



联合国



气候变化框架公约

Distr.
GENERAL

FCCC/CP/1997/3
10 November 1997
CHINESE
Original: ENGLISH, FRENCH and
SPANISH

缔约方会议

第三届会议

1997 年 12 月 1 日至 10 日，京都

临时议程项目 3(c)

审查公约资金机制的执行情况

全球环境基金提交缔约方会议第三届会议的报告

秘书处的说明

1. 缔约方会议第三届会议在第 12/CP.2 号决定中通过了缔约方会议与全球环境基金理事会之间的谅解备忘录(FCCC/CP/1995/7/Add.1)，此备忘录因而开始生效。备忘录中除其他外规定，环境基金须通过秘书处向缔约方会议提供年度报告。本文件所附报告是由环境基金秘书处据此规定提交的。备忘录还规定，根据《公约》第 11 条第 1 款缔约方会议在每届会议后会将缔约方会议就该资金机制核可的任何政策指导通告环境基金。

2. 环境基金理事会会在其 1997 年 5 月的会议上核准了附属履行机构第四届会议编就的备忘录附件。缔约方会议或许愿基于履行机构第七届会议的建议通过 FCCC/SBI/1996/14 号文件内所载的备忘录附件。

3. 根据资金机制的审查指南，环境基金提交缔约方会议的年度报告须由履行机构在其进行的审查进程中作出审议，履行机构将就审查结果向缔约方第三届会议提出报告(FCCC/SBI/1997/6)。

4. 本报告还载有环境基金资助非附件一缔约方编制首次国家信息通报的详情。这类详情是由秘书处向履行机构每届会议提供的(第 10/CP.2 号决定)。

附 件

[原件：英文/法文/西班牙文]

全 球 环 境 基 金

全球环境基金提交《联合国气候变化框架公约》
缔约方会议第三届会议的报告

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一、导 言

1. 缔约方会议与全球环境基金理事会之间的谅解备忘录规定，环境基金须就其在履行公约方面资助的所有活动向缔约方会议提出报告。具体而言，备忘录第 7 段中规定：

环境基金在资金机制下就其资助的活动提出的报告，应包括在它与《公约》有关的工作中如何执行缔约方会议指导和决定的具体情况。报告应充分详实，载有《公约》范围内环境基金活动的计划，分析环境基金在与《公约》有关的业务中如何执行缔约方会议确定的政策、方案优先顺序和合格标准。具体而言，应包括正在执行的各种项目的综合情况、理事会在气候变化重点领域批准的项目以及一份表明那些项目所需资金的财务报告。理事会还应报告它对气候变化重点领域项目的监测和估评活动。

2. 本报告是为《联合国气候变化框架公约》缔约方第三届会议编写的。报告中述及环境基金在《公约》所涉方面的活动方案，并提供具体情况说明环境基金如何实施缔约方会议的指导。本报告涵盖 1996 年 5 月 1 日至 1997 年 6 月 30 日这一期间。

二、在本报告期间环境基金各项决定之要点

： 环境基金理事会会议

3. 理事会在本报告期间举行了两期会议：1996 年 10 月 8 日至 10 日和 1997 年 4 月 30 日至 5 月 1 日。在会议上，理事会作出了直接关系到环境基金的气候变化活动的下列决定：

- (a) 核准了环境基金资助气候变化活动的三个工作方案，¹ 共计 1.5923 亿美元；
- (b) 核准了关于环境基金监测、评估和宣导方案的工作方案和预算；

¹ 除理事会在这两期会议上核准的工作方案外，理事会还在 1997 年 1 月以邮寄方式核准了另一工作方案。

- (c) 核准了关于加速处理和资助中型项目的程序；
- (d) 核准了关于环境基金资助预定研究的原则；
- (e) 核准了对 STAP 土地退化研习会的后续行动，此研习会与环境基金的重点领域相关；
- (f) 核准了《联合国气候变化框架公约》缔约方会议与全球环境基金理事会之间的备忘录：关于确定履行《公约》所必要和可得到的资金的附件。理事会请《气候变化公约》缔约方会议核准这一附件；
- (g) 继续委任 Mohamed T. El-Ashry 为环境基金总执行干事兼主席。

对环境基金信托基金的资金补充

4. 在 1997 年 3 月举行了一次规划会议讨论关于补充环境基金信托基金的工作计划。与会者欢迎发起对环境基金作第二次补充，并指出这对环境基金作为全球环境保护的主导多边供资机制十分重要。会议强调了正当若干会议——尤其是联大 1997 年 6 月的特别会议——目前正在审查里约会议成就之时发起补充的重要意义。会议还着重指出，顺利补充环境基金资源对所有四个重点领域内的国际合作——包括藉切实履行《公约》对气候变化和生物多样化采取行动——都是十分重要的。

5. 与会者同意应当在 1997 年 5 月、9 月和 11 月举行的三期会议进程中讨论第二次补充并就此达成协议。在 5 月会议上，与会者审议了涉及环境基金资源规划、负担分摊和汇率考虑因素的初步文件。对于环境基金秘书处的资源规划估计数是否适宜，意见不一。若干捐助方认为 25-35 亿美元的资源规划幅度偏高。其他捐助方则说，环境基金的四个重点领域的全球环境资金需要超出了拟议的资源规划幅度。

6. 除负担分摊外，还认清了两个因素对资金补充谈判取得圆满成果也都十分重要。其一是环境基金正在进行的评估活动，其二是对环境基金作为公约资金机制发挥作用的明显支持。

三、对公约指导的执行情况

7. 缔约方会议第二届会议通过了第 11/CP.2 号决定：对全球环境基金的指导。全文如下：

缔约方会议，

回顾《公约》第 11 条第 1 款和第 3 款，

还回顾《公约》第 12 条第 5 款、第 4 条第 3、7 和 8 款，

铭记其关于资金机制经营实体的政策、方案优先顺序和资格标准的初步指导的第 11/CP.1 号决定和其第二届会议得出的结论，

注意到全球环境基金提交缔约方会议第二届会议的报告 (FCCC/CP/1996/3)，

对发展中国家缔约方难以从全球环境基金取得必需的资金援助表示关切，这主要是由于须应用全球环境基金关于合格标准、付款、项目周期和核准等方面的业务政策，须应用其增加费用概念，以及会给发展中国家缔约方增添大量行政和财务费用的指示所致，

还对这些缔约方为编写它们的首次国家信息通报向作为《公约》资金机制临时经营实体的全球环境基金寻求资助所遇到的困难表示关切，

欢迎全球环境基金所提供的资料，其中说明了它是如何努力确保筹资活动按照缔约方会议所规定的指导进行的，尤其是它为支持气候变化重点领域的能力增强活动而采取的快速程序，

1. 决定对作为《公约》资金机制临时经营实体的全球环境基金提供如下指导。在这方面，全球环境基金：

(a) 应在初期阶段，按照第 11/CP.1 号决定执行有助于建立本国能力的增强能力活动战略，包括收集数据和建立档案，这样做时应遵循缔约方会议为其规定的政策指导、方案优先顺序和资格标准；

(b) 在按照《公约》第 4 条第 3 款向发展中国家缔约方提供支付为执行第 4 条第 1 款所包括的措施的议定全部增加费用所需

的资金时，应采取措施方便这种资金的提供，包括提高透明度，视情况灵活、实际地应用其增加费用概念；

- (c) 应同履行机构一起加速资金的核准和拨款，以便按照第 4 条第 3 款，支付发展中国家缔约方为履行《公约》第 12 条第 1 款规定的义务而招致的议定全部费用，尤其是供非附件一所列缔约方首次及随后编写国家信息通报之用。在这方面，第 10/CP.2 号决定中所载缔约方会议第二届会议通过的非附件一缔约方首次国家信息通报编制指南和格式，应构成为非附件一缔约方根据《公约》第 12 条第 1 款编写国家信息通报提供资金的基础；
- (d) 应在接到要求时审议国别需要以及可供需要相似的多个国家同时使用的其他方法，要考虑到编写国家信息通报是一个持续的进程；
- (e) 在为非附件一缔约方编写国家信息通报提供资金支付议定的全部费用时，与《公约》中所载其他承诺有关的项目的议定全部增加费用只应在有关方面提出要求时才提供资金支持；

2. 请希望在增强能力活动方面、尤其是在按照《公约》第 12 条编写国家信息通报方面得到援助的发展中国家缔约方充分利用资金机制为此目的提供的资金；

3. 请作为资金机制临时经营实体的全球环境基金就这项指导的落实情况，包括在应用议定的全部增加费用概念方面所取得的经验，向缔约方会议第三届会议提出报告；

4. 请附属履行机构第五届会议开展第 9/CP.1 号决定中所指的审查程序，并就审查结果向缔约方会议第三届会议提出报告。

下面述及环境基金回应这一指导而进行的活动。

对缔约方会议的指导的一般回应

8. 上述决定在序言部分段落中对发展中国家在获得环境基金资助方面遭到的若干困难表示关切。具体而言，述及的问题是由于须应用环境基金的“关于合格标准、付款、项目周期和核准等方面的业务政策，须应用其增加费用概念，以及会给发展中国家增添大量行政和财务费用的指示所致”。这些关切在某个程度上已在环境基金提交第二届缔约方会议的报告（FCCC/CP/1996/8, 1996年6月27日）中予以说明，进而在本报告中详加说明。尽管如此，在下文可扼要述及对这些关切的一般回应。

9. 应用关于合格标准、拨款、项目周期和核准等方面的业务政策：一如环境基金提交缔约方会的第二次报告所说，制订业务战略是为了指导环境基金在包括气候变化在内的四个重点领域为国家推动的主动行动作准备。战略中明确申明，环境基金在气候变化方面供资的所有活动将完全遵从公约缔约方会议提供的指导。”符合获取资源的标准，一如缔约方所确定，完全取决于是否合格从公约的资金机制得到援助而定，环境基金对公约缔约方不应用任何其他标准。项目是否符合标准也同样取决于迄今为止从缔约方会议得到的指导，以及尤其是在第11/CP.1号决定中缔约方会议规定的优先顺序。业务政策规定，项目拟订、评价和核准制度应完全透明并且是参与性的，无任何迹象显示环境基金政策和程序造成任何付款困难。环境基金进行的年度业绩审查表明，环境基金补助金的支付速度同各执行机构正常作业下作出的支付一样或更快。此外，业务程序的灵活性足以在必要时作出应变和改进。项目周期也是环境基金作出的努力，旨在借讲求成本效益、高质项目为获取环境基金资源制订易懂、透明的程序。

10. 应用其增加费用概念：这一问题在附件A中作了详细报告。需在此重复的是，缔约方会议尚未提供任何关于增加费用的指导，而且宁愿选择等到在此问题上取得更多的经验。在获得任何指导之前，环境基金采用的概念符合第11/CP.1号决定，“灵活、实用和逐案处理”。

11. 会给发展中国家增添大量行政和财务费用的指示：环境基金所资助项目的拟订是完全同有关受援国一起合作进行的，须由国家推动这一标准是所有项目都须通过的检验标准。在扶持性活动方面，议定的全部增加费用是由环境基金供资来满足。

足，而对其他项目，则满足全部增加费用。国家对项目的支持和负担实施责任可确保受援国充分支持项目的实施并对此负责。

12. 至于对“未列入《公约》附件一的缔约方在向全球环境基金谋求资助方面遭受困难”的关切，环境基金为加速核准程序而采取的行动的下述详细说明以及受援国现可利用的广大支持程度都可表明环境基金的回应。

13. 在第二届缔约方会议期间，环境基金并不总是获有具体表明序言部分段落中所表示关切的详细资料。环境基金欢迎《公约》为了结合对环境基金的审查通过其附属履行机构请缔约方就它们同环境基金的经验提出书面意见而作出的努力。这可为环境基金提供一次建设性的机会，对在业务一级感到的关切和困难作出回应，并继续在必要时对环境基金的处理进程的程序作出改进。

对于扶持性活动和国家信息编制的加速程序

14. 环境基金在其提交第二届缔约方会议的报告中详细说明了环境基金为了加速扶持性活动项目的拟订和落实而核准的程序。其中包括：

- (a) 制订与国家信息相关的扶持性活动的业务标准；
- (b) 加速核准进程以便利符合业务标准的扶持性活动项目提议；
- (c) 核可首笔拨款 3,000 万美元用于加速扶持性活动项目；
- (d) 作出协调一致的联系努力让合格的国家都获悉资金的可得情形以及便利扶持性活动的核可和落实的加速程序。

