

## FACSIMILE TRANSMISSION



**United Nations Development Programme**  
GLOBAL ENVIRONMENT FACILITY (GEF)



**To:** Mr. Avani Vaish  
GEF

**Date:** 16 June 1997

**Fax:** 202-522-3240

**Pages:** ( <sup>14</sup> including this sheet)

**From:** Richard Hosier  
Principal Technical Adviser  
Climate Change

**Subject:** Submission of revisions for Azerbaijan and Peru Enabling  
Activity proposals

Please, find enclosed the revised project briefs and our response to the comments regarding the enabling activity proposals for Azerbaijan and Peru.

### Azerbaijan

1. As mentioned in the project brief, there is no other projects in Azerbaijan dealing directly with the climate change. The first para in page 9 refers basically to the projects that can be linked to the climate change issue, such as ongoing energy sector projects. Since these projects have no substantial impact on the formulation of the project brief (such as the budget or formulation of the project activities) we would request you to consider the possibility of returning to this issue during the preparation of a full project document for the project as well as during the its actual implementation.
2. The issue of the base year (1990 or 1994) was one of the main questions with the Government during the preparation of the proposal. Initially we proposed to prepare an inventory for 1994, but the Government came back to us informing that they want to use the option to select 1990 as their base year, and to prepare the inventory accordingly. (1990 is a preferable year for most CIS countries due to the drastic economic changes they faced in the beginning of 1990's). Our counter proposal was to prepare an inventory for both years and it was also agreed by the

Government. The purpose of this was to address both the Government's preferences as well as for verification purposes to provide the information for 1994 which is selected as a base year by many other non-Annex I countries.

- 3 Revised as suggested.
4. Revised as suggested.

#### Peru

1. The evaluation was made by Mr. John M. Rogers from the Department of the Environment of the United Kingdom who is working as an advisor to CONAM. He can be contacted in the UK at (+44 171 276 8380).
2. As it is indicated in the individual country work plan of CC:TRAIN for Peru, the CC:TRAIN in Peru is focusing only on formulation of national implementation strategies (NIS), for which no additional funding is requested from GEF. This has also been confirmed by CC:TRAIN coordination unit in Geneva.
3. Regarding the gaps left by the US Country Study Program, and considering the fact that CC:TRAIN is only focusing on national strategy formulation, we think that there is still a justification to request assistance from GEF to fill the gaps in the vulnerability assessment and GHG abatement analysis. However, the amount requested for the vulnerability assessment has been reduced from the \$ 65,000 to \$ 45,000 which we hope will address your concerns with respect to the work already undertaken in Peru.

**UNITED NATIONS DEVELOPMENT PROGRAMME  
GLOBAL ENVIRONMENT FACILITY**

*Proposal for Review*

**Country:** Azerbaijan

**Project Title:** Enabling Azerbaijan to Prepare Its First National Communication in Response to Its Commitments to the UNFCCC

**GEF Focal Area:** Climate Change

**Country Eligibility:**  Eligible under financial mechanism of the UNFCCC  
 Eligible under paragraph 9 (b) of the Instrument

**Date of Ratification:** 16 May 1995

**Total Costs:** US \$ 324,500

**GEF Financing:** US \$ 324,500

**Counterpart Financing:** n.a.

**GEF Implementing Agency:** UNDP

**Executing Agency:** Government of Azerbaijan

**Local Counterpart Agency:** State Committee for Hydrometeorology

**Estimated Starting Date:** July 1997

**Project Duration:** 2 years

## **BACKGROUND AND PROJECT CONTEXT**

The Republic of Azerbaijan is located in the eastern part of Transcaucasia, covering a land area of 86,600 km<sup>2</sup>. The country borders Georgia in the north-west, Russia in the north, Iran in the south, and Armenia and Turkey in the west and south-west. In the east, Azerbaijan is bordered by the Caspian Sea. The total length of the shoreline is about 800 km.

Azerbaijan is primarily a mountainous country, located in the subtropical belt. Average annual temperature is between +11 °C to +14 °C with average temperature in January ranging from -3 °C to +27 °C, and in June from +22 °C to +27 °C.

The estimated population was 7.5 million people in 1995, of which some 53 % lives in urban areas. The average population growth is 1.1% annually. The official language is Azerbaijani and other languages are Russian, Armenian, Georgian and Lesginian. The national currency is Manat (\$1 = 4,417.5 Manat in 1996).

### *Economy*

According to UNDP's 1996 Human Development Report, Azerbaijan's human development index value is 0.665 corresponding to 96th in the world rankings.

The economy of Azerbaijan is greatly based on oil and natural gas. Main economic sectors are industries (petroleum and natural gas, petroleum products, oil field equipment, iron ore, cement, chemicals and petrochemicals); and agriculture.

Transition to a market-oriented economy has been a major objective for Azerbaijan from the early days of independence. Independence in 1991 was accompanied by disruption of the economic structures and a significant decrease in living standards. Industrial production declined and output in 1992 was down to 50% of its 1989 level. In the following years this the decline continued, as the economy sought to cope with the collapse of the centrally planned economy while struggling to develop a market economy.

The GNP annual growth rate recorded within the period 1980-93 was -4.5%. Average annual rate of inflation between 1980-93 was 28.2% whereas the inflation rate for 1993 was 714.5%.

