XX CDM and AIJ
  - Technical cooperation (project development, training) XX AIJ and CDM
  - Other (please specify).

Over the years, TERI has undertaken numerous projects related to estimation of GHGs, identification and analysis of mitigation options, and evaluation of impacts of climate change. The Institute has contributed significantly to the international debate on strengthening the implementation process under the UNFCCC, as well as examining the negotiating stances of various Parties, and projecting the interests of the developing countries. TERI has been involved with the issue of JI/AIJ ever since conception of the idea. It has been actively undertaking research activities related to the economic, political and quantitative aspects of the mechanism, and has also been involved with information dissemination and project identification. TERI has also organized a number of conferences and round tables related to various aspects of JI/AIJ.

TERI has provided inputs for the World Bank's capacity building exercise related to the management of global environmental programmes. Being involved in this area for a long time now, TERI has developed sufficient expertise, experience, database and information sets, as well as close ties with several institutions and governmental officials both within and outside India associated with climate change activities.

4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.

- UNFCCC intergovernmental process XX Reports and results from TERI's projects (listed below) will be circulated at meetings of the COP and its Subsidiary Bodies.
- Other inter-governmental process (please specify) XX TERI is constantly providing information and analytical support to the Ministry of Environment and Forests, Government of India on various aspects of the FCCC and the Kyoto Protocol, which include issues related to the three cooperative implementation mechanisms.
- Non-governmental community. XX Corporate sector, institutes outside India, in particular those in Asia

Work on cooperative mechanisms is an ongoing process in TERI, both in terms of internal activity as well as funded projects. Currently, there are a number of major ongoing activities or projects related to identification of issues and opportunities, information dissemination, and project development, involving the Indian corporate sector, as well as international institutions. The results of some of these and the subsequent publications are expected to be disseminated at COP-4.

TERI is working in association with Pembina Institute, Canada, and selected institutes of the Asian Energy Institute (this is a network of institutes in the Asian region for which TERI provides the Secretariat), to identify with the help of case studies, the issues involved in the implementation of the CDM as an effective and equitable mechanism.

Under a project in collaboration with INFRAS AG, TERI is studying the relevance and implications of the CDM, and examining emissions scenarios till the year 2050. In this endeavour, TERI is interacting and networking with relevant Government Ministries and relevant institutions in India and other developing country institutes.

In another project that TERI is undertaking with the World Resources Institute, Washington, priority areas and opportunities for investments under AIJ/CDM are being identified.

TERI has also initiated a programme known as TREAT (TERI Repository of Environmental Activities and Technology), as an in house activity, which would focus on cooperative measures and activities leading to greenhouse gas (GHG) emissions reduction. TREAT involves close interaction with Indian corporate houses and government officials, as well as international networking. TREAT would not only help facilitate information dissemination and exchange, but also develop, in a proactive manner, a portfolio of potential abatement projects in India and provide technical assistance to implement AIJ/CDM projects.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: US Climate Action Network, 1200 New York Avenue, NW  
Suite 400, Washington, DC 20005, USA

Contact person/responsible officer (address): Jennifer Morgan

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
(1) Emissions Trading (2) CDM (3) JI
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX Trading, CDM, JI
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX Trading, CDM, JI
  - institutional requirements and options XX Trading, CDM, JI
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training
  - potential impact and implications of mechanism(s) XX Trading, CDM, JI
  - linkages among the mechanisms. XX Trading, CDM, JI
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.

Members of CAN are carrying out a number of these activities especially in regard to technical studies and cooperation.

  - Technical studies/topics activities
  - Workshops
  - Technical cooperation (project development, training)
  - Other (please specify).
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify)
  - Non-governmental community.

**Questionnaire**  
**Ongoing and planned activities related to**  
**the three cooperative implementation mechanisms**

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Kindly return the questionnaire to the UNFCCC secretariat by 19 May 1998 at the latest. Contact address:  
Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: [czumkeller@unfccc.de](mailto:czumkeller@unfccc.de))  
Thank you for your cooperation.

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Name of Organization: World Resources Institute

Contact person/responsible officer (address): Nancy Kete, [nkete@wri.org](mailto:nkete@wri.org)  
World Resources Institute, 1709 New York Ave., NW, Washington DC 20006 USA  
Tel: (202) 662-2551 Fax: (202) 638-0036

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?  
CDM, Emissions Trading (ET)
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy XX CDM, ET
  - methodological issues and options (such as baselines, monitoring and verification, certification) XX ET, CDM
  - institutional requirements and options XX CDM, ET
  - project identification/development
    - mitigation
    - adaptation
  - capacity-building/training XX ET, CDM
  - potential impact and implications of mechanism(s) XX ET, CDM
  - linkages among the mechanisms. XX
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics XX CDM
  - Workshops XX CDM
  - Technical cooperation (project development, training)
  - Other (please specify).
4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.
  - UNFCCC intergovernmental process (SB/COP)
  - Other inter-governmental process (please specify) XX CDM (UNDP)
  - Non-governmental community. XX ET, CDM

## Questionnaire

### Ongoing and planned activities related to the three cooperative implementation mechanisms

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Kindly return the questionnaire to the UNFCCC secretariat by 19 May 1998 at the latest. Contact address:  
Ms. Christine Zumkeller, Manager, Cooperative Implementation, UNFCCC Secretariat  
(tel: 49-228-815-1620, fax: 49-228-815-1999 and email: czumkeller@unfccc.de)  
Thank you for your cooperation.

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Name of Organization: Wuppertal Institute for Climate, Environment, Energy

Contact person/responsible officer (address): Hermann E. Ott, Senior Research Fellow,  
Climate Policy Division, Doeppersberg 19, D-42103 Wuppertal, Germany

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**N.B: Kindly mark for each entry whether the activities are 'ongoing' (O) or 'planned' (P).**

1. Which mechanism(s) are you working on (if several, please state in order of priority)?
  - emissions trading (O)
  - joint implementation (O)
  - CDM (P)
  
2. Which area of work are you engaging in? Kindly state by mechanism.
  - general policy/strategy Yes (JI/ET)
  - methodological issues and options (such as baselines, monitoring and verification, certification) Yes (JI/ET)
  - institutional requirements and options Yes (JI/ET)
  - project identification/development NO
    - mitigation NO
    - adaptation NO
  - capacity-building/training Yes
  - potential impact and implications of mechanism(s) Yes (JI/ET)
  - linkages among the mechanisms. Yes (JI/ET)
  
3. What type of work are you carrying out? Kindly differentiate by mechanism, if applicable, and state the resources available.
  - Technical studies/topics Yes (JI/ET)
  - Workshops Yes (ET)
  - Technical cooperation (project development, training) Yes (JI/ET/CDM)
  - Other (please specify). Yes Publishing (articles and a book on the Kyoto Protocol)

4. What is the use to be made of the work and when will it be delivered? Kindly state the mandate.

- UNFCCC intergovernmental process (SB/COP) Yes Mandate is governmental, to be delivered before COP 4
- Other inter-governmental process (please specify) Yes Mandate from EU, to be delivered end of 98.
- Non-governmental community. Yes Mandate to organize European workshop (JULY 98), transatlantic collaboration (end of 98)

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