15. 第二届缔约方会议之后不久，总执行干事依照第 11/CP.2 号决定召开了一次各执行机构和秘书处的高级管理人员会议。会上达成的协议事关精简内部工作程序和进一步加速环境基金扶持性活动的核准和落实的若干方式。还同意需确保快速拟订、核准和落实扶持性活动。理事会在 1996 年 4 月核准加速程序被认为是朝向改进处理过程的重要一步，虽然这仍然是相当近来的事。尽管如此，会上同意仍可作出更大努力便利在国家一级及早付款。同意采取的具体步骤如下：

- (a) 加速工作组对项目提议的审查；
- (b) 使扶持性活动的核准能在连续基础上在拟订提议时进行；

(c) 提供多达 15 % 的总预算活动用于一旦总执行干事核准项目提议后即开展工作。

16. 环境基金秘书处和各执行机构为未列入《公约》附件一的缔约方编制首次国家信息通报拟订了业务指南。这些指南可构成加速资助首次信息通报的基础，并且利用了第二届缔约方会议核准的非附件一缔约方国家信息编制指南细节。这些业务指南取代了早先的关于气候变化的扶持性活动业务标准。理事会在 1996 年 10 月会议上表示支持拟订完全符合缔约方会议指导的指南。²

17. 环境基金秘书处、其各执行机构和公约秘书处正在协力设法加紧编制非附件一缔约方的国家信息，包括广泛散发关于缔约方会议涉及国家信息的决定和环境基金业务指南。在这两个秘书处和各执行机构之间还举办季度会议审查扶持性活动实施情况进展，为进一步鼓励完成国家信息通报寻求机会。这些会议还可用来找出其他机会以便让编制国家信息的国家知道如何申请环境基金援助。环境基金和公约秘书处于 1997 年 2 月在波恩举行履行机构会议期间举办了一次研习会说明如何为编制国家信息寻找财力援助。

18. 在本报告期间，总执行干事/主席核准了 46 个扶持性活动项目，这些项目共涉及 63 个国家(见表 3)。到目前为止，已核准对 106 个国家中扶持性活动的资助(见附件 B)。所有这些项目都是同受援国缔约方充分协力拟订的，在某个程度上都针对编制国家信息的需要。约旦和阿根廷是已提交首次国家信息的首批非附件一国家，它们都通过环境基金扶持性活动得到了援助。从环境基金获得援助的其他国家预期在 1997 年年底或 1998 年初都将提交国家信息。

中型项目

19. 理事会在 1996 年 10 月的会议上核准了加速处理和落实中型项目的程序，这些项目向环境基金要求资助的总数不超出 100 万美元。预期这些项目应能在规划环境基金资源方面提供更大灵活性，鼓励更多有兴趣的缔约方提议和发展项目概念。为协助编写项目提议而设计的一个资料袋现已告成并予广泛散发。

² 主席见联合总结，环境基金理事会会议，1996 年 10 月 8 日至 10 日，附录，关于议定项目与公约的关系。

对资金机制的审查

20. 公约缔约方会议第一届会议决定“经改组的环境基金应在临时基础上继续作为受托经营《公约》第 11 条所指资金机制的国际实体;”并决定,“根据《公约》第 11 条第 4 款在四年内审查这一资金机制并采取适当措施,包括根据《公约》确定环境基金的确切地位。”³ 缔约方会议第二届会议请附属履行机构进行第 9/CP.1 号决定所指的审查进程。⁴

21. 环境基金理事会请秘书处酌情同公约秘书处协力进行审查。在公约秘书处和环境基金之间协商期间达成的协议是,为了协助履行机构审查资金机制,如向履行机构提供下列资料,必将有所助益:

- (a) 环境基金提交气候变化框架公约政府间谈判委员会的关于改组全球环境基金的报告(A/AC.239/89,1994 年 12 月 14 日);
- (b) 环境基金提交联合国气候变化框架公约缔约方会议第一届会议的报告(FCCC/CP/1995/4,1995 年 3 月 10 日);
- (c) 环境基金提交联合国气候变化框架公约缔约方会议第二届会议的报告(FCCC/CP/1996/8,1996 年 6 月 27 日);
- (d) 环境基金为协助所属履行机构审查资金机制而编写的资料,这份情况文件是提交履行机构 1997 年 2 月会议的。

22. 环境基金秘书处和各执行机构均协同公约秘书处尽最大可能协助对环境基金的审查。环境基金秘书处和各执行机构的代表参与了履行机构事关审查环境基金的会议,在问答会议期间对提出的问题作了回答。在履行机构会议期间举行了若干研习会说明如何申请环境基金的资助,借扶持性活动促进编制首次国家信息,以及介绍气候变化活动外地主任关于环境基金项目的实际经验和知识。

23. 环境基金继续受缔约方会议的支配,并重申它愿充分协力进行对作为公约资金机制的环境基金的审查工作。

³ 决定中指定环境基金在临时基础上作为受托经营《公约》第 11 条所指资金机制的国际实体,并决定根据第 11 条第 4 款在四年内审查这一资金机制和采取适当措施,包括根据《公约》确定环境基金的确切地位。

⁴ 第 9/CP.1 号决定, FCCC/CP/1995/7/Add.1。

缔约方会议与受托作为资金机制经营实体的全球环境基金之间的安排

24. 缔约方会议在第一届会议上请公约秘书处与全球环境基金秘书处协商拟订缔约方会议与资金机制经营实体的安排草案，供附属履行机构第一届会议审议，由缔约方会议第二届会议通过。据此，履行机构在第一届会议上审议了这两个秘书处拟订并由环境基金理事会在 1995 年 7 月会议上批准的《谅解备忘录》草案。履行机构建议缔约方会议通过这一备忘录草案，缔约方会议在第二届会议上通过了这一草案(第 12/CF.2 号决定)。

25. 履行机构还请公约秘书处和环境基金秘书处联合拟订《谅解备忘录》的附件，在其中规定出各项程序，便利以可预测和可认定的方式共同确定《备忘录》第 9 段所述执行公约所需要和可得到的资金数量。由公约秘书处和环境基金秘书处联合拟订的《谅解备忘录》附件已由环境基金理事会在 1996 年 4 月会议上批准，并已提交履行机构在缔约方会议通过之前进行审查。

26. 履行机构建议并经缔约方会议同意(第 13/CP.2 号决定)，履行机构应在 1996 年 12 月的届会上审议这份附件草案及 77 国集团和中国提交的一份备选案文。履行机构应就审议附件的情况向缔约方会议第三届会议提出报告。

27. 履行机构在 1996 年 12 月的第四届会议上拟订和通过了《备忘录》的一份附件，并商定将这一附件转送环境基金理事会以加快审议和批准工作，使履行机构能够建议 1997 年 12 月举行的缔约方会议第三届会议予以通过。环境基金理事会在 1997 年 5 月的会议上审议和批准了履行机构编制的附件。基金理事会请《气候变化公约》缔约方会议在第三届会议上批准该附件。

环境基金为气候变化活动供资包括从环境基金外部来源筹资的财务概述

28. 在本报告涵盖的时期之内为气候变化领域内的项目活动调拨资金的情况如下：

表 1： 1996 年 5 月至 1997 年 6 月气候变化领域的项目供资情况

活动类型	活动数目	环境基金供资	联合供资
项目筹备 ⁵	6	195 万美元	72 万美元
扶持性活动	46	2,357 万美元	-
投资/技术援助项目	12	13,372 万美元	41,014 万美元
小 计	64	15,923 万美元	41,086 万美元
合 计			57,009 万美元

29. 如表中所示，在报告所涉期间项目供资总数超过了 57,000 万美元，其中环境基金提供的赠款供资约为 15,500 万美元。外以联合供资形式为项目活动调集了 41,000 万美元。

30. 自环境基金试验阶段开始以来，共为气候变化活动调拨了 381,000 万美元。在这一总数当中，57,800 万美元是取自环境基金信托基金的赠款。另外通过联合供资捐助了 323,200 万美元。显然，环境基金的各供资来源能够调集大量补充资源资助发展中国家应付气候变化的活动。

议定全部增加费用概念的应用

31. 第 11/CP.2 号决定还请环境基金报告在应用议定全部增加费用概念的过程中取得的经验。附件 A 说明了环境基金到目前为止的这方面经验。

四、气候变化领域内的项目活动

32. 各执行机构在编制项目建议书时充分考虑到了缔约方会议在第一和第二届会议上提出的指导意见。环境基金秘书处在审查项目建议书时征求了公约秘书处

⁵ 其中不包括项目或方案认定工作刚开始时使用的 A 部分项目筹备资金。

对于气候变化领域每一项目建议的意见。公约秘书处还派人出席了审议业务政策问题的环境基金业务委员会会议。

33. 为便利获得环境基金的供资和筹备高质量的环境基金项目，筹划了一种环境基金项目制订讲习班。到目前为止，在非洲、亚太地区、拉丁美洲和加勒比地区、欧洲和中亚地区及中东和北非地区组织了 29 个讲习班。来自 67 个发展中国家缔约方的代表参加了这些讲习班。讲习班受到了参加者的欢迎。未能参加讲习班的一些国家提出了增办讲习班的请求。现初步订于 1997 年下半年再举办 6 次讲习班。

34. 作为在制订项目方面经常迈出的第一步，环境基金通过其项目筹备和制订设施提供资金，帮助受援国研究某一项目概念和编制项目建议书。以下表格列明了在本文覆盖的期间内获得批准的环境基金项目筹备活动。

表 2： 项目筹备
(1996 年 5 月至 1997 年 6 月)

国 家	项 目 名 称	环境基金供资 (单位：百万美元)
项 目 筹 备 供 资		
全 球	气候变化扶持活动支助方案	0.350
巴 西	巴西氢燃料电池大轿车	0.344
中 国	能源高效无氯氟碳冰箱	0.243
中 国	促进节能	0.350
厄立特里亚	风能应用	0.316
哈萨克斯坦	消除风力生产的障碍	0.350
	共 计	1.953

35. 1996 年 5 月至 1997 年 6 月期间，环境基金理事会或总执行干事/主席批准了下列扶持活动。这些活动分布于 63 个国家。

表 3： 扶持活动
(1996 年 5 月至 1997 年 6 月)

国 家	项 目 名 称	环境基金供资 (单位: 百万美元)
安提瓜和巴布达、巴哈马、巴巴多斯、伯利兹、多米尼加、格林纳达、牙买加、圣基茨和尼维斯、圣卢西亚、特立尼达和多巴哥	适应气候变化区域(加勒比共同体)规划	6.30
库克群岛、斐济、基里巴斯、马绍尔群岛、密克罗尼西亚联邦、瑙鲁、所罗门群岛、图瓦卢、瓦努阿图和萨摩亚	太平洋岛屿气候变化援助项目(PICCAP)	2.44
阿尔巴尼亚	扶持阿尔巴尼亚编写首次国家信息通报	0.28
不 丹	扶持活动	0.30
博茨瓦纳	扶持博茨瓦纳履行《公约》义务	0.35
巴 西	扶持巴西履行《公约》义务	1.5
布基纳法索	扶持布基纳法索编写《公约》下的首次国家信息通报	0.24
柬埔寨	编写首次国家信息通报的扶持活动	0.33
智 利	扶持智利履行《公约》义务	0.35
佛得角	扶持活动	0.32
哥斯达黎加	建设国家技术能力制定减少温室气体排放量和增强碳汇的方案	0.47
刚果民主共和国	扶持刚果民主共和国履行《公约》义务	0.35

国 家	项 目 名 称	环境基金供资 (单位: 百万美元)
朝鲜民主主义人民共和国	扶持活动	0.15
埃 及	建设埃及编制温室气体清单和 行动计划的能力	0.40
萨尔瓦多	扶持活动	0.32
厄立特里亚	扶持厄立特里亚编写首次国家 信息通报	0.30
埃塞俄比亚	扶持埃塞俄比亚编写《公约》 下的首次国家信息通报	0.22
冈比亚	扶持活动	0.13
格鲁吉亚	扶持格鲁吉亚开展活动	0.33
危地马拉	扶持活动	0.33
几内亚	扶持几内亚编写《公约》下的 首次国家信息通报	0.33
几内亚比绍	扶持活动	0.35
洪都拉斯	扶持活动	0.33
伊 朗	扶持活动	0.35
约 旦	建设能力响应《公约》	0.24
老 挝	国家温室气体清单项目	0.31
莱索托	扶持活动	0.35
马来西亚	国家温室气体清单和响应《公 约》	0.47
马拉维	扶持活动	0.19
马尔代夫	国家温室气体清单和气候变化 适应评估	0.86
墨西哥	编制墨西哥中部生命系统的温室 气体排放系数和发展相关信息	0.31

国 家	项 目 名 称	环境基金供资 (单位: 百万美元)
尼日利亚	扶持活动	0.27
巴布亚新几内亚	扶持活动	0.35
塞舌尔	扶持塞舌尔编写首次国家信息通报	0.25
塞拉利昂	扶持塞拉利昂编写《公约》下的首次国家信息通报	0.31
斯里兰卡	扶持斯里兰卡编写首次国家信息通报	0.11
苏 丹	建设能力扶持苏丹响应《公约》和编写国家信息通报	0.29
斯威士兰	扶持执行《公约》的活动	0.26
多 哥	扶持活动	0.34
突尼斯	扶持削减排放量的国家战略和行动计划	0.57
土库曼斯坦	扶持活动	0.35
乌干达	扶持乌干达编写首次国家信息通报	0.08
乌兹别克斯坦	气候变化国别研究	0.33
也 门	扶持也门编写《公约》下的首次国家信息通报	0.20
赞比亚	扶持活动	0.26
津巴布韦	扶持活动	0.10
	共 计	23.57

36. 下表列有报告所涉期内环境基金理事会批准的投资和技术援助项目。表中列有与附件一所列国家(保加利亚、捷克共和国、拉脱维亚和俄罗斯)协作执行的四个项目。

表 4: 投资/技术援助项目
(1996 年 5 月至 1997 年 6 月)

国 家	项 目 名 称	环境基金供资 (单位: 百万美元)	总 供 资 (单位: 百万美元)
全球(印度、肯尼亚、摩洛哥)	光电市场改造行动	30.00	120.00
区域(埃及和巴勒斯坦政权)	提高能源效率和减少温室气体	6.36	8.1
玻利维亚	利用可再生能源的农村发电	4.21	8.5
巴 西	生物发电商业示范	40.00	122.5
保加利亚	减少温室气体排放量的能源效率战略	2.58	4.18
中 国	节能项目	22.00	180.0
中 国	可再生能源快速商业化能力建设	8.83	27.65
捷克共和国	基若夫废物热能利用	5.09	13.97
加 纳	可再生能源发电用于加纳农村社会和经济发	2.47	2.57
拉脱维亚	固体废物管理和垃圾填埋地气体回收	5.12	25.00
俄罗斯联邦	为消除俄罗斯住宅和供热能源效率的障碍建设能力	2.98	5.59
	共 计	133.71	543.85

37. 下表列有包含气候变化构成部分的多重点领域获准项目或为多重点领域项目批准的项目筹备供资情况。

表 5: 多重点项目
(1996 年 5 月至 1997 年 6 月)

国 家	项 目 名 称	环境基金供资 (单位: 百万美元)	总 供 资 (单位: 百万美元)
项 目 筹 备 供 资			
全 球	通过环境基金项目制定讲习班支助国家推动的环境基金符合供资标准的项目	0.56	0.56
全 球	土地退化问题讲习班	0.10	0.10
区 域	全球环境公民活动	0.24	0.24
区域(阿根廷、玻利维亚、巴西、智利、哥伦比亚、厄瓜多尔、萨尔瓦多、危地马拉、圭亚那、洪都拉斯、墨西哥、尼加拉瓜、巴拿马、巴拉圭、秘鲁、乌拉圭、委内瑞拉)	拉丁美洲公共政策纳入全球环境问题考虑	0.21	0.21
	小 计	1.11	1.11
多 重 点 领 域 项 目			
全 球	中小型企业方案(再供资)	16.50	36.00
区域(伯利兹、哥斯达黎加、萨尔瓦多、危地马拉、洪都拉斯、尼加拉瓜、巴拿马)	中美洲环境与发展基金: 全球环境帐户	15.00	35.00
	小 计	31.50	71.00
	合 计	32.61	72.11

五、环境基金的监测和评价活动

38. 理事会在 1996 年 10 月的会议上批准了环境基金监测和资料散发方案的工作方案和预算。理事会充分认识到，缔约方会议将是环境基金监测和评价活动产生的结果的重要用户。这项工作方案包括了项目周期所有阶段的各种活动，涉及到项目中监测和评价构成部分的设计、绩效监测报告、中期评价、项目完成报告和项目审计以及对项目影响的评价。方案还要求对业务战略的实施进行评价以及评估环境基金的全球结果和影响。

39. 在这方面，正在进行一项环境基金总体绩效研究，以评估在何种程度上环境基金实现了 1994 年改组过程中确定的主要目标与指南和在这方面正在取得何种进展。这项研究的报告将成为 1998 年举行的环境基金大会的投入，但另一方面也用来向环境基金的所有利害相关者通报情况，特别是各项公约的缔约方会议、环境基金理事会、各执行机构、执行组织、非政府组织及对此感到关注的公众。除其他以外，这项研究将评估环境基金把《公约》指南和理事会的决定付诸实施的方法和战略。

40. 在气候变化领域内，研究组将评估环境基金对于帮助各国为执行《公约》进行准备的国别级工作作出的贡献，包括协助各国履行报告义务和采取有关措施遵守《公约》。该项研究还将检查由国家推动的项目的认定和执行程度。对《公约》秘书处和环境基金秘书处以及《公约》缔约方与环境基金理事会成员国之间交流信息和开展协调的情况，也将予以审查。研究报告还将提出到目前为止在执行项目的过程中吸取的主要教益。为了开展这些研究，将进行 10 次实地访查，在另外 6 个国家将由本地顾问收集资料。可望这些活动将有助于认明受援国在项目的所有阶段遇到的实际问题，并将促进理事会不断改进环境基金绩效的努力。

1995 年和 1996 年的项目执行情况审查

41. 在本文所涉期间，环境基金进行了两次年度项目执行审查：1995 年和 1996 年各一次。项目执行审查是方案监测和评价的一项内容，是与各执行机构充分协作开展的。将在缔约方会议第三届会议上向各缔约方提供项目执行审查报告的副本。

六、结 论

42. 经改组的环境基金现在已经完全投入运转，而且已经开始关于补充信托基金资金的谈判。环境基金已经表明，它在体制上符合《公约》第 11 条的规定，缔约方会议和环境基金理事会批准的《谅解备忘录》已经对此作了正式说明。从环境基金的活动可以清楚地看出，它完全遵循了缔约方会议在有关《公约》的政策、方案优先任务和资格标准方面的指导。

43. 出于在经营《公约》财务机制方面的经验，环境基金现在具备了协助各国开展活动实现《公约》各项目标的独特的业务和政策技能。环境基金供资的项目对于大力加强发展中国家处理气候变化问题的能力和专长起到了帮助作用。环境基金的各执行机构——开发计划署、环境规划署和世界银行——已经加强了援助发展中国家制订和管理气候变化项目的体制能力，现正继续努力进一步把气候变化方面的考虑纳入日常活动方案的主流。环境基金理事会证实，环境基金乐于经营《公约》的财务机制，并期待着与缔约方会议继续协作。

附 件 A

环境基金应用议定全部增加费用概念的经验

附件 A：环境基金应用议定全部增加费用概念的经验

导 言

1. 联合国《气候变化框架公约》缔约方会议第二届会议对于作为财务机制临时经营实体的环境基金提供了指导，并请环境基金在其第三届会议上向缔约方报告指导意见的落实情况，包括议定全部增加费用概念的应用情况。本附件对于环境基金在适用增加费用概念方面的经验提出报告。

2. 虽然就国际条约在资金转让问题上适用增加费用原则是近来才出现的事物，但这种应用在商业和经济学中已有数十年的历史。将其用于《框架公约》是《海牙宣言》在 1989 年 3 月和《蒙特利尔议定书伦敦修正案》第 10 条在 1990 年 6 月提出来的。《框架公约》第 4 条第 3 款规定，附件二所列缔约方应提供新的和额外的资金，包括用于转让发展中国家需要的技术的资金，以支付第 4 条第 1 款所述并经发展中国家缔约方同经营财务机制的实体商定的用于执行措施的全部增加费用。《21 世纪议程》第 33 条第 14 款(a)项(3)分项列有类似的一条规定。

3. 缔约方会议 1995 年 4 月于柏林举行的第一届会议在第 11/CP.1 号决定第 1 段(e)分段中对环境基金提供了以下指导：

有关增加费用的各种问题很复杂和困难，因此，需要进一步讨论。应当根据每一具体情况灵活、切合实际地运用议定全部增加费用这一概念。

缔约方会议应在以后根据经验制订这方面的指导原则。

4. 环境基金理事会在 1995 年 5 月的第四届会议上审查了 GEF/C.2/6/Rev.2 号文件并批准了该份文件第 1 节所列估算议定增加费用的方法。经缔约方会议建议，理事会确认需要灵活地运用增加费用概念。在考虑国内费用和效益这类问题时，理事会建议，应当考虑“环境合理性”的概念，以免打击受援国的进步环境行动。

5. 参照理事会的意见，环境基金对关于增加费用的政策作了修订，并于 1996 年 2 月 29 日以 GEF/C.7/Inf.5 号文件印发了有关的修订。该份文件还有一项附件，说明了用以记述估算增加费用的标准报告格式。

6. 本报告提出了对于议定全额增加费用这一说法的理解,并简要说明了环境基金按照缔约方会议的指导确保透明度、灵活性、务实性、按照具体情况分别加以应用以及回应国家请求的情况。

议定全部增加费用

增加费用

7. 一般而言,增加费用系指实现某些目标(基线)的一种方法与在具有某种附加目标或受到某种附加局限的条件下实现同样目标的另一种方法两者之间的费用差。对于专门为实现全球环境目标而引起的增加费用,如环境基金不供资目标就无法实现,则由环境基金供资。国家一级争取可持续发展的行动并不一向足以在全球一级实现可持续性,因为有些活动可能会有不利的全球环境影响。因此,往往需要各国采取超出国家发展所需范围以外的附加行动。这种附加行动对于各国构成了实现国家发展目标所严格需要的费用以外的增加费用,但也会生成整个世界可以分享的附加益处。

8. 因此,必须按照环境基金支助活动的拟议开支与这类活动所替代的活动的成本这两类费用之差,根据具体情况估算增加费用。如果没有环境基金为增加费用提供资金,增加费用就会成为国家发展面临的一种附加经济负担。

9. 任何筹备完善的项目通常都有开支估算数据,但是,估算被替代基线活动的费用节省量是一种较为困难的业务问题。费用节省量关系到没有明确考虑全球环境因素的未来可持续发展活动的预设基准线。一种似乎合理的基准线有下列特点:有相应于国家发展目标的针对性、技术可行性、以及经济、环境和资金合理性。

协 议

10. 增加费用数额的补款由环境基金的执行机构和接受国商定。由于所有的环境基金项目都必须得到有关国家核可,除非达成此种协议,否则不能执行。

11. 环境基金为增加费用供资有两项预期的和同等重要的目标。第一,新的追加资金专用于实现全球环境效益而不是发展效益及地方性环境效益,应从其他来源

为后一种效益寻求资金。第二，合乎条件的国家不必为实现全球目标而转用短缺的发展资金，也不必为此放弃国家发展目标。

提供全部增加费用

12. 《公约》使用的用语是“全部”增加费用。对于环境基金而言，这意味着应当查明所有重要的增加费用，不能以减去任何附加国内效益或有关国家将享有的全球效益份额而减少补款数目。应当通过追踪某种措施在整个经济中的影响分布情况尽一切努力查明所有重要的增加费用而不仅仅是其中最为明显的部分。为分析而选择的系统界限有足够的广度，能够把采取环境基金供资措施的情况与没有这类措施的情况之间任何重要的费用差别都包括在内，同时，这一界限又有恰到好处的限度以利追踪。通过有意识地力图掌握对所有有关费用的了解，环境基金努力确保增加费用得到全面的估算。这将包括超出项目本身直接范围之外的所有有关环境、社会和间接或系统费用。

13. 本报告附件 B 摘要说明了环境基金为气候变化项目供资的情况。增加费用是以全额供资的，并且不由接受国承担。由于环境基金的项目由国家推动，其执行完全是自愿性的，接受国不必承担自己认为无法得到全额偿付的增加费用。

议定的全部费用

14. 在基准线显然不会涉及到任何行动的情况下，总费用和增加费用将是等量的。例如，如果不作全球性考虑，各国不必编定温室气体清单，基线也就只不过是“无清单行动”，清单的增加费用实际上也就是总费用。具体而言，编写国家来文的总费用显然是增加费用，而环境基金为非附件所列一缔约方全额提供这方面的费用。⁶

⁶ 为说明起见采用了这个例子。得到充分确认的是，第 4 条第 3 款的要求是“支付经议定的发展中国家缔约方为履行第 12 条第 1 款规定的义务而招致的全部费用”。第 12 条第 1 款要求编写国家来文，包括国家清单。

提高透明度

15. 环境基金业务透明度的意图是增进公平合理。使用一种增加费用框架是要力求避免任意性和提供这种透明度。对有关增加费用的协议，环境基金力求以公布全部文件来尽量提高透明度，以遵循为更广的发展目的界定的基准线来尽量减少任意性。

16. 除了“伞架项目”之外，纳入工作方案的每个项目都有一份增加费用附件。与项目简介一样，这些附件是公开文件，可在互连网上面免费检索，也可免费索取。第二，由于认识到基准线对每个国家来说都是动态和演变的，环境基金对于较为复杂的项目倾向于使用为总体发展目的制订的，而不是为某种特定的环境基金增加费用估算而确定的一种基线。可信度最高的基准线是与考虑中的特定环境基金支助活动(例如一项电力部门扩张计划)脱钩而确定的基线。

17. 在个案研究的基础上，环境基金与一些发展中国家的组织协作拟定了示范基线。环境基金秘书处与拉丁美洲能源开发组织一道努力，在一次电力部门全系统接触中研究了估算增加费用的程序，与国际湿地组织亚太局一道研究了估算保护亚洲生物多样性增加费用的问题，并与非洲的若干区域中心(如津巴布韦的南部中心、塞内加尔的 ENTID)一道研究了估算减缓气候变化项目增加费用的问题。

灵活性、务实性、及按具体情况应用

18. 缔约方会议和环境基金理事会都分别强调过适用增加费用概念时保持灵活性的重要意义。⁷ 根据具体情况适用增加费用框架有助于增强务实的处理办法。由于这一框架的原意是要普遍适用，而不仅限于特定类型的增加费用(如资本、运转费用、交易费用或学习费用)，环境基金并没有建立明确合乎标准开支的示意性清单。因此，不存在自动纳入或排除的问题，必须根据具体情况为每一项目作出关于增加费用的说明。

⁷ 见缔约方会议第 11/CP.1 号决定第 1 段(e)和第 11/CP.2 号决定第 3 段，环境基金理事会 1995 年 5 月联合总结中关于议程项目 8 的决定。

19. 由于认识到并不能使所有项目适合于同一模式，环境基金的业务就有了很大的灵活性。在这种情况下，跨越多个业务方案或重点领域或地区的项目也得到了支助。少数“伞架”项目也得到了资助(例如小规模赠款方案、中小型企业基金、可再生能源和能源效率基金、以及光电市场改造行动)。在把项目纳入工作方案时，并没有认明将由这些项目供资的分项目，因而项目中不含有通常的增加费用附件。取而代之的办法是，在最后审批时要求这些项目含有用于确定增加费用的可接受标准。将“伞架”项目纳入在内有效地分散了估算增加费用的工作。而为估算工作建立可接受的标准则提供了必要的保障。

20. 环境基金的增加费用指南还要求为每个重大的项目构成部分(如风力农场和光电系统)估算增加费用。各个执行机构不必详细记述细枝末节或极为精确的计算数额。

响应国别要求

21. 建立经改组的全球环境贷款设施的文书(第 4 段)规定，环境基金仅为国别推动的项目和方案供资。

环境基金应确保其活动处理所针对全球环境问题的成本效益，应由国家推动并建立在本国优先事项基础之上用于支持可持续发展的方案和项目供资，并应保持针对变化中的情况作出反映的足够灵活性以实现其目的。

22. 环境基金业务战略为发展和执行业务活动规定的 10 项业务原则之一是：

环境基金供资的项目应在国家方案的框架中确定，由国家推动，这些项目应以国家优先目标为基础，旨在支持可持续发展。

23. 环境基金项目和项目制定供资建议书由国家推动。没有环境基金国别联络点的书面同意，不批准这些建议书。与接受国合作制订的项目按照与伙伴国家的协议为全部增加费用提供环境基金的资助。

用于评估增加费用的简化程序

24. 环境基金秘书处经与各执行机构协商于 1997 年 3 月颁发了评估增加费用的简化程序。这些程序尽量减少了在构想简单的情况下需要的分析工作，有助于避免就具体的增加费用估算达成协议时出现延误。这些程序现正用于项目审查，并正在纳入项目建议书规定的格式。

结 论

25. 尽管总有一些未知数，但采用环境基金发展起的增加费用框架为就费用估算达成协议提供了一种工具。通过与有关国家的对话以透明和可信的方式得出基准线，这些基准线要么产生于环境基金之外，或具有独立的可核查性，或两者兼而有之，但绝不是无规可循。若干原则通常都得到了遵守。所有重大的可分构成部分都要求有增加费用估算。在估算增加费用时，使用的是经济成本而不是财务成本，而全系统费用和间接费用是增加费用估算中的一个合理构成部分。

26. 说明增加费用适用情况的范例将会越来越多，对于估算增加费用所取得的经验，目的正在更多地注意加以推广和宣传。

ANNEX B

**LIST OF GEF EXPENDITURES
IN THE AREA OF CLIMATE CHANGE
(AS OF JUNE 1997)**

List of GEF Expenditures in the Area of Climate Change (As of June 1997)

Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	GEF ² Total ² Costs	Project Description
I. List of Project Preparation Financing					
*Global	Climate Change Enabling Activity Support Program	3/97	UNDP	\$0.35	This PDF is designed to prepare a support program which will ensure that timely and effective support is provided to expedite and facilitate the work being undertaken through these GEF sponsored enabling activities.
*Regional, Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Jamaica, St. Kitts and Nevis, St. Lucia, Trinidad and Tobago	Planning for Adaptation to Climate Change(CARICOM)	6/29/95	WB	\$0.31	See project description. PDF supported detailed project preparation, national stakeholder consultations, and regional workshops to agree on final project design. Participating countries include Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Jamaica, St. Kitts and Nevis, St. Lucia, and Trinidad and Tobago.
Argentina	Renewable Energy for Rural Markets	3/14/96	WB	\$0.12	The PDF is financing (a) evaluation by province of existing renewable energy sources (solar, wind and mini-hydro); (b) economic comparisons between electricity supply with renewable and conventional sources (diesel generation groups) in dispersed rural markets to determine incremental costs, (c) calculation of global benefits (CO2 emissions reductions), (d) recommendations for future project development.
Argentina	Waste Gas Re-injection	3/15/95	WB/IFC	\$0.10	PDF funds assisted four Argentine oil companies to investigate technical and economic issues associated with methane recovery and eliminating CO2 and methane venting and flaring.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US\$ millions.

Country	Project Name	Entry ¹ into WP	GEF ² Allocation	Total ² Costs	Project Description
Bolivia	Renewable Energy	2/96	UNDP	\$0.24	Will over-come principal barriers associated with the development and sustainability of a renewables-based rural electrification programme from wind, solar and biomass applications. Components of the national programme will include technical and managerial training for both local users and operators.
Brazil	Hydrogen Fuel Cell Buses for Brazil	3/97	UNDP	\$0.34	The objective is to accelerate the commercialization of fuel cell buses that can use hydrogen produced from renewable resources. Reaching commercially-mature cost levels will allow such buses to play major roles in urban mass transit system of Brazil and other countries, thereby reducing the emission of pollutants.
China	China Energy Efficient CFC-Free Refrigerators	6/96	UNDP	\$0.24	The objective of this project is to promote the adoption of energy-efficient designs and technologies in the refrigerator industry in China under the Operational Programme #5. The project will support the large scale application of energy efficient refrigerators in China and assist the government of China in fulfilling its obligations under the FCCC related to the stabilization of GHG emissions.
China	Energy Conservation Promotion	5/14/96	WB	\$0.35	PDF resources will help design project components to remove barriers to energy conservation in China, in particular components addressing information dissemination and perceived risk through Energy Management Companies. The PDF will also examine incremental costs and financing sources and mechanisms for the project.
China	Renewable Energy Promotion	9/14/95	WB	\$0.14	The PDF is supporting a pre-feasibility study on renewable energy which will result in an evaluation of both power-related (grid connected and off-grid) and non-power applications (e.g., heating, cooking).
China	Energy Conservation Promotion	12/16/96	WB	\$0.35	This PDF continues and completes the activities begun under the first PDF B for this proposed project.
China	Efficient Industrial Boilers	3/15/95	WB	\$0.75	See project description. PDF is financing identification and evaluation international boiler technology sources, pre-qualification evaluation and eventual selection of Chinese enterprises to receive efficient boiler technologies, and preparation of Chinese enterprises to contact international technology suppliers.
Cuba	Development of Electric Energy from Sugarcane Biomass for Displacing Fossil Fuel Consumption	12/95	UNDP	\$0.35	PDF B activities representing the first phase of a two-phase process and consisting of targeted feasibility/pre-feasibility studies of varying levels of detail to characterize the opportunities for undertaking one or more site-specific technology development, demonstration, and/or commercialization efforts in subsequent investment phases.

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2) In US\$ millions

Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description	
Eritrea	Wind Energy Applications in Coastal Regions of Eritrea	11/96	UNDP	\$0.32	\$0.57	Expected benefits of the proposed Wind Energy Applications: a) a saving of fossil fuels; b) a lowering of the dependence on oil imports; c) a (probable) lowering of the overall electricity generation costs in the self contained systems; d) the provision of clean water supply by wind pumps to the community.
Ghana	Renewable Energy-Based Electricity for Rural, Social and Economic Development	10/95	UNDP	\$0.59	\$0.59	Ghana is expanding its thermal power generation. Thermal power from fuel oil will be the marginal source of electricity for rural electrification. The project will facilitate the widespread sustainable use of low carbon renewable energy-based electricity supply technologies to meet electricity needs in more than 3000 presently unelectrified communities.
India	Solar Thermal-Electric	3/14/96	WB	\$0.75	\$1.85	See project description. PDF will assist the environmental assessment and the final detailed technical design studies.
India	Carbon emission reduction through biomass energy for rural India (SUTRA)	1/96	UNDP	\$0.20	\$0.20	Project to establish the commercial viability of various bio-energy options and their potential for widespread adoption at the village level in India so as to actively promote a low carbon dioxide path to development in India. It would lead to widespread adoption at the village level in India and would allow for widespread adaptation to meet the energy needs of domestic, farm and commercial sectors in rural India.
Kazakstan	Removing Barriers to Wind Production in Kazakstan	11/96	UNDP	\$0.35	\$0.45	The full-scale project to be developed with the PDF resources requested will remove barriers to commercial scale, grid-connected wind power production in Kazakstan, thereby reducing the need for new fossil fuel based power plants and the associated greenhouse gas emissions.
Sri Lanka	Energy Services Delivery	8/17/95	WB	\$0.20	\$0.88	PDF supported detailed project preparation. See project description.
				\$6.03	\$9.98	

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Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description
II. List of Enabling Activities					
*Global, Benin, Bolivia, Chad, Cook Islands, Cuba, Ecuador, Fiji, Kiribati, Marshall Island, Nauru, Paraguay, Peru, Senegal, Solomon Islands, Tuvalu, Vanuatu, W. Samoa	CC TRAIN Phase Two- Training Programme to Support the Implementation of the UNFCCC	5/95	UNDP	\$2.70	\$3.20
The project has three objectives: a) enhance the capacity of each of the participating countries to implement the Convention by facilitating the establishment of a national institution and process for the development of a strategy to implement the Convention; b) enhance the capacity of four regional partner institutions to play the major role in carrying out the first objective; and c) create an informal training network to allow the sharing of training resources developed by other programmes and institutions.					
*Regional	Planning for Adaptation to Climate Change	5/4/95	WB	\$6.30	\$6.30
The project will support Caribbean countries in preparing to cope with adverse effects of climate change. It will (i) strengthen the regional capacity to monitor and analyze sea-level trends; (ii) identify vulnerable areas; (iii) develop a framework for cost-effective response and adaptation to climate change in coastal and marine areas; (iv) provide training; and (v) identify and assess policy options and instruments that would initiate long-term adaptation to climate change.					

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Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description
*Regional, Cook Islands, Fiji, Kiribati, Marshall Islands, Micronesia, Nauru, Solomon Islands, Tuvalu, Vanuatu, W. Samoa	Pacific Island Climate Change Assistance Project (PICCAP)	10/95	UNDP	\$2.44	PICCAP derived from a GEF training-cum-scoping workshop held in Nadir, Fiji. The project will enable Pacific Island countries to meet their reporting obligations under the UNFCCC, leading to their national communication as required under Article 12. Moreover, this 'enabling activity' will facilitate the implementation of effective response measures by these Pacific Island countries.
Albania	Enabling Albania to Prepare its First National Communication in Response to its Commitments to the UNFCCC	6/30/96	UNDP	\$0.28	This project will help respond to the objectives of the Convention on a continuous basis and support the preparation of the National Communication to the CoP. A national plan for adaptation to climate change will be formulated. It will enhance general awareness. It will develop an institutional mechanism/framework to facilitate dialogue, information exchange, etc.
Argentina	Country Study on Climate Change	2/95	UNDP	\$1.00	The project will prepare and publish Argentina's first GHG inventory and assessment of potential vulnerabilities to climate change as well as Argentina's first National Communication to the CoP.
Armenia	Country Study on Climate Change	5/95	UNDP	\$0.35	This project will build capacity to fulfill its commitments to the UNFCCC. It consists of the preparation of the first national communication of Armenia to the CoP, enhancement of general awareness among the Government planners on climate change related issues, and incorporation of such issues into a general development plan; development of an institutional mechanisms to strengthen the dialogue, information exchange and cooperation between Governmental, NGOs, academic, private and grassroots sectors.
Bhutan	Greenhouse Gas Enabling Activity	4/96	UNDP	\$0.30	The project will enable Bhutan to meet its reporting obligations under the UN Framework Convention on Climate Change, leading to their National Communication as required under Article 12.

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Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description
Botswana	Enabling Botswana to Fulfill its Commitments to the UN Framework Convention on Climate Change	2/95	UNDP	\$0.35	The project will support enabling activities for Botswana to fulfill its commitments to the UNFCCC. The immediate objectives of the project are the improved technical capacity of the organizations linked to the UNFCCC, the increased public awareness of climate change issues and strengthened capacity to prepare climate change projects
Brazil	Commitment to UNFCCC	10/95	UNDP	\$1.50	The project will enable Brazil to meet its reporting obligations under the Framework Convention on Climate Change, leading to their National Communication as required under Article 12.
Burkina Faso	Enabling Burkina Faso to prepare its first National Communication to the UNFCCC	5/19/97	UNDP	\$0.24	Enabling Activities
Cambodia	Enabling Cambodia to Prepare Its First National Communication in Response to the UNFCCC	3/97	UNDP	\$0.33	Enabling Activities
Cape Verde Islands	Enabling Cape Verde to Prepare Its First National Communication in Response to Its Communication to the UNFCCC	3/97	UNDP	\$0.32	Enabling Activities
Chile	Chile: Enabling Chile to Fulfill its Commitments to the UNFCCC	7/96	UNDP	\$0.35	The project will enable Chile to meet its reporting obligations under the UN Framework Convention on Climate Change, leading to their National Communication as required under Article 12.
Congo (DR of)	Enabling Commitments to UNFCCC	10/95	UNDP	\$0.35	The objectives of this project are to prepare the first National Communication of the DR of Congo to the UNFCCC and to enhance indigenous capacity in the country to continue its fulfillment of its commitments to the convention on a continuous basis.

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Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description	
Costa Rica	Building National Technical Capacity to Develop Options for Greenhouse Gas Emissions Reductions and Enhancement of Carbon Sinks.	5/95	UNDP	\$0.47	\$0.60	The project will develop Costa Rica's institutional capability and technical procedures to provide the scientific underpinning for policy analysis and decision making in greenhouse gas reduction and sinks enhancement; develop a portfolio of cost effective GHG reduction and sinks enhancement policy options, measures and strategies; and catalyze mitigation policy and legislation development and implementation.
DPR Korea	Enabling DPR Korea to Prepare its First National Communication in Response to its Commitments to the UNFCCC	2/12/97	UNDP	\$0.15	\$0.15	The project enables D.P.R. Korea to prepare its first national communication to the UNFCCC. It will complement the activities to be undertaken in the ALGAS project. This project will also undertake an assessment of impacts of climate change in DPRK and an analysis of potential measures and development of a national action plan to adapt to climate change.
Egypt	Building Capacity for GHG Inventory and Action Plans in Egypt in Response to UNFCCC Communications Obligation	5/95	UNDP	\$0.40	\$0.40	This project will promote technical assistance and build capacity in Egypt to respond to the UNFCCC through the enhancement of institutional networks, development of GHG inventory assessments, training of personnel, establishment of policy dialogues, evaluation of climate change mitigation initiatives, review of climate change impacts and project proposal development.
El Salvador	Enabling El Salvador to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	\$0.32	\$0.32	Enabling Activities
Eritrea	Enabling Eritrea to Prepare its First Communication in Response to its Commitments to the UNFCCC	9/4/96	UNDP	\$0.30	\$0.30	The objectives of the project are to prepare the first National Communication of Eritrea to the Conference of the Parties in accordance with Article 12 of the UNFCCC and build in-country capacity to fulfill its commitments to the Convention.
Ethiopia	Enabling Ethiopia to prepare its first national communications to the UNFCCC	5/19/97	UNDP	\$0.22	\$0.22	Enabling Activities

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Country	Project Name	Entry' into WP	GEF' IA Allocation	Total' Costs	Project Description
Gambia	Enabling Gambia to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	\$0.13	Enabling Activities
Georgia	Enabling Georgia to Fulfill its Commitments to the UNFCCC	9/4/96	UNDP	\$0.33	The project is to enhance general awareness and knowledge of climate change issues in Georgia. The project will assist Georgia in identifying concrete response measures to climate change for projects. The main emphasis will be on win-win measures, which represent a least-cost option to meet national development goals, and which address the global climate change issue.
Guatemala	Enabling Guatemala to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	\$0.33	Enabling Activities
Guinea	Enabling Guinea to prepare its first national communications to the UNFCCC	5/19/97	UNDP	\$0.33	Enabling Activities
Guinea Bissau	Enabling Activities	6/97	UNDP	\$0.35	Enabling Activities
Honduras	Enabling Honduras to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	\$0.33	Enabling Activities
Iran	Enabling Activities	6/97	UNDP	\$0.35	Enabling Activities

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Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description
Jordan	Capacity Building to Enable Response to the UNFCCC	2/95	UNDP	\$0.24	This project is to build capacity in Jordan to advance national interests related to climate change. This includes capacity to respond to the UNFCCC, to more actively and effectively pursue energy and natural resource management activities related directly or indirectly to climate change mitigation and adaptation, and to take advantage of new opportunities related to the procurement of funding or projects related to climate change.
Lao PDR	National Greenhouse Gas Inventory Project	10/95	UNDP	\$0.31	Capacity Building Enabling Activity to assist the government of Lao PDR to prepare the reporting requirements of the Convention contained in Article 12 (communication of information related to implementation) and to improve the capacity in country to comply with the UNFCCC.
Lebanon	Lebanon - Building Capacity to Respond to UNFCCC	10/95	UNDP	\$0.29	This project will build Lebanon's capacity to fulfill its communication requirements to the UNFCCC and respond to the objectives of the Convention on a continuing basis. This will be achieved through the development of a GHG inventory, the assessment of GHG mitigation options, the assessment of vulnerability and adaptation options, and the presentation of the first national communication to the UNFCCC.
Lesotho	Enabling Activities for the Implementation of the UN Framework Convention on Climate Change	9/96	UNEP	\$0.35	Project provides support for the development of national GHG inventory, mitigation study, impact and vulnerability assessment, national mitigation and adaptation plans, and national communication.
Malawi	Enabling Malawi to Prepare Its First Communication in Response to Its Commitments to the UNFCCC	3/97	UNDP	\$0.19	Enabling Activities
Malaysia	National Greenhouse Gas Inventory and Response to the United Nations Framework Convention on Climate Change.	5/95	UNDP	\$0.47	To assist the government of Malaysia to prepare the reporting requirements of the Convention contained in Article 12 (communication of information related to implementation) and to improve the capacity in country to comply with the FCCC.
Maldives	National GHG Inventory and Adaptation Assessment to Climate Change	2/95	UNDP	\$0.86	The project is to enable the Republic of Maldives meet the standards and reporting requirements of the UN Framework Convention on Climate Change. Resulting methodologies may be replicated for similar low-lying small island states.

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Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ²		Project Description
				Costs	Costs	
Mexico	Development of GHG Emission Coefficients from Live Systems in Central Mexico and Development of a Related Information Management System	5/95	UNDP	\$0.31	\$0.31	The project will produce country specific data and information on several important sources of greenhouse gas emissions, in particular enteric fermentation in cattle and rainfed agricultural soils, and will ensure that Mexico can effectively produce an accurate National Communication to the Climate Change Secretariat in fulfilment of its Convention obligations.
Nigeria	Enabling Activities for the Implementation of Convention on Climate Change (UNFCCC)	3/97	UNDP	\$0.27	\$0.27	Enabling Activities
Papua New Guinea	Papua New Guinea GHG Enabling Activity	4/96	UNDP	\$0.35	\$0.35	The project will enable PNG to meet its reporting obligation under the UN Framework Convention on Climate Change, leading to their National Communication as required under Article 12.
Seychelles	Enabling Seychelles to Prepare its First National Communication in Response to its Commitments to UNFCCC	6/96	UNDP	\$0.25	\$0.25	The goal of the project is to prepare and consolidate a Climate Change Strategic Plan for the Seychelles to help the country develop actions on climate change impacts within the UNFCCC framework. Considering that the Seychelles is a low lying island nation which could be greatly affected by climate change, primary importance will be given to a vulnerability assessment.
Sierra Leone	Enabling Sierra Leone to Prepare its First Communication in Response to its Commitments to the UNFCCC	9/4/96	UNDP	\$0.31	\$0.31	The objective of the project is to support Sierra Leone to fulfill its initial obligation to the UNFCCC through improved technical capacity, institutional strengthening and increased public awareness of climate change related issues. At the completion of the project, Sierra Leone will be able to prepare its first national communications to the COP as stipulated by the Convention.
Sri Lanka	Sri Lanka National GHG Inventory and Response to the Framework Convention on Climate Change Project	3/97	UNDP	\$0.11	\$0.11	Enabling Activities

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Country	Project Name	Entry ¹ into WFP	GEF 1A Allocation	GEF 2 Allocation	Total ² Costs	Project Description
Sudan	Capacity Building to Enable the Sudan's Response and Commitments to the UNFCCC.	5/95	UNEP	\$0.29	\$0.29	This project will build capacity, prepare Sudan's first communications, and provide technical assistance in Sudan to respond to the UNFCCC. It will enhance institutional networks, develop GHG inventory assessments, train personnel, establish policy dialogues, evaluate and develop climate change mitigation initiatives. It will also emphasize the intersection of climate change issues with land degradation issues in Sudan.
Swaziland	Enabling Activities for the Implementation of the United Nations Framework Convention on Climate Change	3/97	UNDP	\$0.26	\$0.26	Enabling Activities
Togo	Enabling Activities	6/97	UNDP	\$0.34	\$0.34	Enabling Activities
Tunisia	GHG Inventory, National Strategy and Action Plans for Emission Reduction and Communications under the UNFCCC	5/95	UNDP	\$0.57	\$0.67	The project will build capacity in Tunisia to respond to the UNFCCC by undertaking and updating GHG inventory assessments of sources and sinks, preparing a national strategy and sectoral action plans, training of personnel, establishment of policy dialogues, evaluation of climate change mitigation initiatives, and scientific evaluation of impacts of sea level rise and the elaboration of response and adaptation strategy.
Turkmenistan	Enabling Activities	6/97	UNEP	\$0.35	\$0.35	Enabling Activities
Uganda	Enabling Uganda to Prepare its First National Communication in Response to its Commitments to UNFCCC	6/96	UNDP	\$0.08	\$0.08	The project objectives will include the integration of climate change concerns and measures into planning processes and programmes; the development of consensus and support for priority mitigation and adaptation measures; the design of implementation strategies for priority measures; the preparation of Uganda's communication to the Conference of the Parties; and the development of a plan to achieve specific mitigation or adaptation goals.
Uruguay	Institutional Strengthening and Enabling Activities to Comply with the UN Framework Convention on Climate Change.	2/95	UNDP	\$0.70	\$0.70	The objective is to strengthen the capacities of the Government to comply with its obligations under the UNFCCC. This two-phase project is aimed at reducing emissions of greenhouse gases in Uruguay. The first phase will provide information and establish the technical capacity to support the development and execution of investment activities. The second phase is to reduce overall greenhouse gas emissions. The project will help prepare the national communications to the COP.

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Country	Project Name	Entry ¹ into WP	GEF EA Allocation	GEF ²	Total ² Costs	Project Description
Uzbekistan	Country Study on Climate Change	10/95	UNDP	\$0.33	\$0.33	The objectives of the project are to prepare the national communication of Uzbekistan to the CoP. It will build in-country capacity to fulfill its commitments to the Convention on a continual basis and endogenous capacity to establish a basis for additional obligations. It will enhance general awareness. It will develop an institutional mechanism, framework to facilitate dialogue, information exchange.
Yemen	Enabling Yemen to prepare its first national communication to the UNFCCC	5/19/97	UNEP	\$0.20	\$0.20	Enabling Activities
Zambia	Enabling Activities	4/24/97	UNEP	\$0.26	\$0.26	Enabling Activities
Zimbabwe	Preparation of Initial National Communication for the implementation of the UN Framework Convention on Climate Change	2/97	UNEP	\$0.10	\$0.12	The goal of this project is to support the completion of an initial national communication for Zimbabwe.
				\$28.66	\$29.57	

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Country	Project Name	Entry ¹ into WP	GEF ² Allocation	Total ² Costs	Project Description
III. List of Approved Project Proposals					
*Global	Global Change System for Analysis, Research & Training (START)	5/92	UNDP	\$7.00	START is a system of regional research networks being developed by scientific organizations to build capacity in the climate change field, collect and analyze regional data, and incorporate this data into global modeling efforts. This project focuses on Southeast Asia and Northern Africa as pilot regions for developing region-specific methodologies, establishing regional networks for global change research, and laying the foundation for regional research centres.
*Global	Alternatives to Slash & Burn Agriculture (ASB), Phase II	5/95	UNDP	\$6.37	The long term goal of this project is to reduce global warming, conserve biodiversity and alleviate poverty in the tropical forest margins by promoting the development of alternatives to slash-and-burn agriculture that are ecologically sound, economically viable and culturally acceptable.
*Global	Alternatives to Slash and Burn	2/92	UNDP	\$7.50	A joint effort by institutions at eight benchmark sites, this project seeks to expand knowledge of sustainable alternatives to slash and burn agriculture. Activities include standardizing methodologies, assessing biophysical and socio-economic characteristics, enhancing scientists' capacity, analyzing the impact of slash and burn, and increasing international awareness of alternatives.
*Global	Renewable Energy and Energy Efficiency Fund	4/1/96	WB/IFC	\$240.00	Project will provide grant funds to a separate \$100-200 million Fund being established by IFC & other commercial investors. The Fund will invest in private sector projects & companies in grid-connected and off-grid renewable energy and energy efficiency. The GEF grant will be used (1) to pay incremental costs associated with higher-than-average fund mgt. costs arising from small project sizes, and (2) to help overcome incremental costs and risks in the financing of individual projects through a co-financing facility.
*Global	Climate Change Capacity Building (CC: TRAIN - Phase I)	5/93	UNDP	\$0.90	Three objectives of the project are a) enhance the capacity of each of the participating countries to implement the Convention by facilitating the establishment of a national institution and process for the development of a strategy to implement the Convention; b) enhance the capacity of four regional partner institutions to play the role in carrying out the first objective; c) create a training network to allow the sharing of training resources developed by other programmes and institutions.

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Country	Project Name	Entry into W2	GEF Loc. Allocation	Total Costs	Project Description
*Global	Research Programme on Methane Emissions from Rice Fields	5/91	UNDP \$5.00	\$5.00	Project seeks to quantify impact of different rice growing ecosystems on methane emission and improve knowledge of processes that control methane fluxes from flooded rice. Promising mitigation options will be evaluated in collaboration with developing countries and farmers, and experiences will be shared among project participants.
*Global	Monitoring of GHG Including Ozone	5/91	UNDP \$4.80	\$6.00	This project establishes key stations where data needed for scientific assessment can be collected and analyzed. Activities include surveying potential sites, arranging means of local collaboration, facilitating construction, procuring equipment, training staff, evaluating data, and providing data to world knowledge bases.
*Global	Economics of GHG Limitation - Phase I	2/95	UNEP \$3.00	\$3.27	The project includes eight national and two regional studies in parallel with the development of a methodological framework for the economics of climate change mitigation. The methodological framework comprises a common analytical structure, economic concepts and technical assumptions for sectoral and cross-sectoral assessment of mitigation options.
*Global	Capacity Building and Infrastructure: Participation in the Assessment, Methodology-Development and other Activities of the Intergovernmental Panel on Climate Change (IPCC)	6/94	UNEP \$2.80	\$5.70	The project aims to enhance and strengthen scientific and technical capacity of developing countries and countries with economies in transition through their experts' participation in IPCC activities, primarily in (i) the actual writing of the IPCC assessment reports; (ii) IPCC workshops involving both (a) scientific and technical data; and (b) training in various IPCC methodologies; (iii) summarizing the findings of the assessment reports into Executive Summaries and Summaries for Policy-makers.
*Global, Antigua and Barbuda, Cameroon, Estonia, Pakistan	Country Case Studies on Climate Change Impacts and Adaptations Assessment - Phase I	2/95	UNEP \$2.00	\$2.00	The objective of the project is to test and improve methodologies and guidelines for assessing climate change impacts and adaptation; it will support stage I adaptations measures as approved by COP-1 of the UNFCCC.

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Country	Project Name	Entry ¹ into WP	GEF ¹ IA Allocation	GEF ¹ Costs	Total ² Costs	Project Description
*Global, Costa Rica, Gambia, Mexico, Morocco, Poland, Senegal, Tanzania, Uganda, Venezuela	Country Case Studies on Sources and Sinks of Greenhouse Gases	12/91	UNEP	\$4.50	\$4.59	The project provides direct operational and financial support for development of a standard methodology that Parties to the UNFCCC may use to develop national GHG inventories. Development of national GHG inventories in 11 countries, and support for 4 regional GHG inventory methodology workshops.
*Global, Kenya, India, Morocco	Photovoltaic Market Transformation Initiative	10/1/96	WB/IFC	\$30.00	\$120.00	PVMTI will make grant and non-grant investments to country-based companies on a competitive basis for the most innovative and promising proposals for large-scale expansion of the market for & use of photovoltaics, esp. for rural electrification. Private sector project selection and mgt. will stimulate effective, sustainable PV ventures by catalyzing competition and stimulating formation of joint ventures at the country & international levels in market development and/or manufacturing, employing and/or pioneering a variety of financing modalities, and promoting public-private partnerships.
*Regional, Algeria, Morocco, Tunisia, Libya	Building Capacity in the Maghreb to Respond to the Challenges and Opportunities Created by National Response to UNFCCC	5/93	UNDP	\$2.50	\$2.50	Project takes regional approach to increasing capacity for meeting UN Framework Convention on Climate Change objectives, focusing initially on the Maghreb. Identifies and strengthens capacities of selected regional and sub-regional organizations, develops indigenous capacity to independently identify cost-effective greenhouse gas strategies, seeks to leverage private sector investments, and builds on national programs to develop data of greenhouse gas sources and sinks.
*Regional, Bangladesh, China, DPRK, India, Indonesia, Mongolia, Myanmar, Pakistan, Philippines, Thailand, Vietnam	Asia Leas:-Cost GHG Abatement Strategy (ALGAS) Project	12/91	UNDP	\$9.50	\$13.00	The project's objective is to limit the growth of GHG emissions from Asia and to build a substantial pool of expertise in the region for addressing climate change. Expertise will be developed in areas such as estimation and measurement of GHGs, identification of technologies and initiatives for reducing GHGs, and economic and social analyses for identifying cost-effective mitigation options, GHG abatement initiatives and develop/implement least cost abatement strategies.

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Country	Project Name	Entry ¹ into WP	GEF ² Allocation	GEF ² Allocation	Total ² Costs	Project Description
*Regional, Cote d'Ivoire, Senegal	Control of Greenhouse Gas Emissions through Energy Efficient Building Technology in West Africa	12/92	UNDP	\$3.50	\$4.50	Project meets rapidly increasing demand for power through urban-based energy efficiency, cooperating with African Development Bank. Features retrofit of existing buildings in Cote d'Ivoire and Senegal, workshops for countries throughout region, and building of human capacity to address issues such as evaluation of building materials and energy pricing and planning.
*Regional, Egypt and Palestinian Authority	Energy Efficiency Improvements and Greenhouse Reduction	4/97	UNEP	\$6.36	\$8.10	This project covers three components: i) Loss reduction, load shifting and load management; ii) Energy Conservation and Engineering Services support to Energy Service Companies; and iii) Cogenerated power. The Palestinian component will only address energy conservation and engineering service support.
*Regional, Ghana, Kenya, Mali, Zimbabwe	Building Capacity in Sub-Saharan Africa to Respond to the UNFCCC on Climate Change	12/92	UNDP	\$2.00	\$2.00	Project launches a systematic inventory of Africa's greenhouse gas sources and sinks, develops Africa's indigenous capacity to carry out studies and projects, identifies carbon offset projects in energy and forestry sectors, and seeks to procure private sector resources for some of these initiatives. Small set of pre-proposals developed through project will be selected for final documentation in each country.
Benin	Village-Based Management of Woody Savanna and the Establishment of Woodlots for Carbon Sequestration	12/92	UNDP	\$2.50	\$2.50	Formulation of land development plans and implementation of training, conservation and forestry activities to sequester carbon. Project emphasizes local participation in sensitizing communities about land degradation and in jointly identifying possible solutions.
Bolivia	Renewable Energy Based Rural Electrification Under the Popular Participation Law	4/97	UNDP	\$4.21	\$8.50	The overall project objective is to remove barriers to the successful implementation of rural electrification projects using renewable energy technology.
Brazil	Biomass Integrated Gasification/Gas Turbine Project	12/2/91	UNDP	\$8.12	\$8.12	Adaptation of promising technology to generate electricity through plantation-grown fuel. Project resolves important engineering, economic, and financial issues, and assesses commercial feasibility and environmental compatibility of demonstration plant, which would be constructed in follow-on phase
Brazil	Biomass Power Generation	4/96	UNDP	\$3.75	\$6.52	To determine available volumes, quality and cost of bagasse/ trash biomass for potential use in BIG/GT systems.

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Country	Project Name	Entry ¹		GEF ¹ Allocation	Total ² Costs	Project Description
		Date	W/P			
Bulgaria	Energy Efficiency Strategy to Mitigate Greenhouse Gas Emissions	10/10/96	UNDP	\$2.58	\$4.18	The proposal is targeted at overcoming barriers to increased energy efficiency and the associated reduction in GHG emissions, by focused, practical subprojects, organised into three elements: national capacity building; supporting demonstrations; and project management.
Chile	Reduction of Greenhouse Gas Emissions	12/92	UNDP	\$1.70	\$1.70	Project targets two major mining facilities (one private, one public) to test/demonstrate energy service sub-companies, whose profits are tied to the level of energy savings they help clients realize.
China	Energy Conservation and Pollution Control in Town and Village Enterprises.	2/95	UNDP	\$1.00	\$1.00	The objective of the project is to raise the energy efficiency of the rural industrial sector in China by selecting several key Township and Village Enterprises (TVE) to carry out demonstration projects. Because their greenhouse gas emissions accounted for 54.2% of the total carbon dioxide emissions of TVEs, four subsectors were targeted for participation in this programme: brickmaking, coking, metal casting and cement.
China	Efficient Industrial Boilers	4/1/96	WB	\$32.81	\$101.38	This project will reduce greenhouse gas emissions by adapting high efficiency foreign technologies to local conditions for small and medium-sized, coal-fired industrial boilers. To assist the dissemination and effective use of efficient technologies, the project will also strengthen China's industrial-boiler engineering, operations, production management and marketing capabilities, and improve boiler technology exchange domestically.
China	Capacity Building for the Rapid Commercialization of Renewable Energy	4/97	UNDP	\$8.83	\$27.65	The global environmental objective of the project is to reduce CO2 emissions by beginning the process of replacing fossil fuels with the use of renewable energy sources.
China	Promoting Methane Recovery and Utilization from Mixed Municipal Refuse	4/96	UNDP	\$5.29	\$19.57	The project's objectives are to promote wide spread adoption of landfill gas recovery technology in China based on the technical and organizational experience gained from the three pilot landfills proposed in this project. Project includes (1) significant reduction of emissions of methane, a greenhouse gas; (2) reduction in air, water and land pollution associated with refuse dumping; and (3) promotion of indigenous enterprises that will build and operate recovery systems and utilize the energy.
China	Issues and Options in GHG Emissions Control	5/91	UNDP	\$2.00	\$2.00	Project assessed greenhouse gas emissions, formulated emission reduction plan, and presented detailed case studies and feasibility assessments in priority sectors. Project is operationally completed. The GHG options report is a framework for identifying new GEF climate change project interventions in China.

1) Date work program approved by Council for long-term operations and short-term measures; for enabling activities date of CEO approval.

2) In US\$ millions.

Country	Project Name	Entry ¹ into WP	GEF ² IA Allocation	Total ² Costs	Project Description
China	Energy Conservation	4/97	WB	\$22.00	\$180.00 The project will support the establishment, pilot testing and commercial demonstration of market-oriented Energy Management Companies that will promote investments in energy-efficiency technology through energy performance contracting.
China	Sichuan Gas Transmission and Distribution Rehabilitation	4/1/92	WB	\$10.00	\$122.70 Rehabilitation of gas transmission and distribution systems to eliminate methane gas losses and improve pipeline network performance. Main components will focus on safety and operational efficiency of the transmission and distribution system, and selection of cost effective measures to reduce gas leakages through a program of environmental upgrades.
China	Development of Coal-Bed Methane Resources in China	5/91	UNDP	\$10.00	\$10.00 Implemented at three mining sites, project supports assessment of China's methane resources and potential for using methane gas as domestic energy source. Also supports pilot investments to improve technologies and techniques for resource assessment as well as methane recovery from coal mines and its utilization.
Costa Rica	Tejona Wind Power	12/1/92	WB/IDB	\$3.30	\$31.30 The project will consist of installing a sufficient number of wind turbines (between 40-100 units) to generate 20 MW at Tejona, near Lake Arenal. In addition to the wind turbines, the project would add a control center for the wind power plant and a connection to the power grid. Through this project, wind power will displace thermal power plants that would otherwise have been built and thereby reduce CO2 emissions by approximately 60,000 tons per year.
Czech Republic	Kyjov Waste Heat Utilization	4/97	WB	\$5.09	\$13.97 The project will demonstrate a gas-fired, combined cycle cogeneration system at Vetropek Moravian Glass, a bottle manufacturing factory. It replaces a system producing significant waste heat with one where part of the waste heat will be recycled to produce electricity for the factory.
Ghana	Renewable Energy-based Electricity for Rural Social and Economic Development in Ghana	10/10/96	UNDP	\$2.47	\$2.57 Ghana is expanding its thermal power generation due to the limitations of the existing hydropower facilities. Thermal power from fuel oil will be the marginal source of electricity for rural electrification. The project will facilitate the widespread sustainable use of low-carbon renewable energy-based electricity supply technologies to meet electricity needs in the more than 3,000 presently unelectrified communities.

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2) In US\$ millions.

Country	Project Name	Entry ¹ into WP	GEF ¹ Allocation	Total ² Costs	Project Description
Hungary	Energy-Efficiency Co-Financing Program	4/1/96	\$5.00	\$25.00	To overcome critical financing barriers to investments in energy efficiency (EE) in Hungary and to promote local EE markets and capacity, the project will create an EE co-financing program to facilitate and leverage private sector capital for EE investments. In addition, it will provide partial credit guarantees, whereby funds would be reserved to cover the guarantee liability, and medium- to long-term co-financing loans, targeting three subsectors: lighting, district heating and industrial motors and processes.
India	Cost-Effective Options for Limiting Greenhouse Gas Emissions	5/93	\$1.50	\$1.50	Assistance to government in assessing specific investment projects and related institutional and policy options for limiting greenhouse gas emissions. Project also identifies and strengthens India's institutional, technical, and technological capabilities to assess global implications of energy efficiency and other projects which affect emission levels.
India	Development of High Rate BioMethanation Processes as Means of Reducing Greenhouse Gas Emissions	5/92	\$5.50	\$5.50	Project develops national master plan for generation and utilization of bioenergy, creates commercially viable packages for replication, and promotes and disseminates technology for high-rate biomethanation. Project will introduce, demonstrate, and standardize a wide variety of cost-effective technologies.
India	Solar Thermal-Electric	4/1/96	\$49.00	\$245.00	The GEF will finance the incremental costs of construction and operation, by the private sector, of a grid-connected, 140MW solar-thermal fossil-fuel hybrid power plant in Rajasthan, incorporating a parabolic trough solar thermal field of about 35-40MW. The plant would demonstrate the operational viability of solar trough technology and its use by an independent power producer with commercial sales and delivery arrangements with the grid.
India	Optimizing Development of Small Hydel Resources in the Hilly Regions	12/91	\$7.50	\$15.00	Project designed to assist the Government of India in the optimal utilization of small hydel resources in the Himalayan and sub-Himalayan regions through the development of a master plan and through setting up of 20 commercially-viable small hydel demonstration projects and by upgrading the institutional and human resource capabilities from the national to local levels.
India	Alternate Energy	12/1/91	\$26.00	\$186.00	Project promotes and commercializes investment in wind farms and solar photovoltaic power systems through the provision of below-market loans to investors in these systems, primarily from the private sector. Popularizes renewable technologies through public education programs that explain their functions and capacity. Implementation is overseen by the Indian Renewable Energy Development Agency, which is benefitting from capacity-building assistance.

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2) In US\$ millions.

Country	Project Name	Entry ¹ into WFP	GEF ² Allocation	Total ² Costs	Project Description	
Indonesia	Solar Home Systems (SHS)	10/1/95	WB	\$24.30	\$118.10	The project will catalyze rapid market acceptance of Solar PV Home Systems within the framework of a least-cost rural electrification strategy, relying on private sector delivery/installation systems. The project will support the installation of about 200,000 such systems in up to 4 regional markets. The project will also develop a strategy and corresponding action plan to meet the modern energy needs of the rural population for whom solar PV systems represent the least-cost alternative.
Indonesia	Eastern Indonesia Renewable Energy Development (EIREDD)	10/1/95	WB	\$2.00	\$58.80	This project will finance about ten mini-hydro projects and one mini-geothermal project to displace high-cost, isolated diesel power generation operations in remote areas of eastern Indonesia. The project will provide technical assistance to PLN strengthen its capacity to mainstream renewable energy development into its operations.
Indonesia	Renewable Energy Small Private Power (RESPP)	10/1/95	WB	\$4.00	\$141.00	This project will catalyze the penetration of private sector, grid-based renewable energy projects into the National Power Company's (PLN) network within the framework of a least-cost electrification strategy. An identified pipeline of about 75 MW of small renewable projects, primarily biomass, sugar and palm oil mills, and some mini-hydro, will be targeted by the project. Technical assistance will be provided to private project developers.
Iran	Teheran Transport Emissions Reduction	4/1/92	WB	\$2.00	\$4.00	The study will identify least-cost short and long-term options for reducing vehicular emissions in Tehran, based on an analysis of policy and technology constraints, and will suggest specific actions which could be taken to overcome those constraints.
Jamaica	Demand Side Management Demonstration	5/1/93	WB	\$3.80	\$12.50	Strengthening of the institutional capabilities of Jamaica Public Service Company (JPSCo), and implementation of an integrated approach to energy conservation. JPSCo. will acquire the necessary information and data to develop sustainable programs that overcome market barriers to energy conservation. Mechanisms to address these barriers will be tested, and evaluation results will be used to design full scale sustainable long-term energy efficiency programs.
Jordan	Reduction of Methane Emissions	4/96	UNDP	\$2.50	\$4.00	The goal of the project is to reduce emissions of greenhouse gases in Jordan by substituting bioenergy (methane gas and electricity), produced from anaerobic digestion of industrial and municipal waste in Amman, for fossil fuels. The project's main activities include a combination of a landfill operation and a biogas plant. Although such a combination is logical in many respects, it has never been demonstrated in a developing country.

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2) In US\$ millions.

Country	Project Name	Entry into V/P	GEF 1A Allocation	GEF 2 Allocation	Total ² Costs	Project Description
Latvia	Solid Waste Management and Landfill Gas Recovery	3/1/97	WB	\$5.12	\$25.00	To harness methane for electricity production that otherwise would have been emitted to the atmosphere, as well as to assist the management of solid waste around Riga, the project will remediate the existing Getlini landfill in Riga, install an advanced energy-cell technology for enhanced degradation of biodegradable waste, and collect landfill gas and use it for power generation. In addition, the project will establish a sorting line for separation of recyclable materials.
Lithuania	Klaipeda Geothermal Demonstration	5/4/95	WB	\$6.90	\$18.02	This project helps to finance construction of a demonstration geothermal plant to provide hot water to the Klaipeda district heating system, as well as modifications to the heating system to render it compatible with geothermally heated water. It will reduce annual CO2 emissions by an estimated 56,000 tons, and reduce SO2, NOx and TPM emissions significantly too.
Mali	Household Energy	12/1/92	WB	\$2.50	\$11.10	The project addresses both the demand for and supply of household energy in a country where people depend heavily on environmentally-damaging woodfuels. Consumption of these fuels will be reduced by promoting the use of more efficient stoves and through substituting woodfuels with kerosene and bottled gas through technical assistance and credit to manufacturers and marketers. In parallel, forest planning and management will be strengthened through training and technical assistance.
Mauritania	Decentralized Wind Electric Power for Social and Economic Development	12/92	UNDP	\$2.00	\$4.00	Project demonstrates potential for using wind electric generators to support off-grid delivery of essential electricity-based services in rural areas. Includes support for private sector activities in this field and substantial dissemination to address growing demand for power by rural communities.
Mauritius	Sugar Bio-Energy Technology	5/1/91	WB	\$3.30	\$55.10	Development and testing of technologies for gathering, storing and using sugar cane tops, leaves and residues as fuel to expand power generation by existing sugar mills. Assessing options for reducing the cost of bagasse transport and thereby also expanding its use as a generating fuel. Providing technical assistance to a Bagasse Energy Development Program coordinated by the Mauritius which will develop a program to tap the long-term potential of power generation from sugar cane waste.
Mexico	High Efficiency Lighting Pilot	12/1/91	WB	\$10.00	\$23.00	The project will reduce greenhouse gas emissions as well as local environmental contamination through the replacement of incandescent bulbs with fluorescent light bulbs in two major markets: Guadalajara and Monterrey. Project will also work to increase institutional capacity for technological change and energy conservation, and strengthen the Federal Electricity Commission (CFE) and its capacity to practice demand side management on a sustainable basis.

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Country	Project Name	Entry ¹ into V/P	GEF ¹ Allocation	GEF ² Allocation	Total ² Costs	Project Description
Morocco	Repowering of Power Plant	12/1/92	V/B	\$6.00	\$45.70	Repowering of an existing plant with a second generation advanced combustion turbine, together with improvements in the quality of the materials and enhancement of the scheme's performance in the power generating system of Morocco. Close monitoring of the project's impact and careful analysis of the findings will help determine its wider applicability for use throughout the country.
Pakistan	Fuel Efficiency in the Road Transport Sector	5/92	UNDP	\$7.00	\$7.00	Project seeks to reduce emissions through improving vehicles' fuel efficiency and urban infrastructure, based on well-known methods which Pakistan does not currently have capacity to implement. Builds capacity of officials to review transport options, expands pilot project to tune-up urban vehicles, evaluates ongoing programs, and develops options with regard to technology transfer, regulations, and pricing.
Pakistan	Waste-to-Energy: Lahore Landfill Gas Recovery and Use	4/1/92	WB	\$11.00	\$26.00	Design and construction of a privately-managed power station fueled by methane gas that would otherwise be released to the atmosphere, collected from an urban landfill. This project will transfer a technology developed and proven in wealthy countries to a developing country and test the feasibility of its application in that setting.
Peru	Technical Assistance to the Centre for Energy Conservation	12/91	UNDP	\$0.90	\$0.90	The project was designed to strengthen CENERGIA (NGO) to become a fully-functioning regional training centre, for the provision of energy efficiency measures and services to leading productive sectors. Project activities involved the establishment of an "emission control programme" training workshops, study tours, energy audits, and will develop program of emissions control for Lima.
Philippines	Leyte-Luzon Geothermal	5/1/91	WB	\$30.00	\$1,333.60	Project seeks to assist in meeting the rapidly increasing demand for electrical power using technology that substantially reduces greenhouse gas (GHG) emissions. The National Power Corporation (NPC) components of the project include the interconnection of electrical power systems of Leyte and Luzon Islands and the strengthening of the environmental and social engineering departments of NPC.
Poland	Coal-to-Gas Project	12/1/91	WB	\$25.00	\$48.32	The project expects to demonstrate interfuel substitution and technological innovation as a means of reducing CO2 emissions. GEF funds will be used to extend coal-to-gas conversions to medium-size boilers whose owners could not achieve acceptable financial rates of return without concessional financing.

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Country	Project Name	Entry ¹		GEF ²	Total ²	Project Description
		into WP	GEF IA Allocation			
Poland	Efficient Lighting Project (PELP)	12/1/94	WB/IFC	\$5.00	\$5.00	Through the IFC, direct subsidies have been competitively awarded to domestic manufacturers of qualified compact fluorescent lighting (CFLs). Manufacturers and wholesalers will be required to pass on full savings on to retailers. This has sparked demand for CFLs in Poland, demonstrating the financial and commercial benefits of energy-efficient lighting and resulting in large power savings and reduced emissions from coal-fired generation plants.
Romania	Capacity Building for GHG Emissions Reduction through Energy Efficiency	10/95	UNDP	\$2.27	\$6.48	The objective of this project is to assist Romania in reducing the long-term growth of GHG emissions from heat and power generation plants and from the consumption of fossil fuel sources in the main sectors of energy demand. The project will assist in developing self-sustaining national capability for the continuous improvement of energy efficiency.
Russian Federation	Greenhouse Gas Reduction	12/1/92	WB	\$3.20	\$130.90	This project will develop analytical techniques to identify and quantify the principal sources of greenhouse gas emissions in the production, transport and utilization of natural gas. It will also develop methodologies for ranking the most cost-effective projects for reducing GHG emissions, define the criteria for assessing eligibility and incremental costs, and strengthen the institutional structures and the technical capabilities required to apply the techniques in planning and implementation.
Russian Federation	Capacity Building to Reduce Key Barriers to Energy Efficiency in Russian Residential Buildings and Heat Supply	10/10/96	UNDP	\$2.98	\$5.59	The proposal addresses three key activities in the city of Vladimir: institutional changes that create incentives for greater energy efficiency and energy conservation; greater penetration of autonomous sources of heat; and the capacity to analyse the financial and economic aspects and feasibility of capital investment projects for commercial and multi-lateral financing.
Senegal	Sustainable and Participatory Energy Management	4/1/96	WB	\$4.70	\$18.90	Participatory, community-forest sustainable management systems in a 300,000 ha zone surrounding Niokolo-Koba National Park will be phased in over a 7-year period with the primary objectives of carbon sequestration and local income enhancement, and secondary biodiversity conservation benefits. A demand management and fuel substitution component will promote substitution of kerosene and liquid petroleum gas for charcoal, and disseminate efficient charcoal stoves.

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Country	Project Name	Entry ¹		GEF ²	GEF 1A Allocation	Total ²	Costs	Project Description
		into WP	WB					
Sri Lanka	Energy Services Delivery	4/1/96	WB	\$5.90	\$52.40	This project will encourage participation of the private sector, NGOs and cooperatives in the provision grid and off-grid energy services, and strengthen the public and private institutional capacity to deliver energy services through renewable energy technologies and demand-side management (DSM). Its specific components will be (a) a private sector renewable energy fund to support pre-grid, pV electrification, mini-hydro schemes and other renewable energy sources; (b) a pilot grid-connected wind farm (3MW); and (c) technical assistance for the use of renewable energy in residential and commercial sectors.		
Sri Lanka	Renewable Energy and Capacity Building	4/96	UNDP	\$1.51	\$1.91	The project objective is to remove barriers to the expanded and sustainable utilization of renewable energy in Sri Lanka. The project will facilitate and accelerate the use of renewable energy technologies and energy efficiency measures in Sri Lanka thus reducing the need for additional fossil fuel thermal power stations and greenhouse gas (GHG) production (carbon dioxide) associated with fossil fuel power stations and the decentralized use of kerosene and woodfuel.		
Sudan	Community Based Rangeland Rehabilitation for Carbon Sequestration and Biodiversity	12/92	UNDP	\$1.50	\$1.50	Carbon sequestration and biodiversity conservation in region where drought and overgrazing have had drastic effects. Project develops and implements community-based land use and range management master plans, revegetates economically-sensitive areas, and tests several new techniques to rehabilitate rangeland.		
Syria	Syria: Supply-side Efficiency and Energy Conservation and Planning	10/10/96	UNDP	\$4.07	\$29.86	This project has two components. First - supply-side intervention where the government rehabilitates an old power plant so that GEF can implement efficiency control measures. The second component has industrial demand side management and integrated resource planning.		
Tanzania	Electricity, Fuel and Fertilizer from Municipal and Industrial Organic Waste in Tanzania: A Demonstration of Biogas Plant for Africa	5/93	UNDP	\$2.50	\$3.90	Project establishes Africa's first large-scale biogas plant, converting methane produced by municipal waste into energy. With increased indigenous interest and capacity resulting from project, plant is to operate as independent profit centre capable of reinvesting profits in replication.		
Thailand	Promotion of Electricity Energy Efficiency	12/1/91	WB	\$9.50	\$89.00	Project comprises a five year demand side management plan, which seeks to build institutional capability in the Thai electric power sector and throughout the economy. Will pursue policies and actions leading to the development, manufacturing, and adoption of energy efficient equipment and processes. Project will demonstrate potential savings, both financial and environmental.		

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Country	Project Name	Entry ¹ into WP		GEF ² IA Allocation		Total ² Costs	Project Description
		5/1/93	WB	UNDP	UNDP		
Tunisia	Solar Water Heating	5/1/93	WB			\$20.90	The project will promote the commercialization of solar water heating technology in the residential and tertiary sectors by conditioning the market for sustained penetration of the technology as a least-cost alternative under competitive market conditions.
Uganda	Photovoltaics for Rural Electrification	10/95	UNDP			\$1.76	The overall and long-term objective of the pilot project is to lay a firm foundation for the sustainable dissemination and use of solar photovoltaic systems in those rural areas that cannot be accessed by the national electric grid, while at the same time contributing to the curbing of greenhouse gas emissions from the use of kerosene and diesel generators.
Zimbabwe	Photovoltaics for Household and Community Use	5/91	UNDP			\$7.00	Project expands rural use of photovoltaics (PV) while assessing the technology and approaches to its promotion, providing a model for other African countries' efforts at off-grid electrification. Includes efforts to develop indigenous PV businesses, cooperation with national utility, and analysis of national policies including import duties.
Grand Total						\$544.21	
						\$3,771.32	
						\$578.83	
						\$3,810.87	

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ANNEX C

**LIST OF STATES PARTICIPATING IN THE GEF
(AS OF JUNE 1997 – TOTAL 161)**

List of States Participating in the GEF

(As of May 1997 - Total 161)

Afghanistan	04/07/94
Albania	05/06/94
Algeria	05/13/94
Antigua & Barbuda	03/29/94
Argentina	05/12/94
Armenia	06/16/94
Australia	06/27/94
Austria	06/21/94
Azerbaijan	07/24/95
Bahamas	04/19/94
Bangladesh	06/22/94
Barbados	05/13/94
Belarus	03/30/94
Belgium	01/30/95
Belize	04/29/94
Benin	06/29/94
Bhutan	12/12/95
Bolivia	06/17/94
Botswana	07/12/94
Brazil	06/13/94
Bulgaria	03/22/94
Burkina Faso	08/24/94
Cambodia	01/31/95
Cameroon	10/31/94
Canada	07/06/94
Cape Verde	07/18/94
Central African Republic	03/23/95
Chad	07/27/94
Chile	07/01/94
China	05/16/94
Colombia	06/28/94
Comoros	09/05/95
Congo, Dem. Republic of	02/06/97
Congo, Republic of	09/22/95
Cook Islands	05/06/94
Costa Rica	05/19/94
Cote d'Ivoire	06/24/94

Cuba	04/04/94
Croatia	03/04/94
Czech Republic	06/30/94
Denmark	06/09/94
Djibouti	05/24/94
Dominica	06/08/94
Dominican Republic	04/21/94
Ecuador	06/23/94
Egypt	06/08/94
El Salvador	05/20/94
Eritrea	12/27/95
Estonia	05/12/94
Ethiopia	10/27/94
Fiji	05/10/94
Finland	06/09/94
France	06/20/94
Gambia	08/16/94
Georgia	07/08/94
Germany	06/23/94
Ghana	01/16/97
Greece	05/11/94
Grenada	04/20/94
Guatemala	05/20/94
Guinea	10/17/94
Guyana	05/12/94
Haiti	05/10/94
Honduras	09/06/94
Hungary	06/22/94
India	05/12/94
Indonesia	06/29/94
Iran (I.R.)	05/25/94
Ireland	06/14/94
Israel	03/19/95
Italy	06/28/94
Jamaica	06/29/94
Japan	06/27/94
Jordan	05/10/94
Kenya	05/25/94
Kiribati	05/10/94
Korea (D.P.R.)	05/06/94
Korea (Rep.)	05/03/94
Kyrgyz	01/09/97
Lao (P.D.R.)	08/02/94

Latvia	06/27/94
Lebanon	07/21/94
Lesotho	06/29/94
Libya	12/13/94
Lithuania	05/13/94
Luxembourg	04/28/95
Madagascar	07/14/94
Malawi	02/23/96
Malaysia	05/04/94
Maldives	08/25/94
Mali	07/04/94
Malta	07/27/94
Marshall Islands	04/15/94
Mauritania	05/08/94
Mauritius	07/04/94
Mexico	05/17/94
Micronesia (F.S.)	04/26/94
Moldova	10/27/95
Mongolia	04/14/94
Morocco	06/29/94
Mozambique	12/27/95
Myanmar	05/13/94
Nauru	05/05/94
Nepal	08/10/94
Netherlands	06/20/94
New Zealand	05/18/94
Nicaragua	05/19/94
Niger	08/23/94
Nigeria	07/12/94
Niue	05/04/94
Norway	07/01/94
Pakistan	04/08/94
Panama	04/07/94
Papua New Guinea	05/06/94
Paraguay	02/15/95
Peru	06/14/94
Philippines	06/16/94
Poland	04/18/94
Portugal	06/17/94
Romania	07/29/94
Russian Federation	06/23/94
Saint Lucia	03/31/94
Saint Vincent & Grenadines	05/04/94

Samoa	03/28/94
Senegal	04/07/94
Sierra Leone	09/06/94
Slovak Republic	11/01/94
Slovenia	07/12/94
Solomon Islands	04/16/94
South Africa	07/06/94
Spain	06/09/94
Sri Lanka	05/26/94
St. Kitts and Nevis	07/25/94
Sudan	06/14/94
Suriname	05/12/94
Swaziland	05/16/94
Sweden	06/28/94
Switzerland	07/01/94
Syria	04/15/96
Tanzania	03/26/96
Thailand	06/30/94
The F.Y.R. of Macedonia	07/07/94
Togo	07/21/94
Tonga	05/04/94
Trinidad and Tobago	05/19/94
Tunisia	05/13/94
Turkey	07/06/94
Turkmenistan	05/29/97
Tuvalu	05/03/94
Uganda	06/28/94
Ukraine	06/15/94
United Kingdom	06/13/94
United States	06/24/94
Uruguay	04/22/94
Uzbekistan	04/05/95
Vanuatu	05/19/94
Venezuela	07/01/94
Vietnam	05/12/94
Yemen	03/30/94
Zambia	06/13/94
Zimbabwe	07/07/94

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