In 1995, economic activities were distributed among the agricultural production (25.4%); industrial production (21.8%); and services sector (52.8%), expressed as percentages of the GDP. In 1995, 19.5% of the workforce was employed in industry and construction sectors; 31.3% was in agriculture sector; and 49.2% was in service sector.

Foreign exchange earnings are derived primarily from export of oil and oil related products. The share of oil and oil products has increased from 27.8% in 1993 to 47.2% in 1995. Unfortunately, this increase has been accompanied by a decline of non-oil exports over the same period.

### *Environmental subsector*

Azerbaijan is a country which suffers from both natural and man-made environmental degradation. Azerbaijan's economic structure was characterized by the over-exploitation of the natural resources. The development of oil-gas production, petrochemical, chemical and metallurgical complexes, intensive agriculture coupled with low standards of environmental monitoring caused a serious degradation of environment. The extensive environmental impacts that still accompany oil production, the devastation of Baku and Sumgait industrial zones, the serious problems of water, air and soil pollution that the country is facing and a monocultural approach in agriculture are all examples of these problems.

The Government has made some progress since 1991 in improving the policy framework and strengthening its institutions for protecting the environment. However particularly during the last couple of years, the Government has been concentrating all its resources and efforts to achieve political stability and economic reform, and to cope with declining economic performance and industrial and agricultural production.

Institutional structure for environment is:

1. The Azerbaijan State Committee for Ecology and Nature Use Control is controlling the environmental protection and use of nature resources in Azerbaijan. The Committee controls all the components of the environment -air, water and land pollution, organises protection of rare plant and animal species, and prepares documents relevant to the environmental protection. It is also cooperating with the State Hydrometeorological Committee in the preparation of this project.
2. The Azerbaijan State Hydrometeorological Committee is acting in the area of hydrometeorology and monitoring of environmental pollution. It is also charged with the implementation of the commitments stemming from the UNFCCC.

### *Energy Sector*

Oil and gas are the primary energy resources in Azerbaijan. In 1995, 9.2 million tons of oil and 6.6 billion m<sup>3</sup> of gas were produced in the country. Oil is extracted both onshore and offshore. In terms of oil extraction level per capita, Azerbaijan is within the top ten of the fifty oil extracting countries in the world. Oil production in the year 2005 is projected to reach approximately 37 million tons per year. Signing of a major oil exploration contract with an international consortium of oil companies in 1994 has been the most important step in the development of the country's economy.

Relevant national institutions in the energy sector are:

1. The joint-stock company "Azenergo" is a state body occupied with production, distribution and control of electrical energy distribution in the Republic.

2. The State Oil Company is a state body occupied with exploitation of oil and gas, as well as transportation and distribution of the oil and gas products.

3. The Joint-stock society "Azerigaz" is a state body occupied with distribution of natural gas.

### *Agriculture and Forestry*

Agriculture plays an important role in the economy of Azerbaijan. In 1995, 31.3% of employed people work in agriculture sector. More than 80% of agricultural products are grown on irrigated lands. The area of agricultural land amounts to 4,287 million hectares. Major agricultural products include grain, cotton, grapes, tobacco, vegetables, fruits, meat, and milk. Agricultural production, including food production has been steadily decreasing mainly due to the inefficient land ownership systems, lack of modern agricultural technologies as well as appropriate infrastructures for the transportation, storage and processing of agricultural products.

The forest and woodland area accounts for 11% of the total land area of the country. The high rate of deforestation is mainly due to the firewood collection as a result of lack of oil and gas for domestic heating and due to military actions in the country.

Relevant national institutions for agriculture and forestry are;

1. The Ministry of Agriculture which is responsible of Government's policy in the agricultural sector.
2. The Production Division of Forestry of the Azerbaijan Republic is a state body occupied with protection and renewal of forests.

### *Institutional Framework and Initiatives Relevant to Climate Change*

Azerbaijan ratified the United Nations Framework Convention on Climate Change on 16 May, 1995 and it entered into force on 14 August, 1996. As a Party to the Convention, Azerbaijan has committed to produce a national communication to the Conference of the Parties within three years of the entry into force of the Convention for Azerbaijan, or the availability of financial resources in accordance with article 4, paragraph 3 of the Convention.

Under the resolution of 10 January, 1995 the Parliament of the Republic charged the State Hydrometeorology Committee with implementation of the commitments stemming from the UN Framework Convention on Climate Change. However, no activities have been undertaken so far to facilitate the implementation of the Convention in Azerbaijan, and to enable Azerbaijan to prepare its first national communication to the Conference of the Parties.

## **PROJECT OBJECTIVES**

The immediate objective of the project is to facilitate the preparation of the first national communication of Azerbaijan to the Conference of the Parties (CoP) in accordance with the

**Article 12 of the UN Framework Convention on Climate Change, and following the guidelines adopted by the CoP for the preparation of initial national communications by Parties not included in Annex I to the Convention.**

In addition to meeting the communication obligations, the project can be seen as an essential exercise to enhance general awareness and knowledge of climate change related issues in Azerbaijan thus enabling Azerbaijan to take those issues into account in general planning and strategy formulation for different economical and technical sectors, and also to strengthen its role in the international scientific forums and negotiation processes related to climate change. A part of this task is to facilitate the dialogue, information exchange and cooperation among all the relevant players in the field including governmental, non-governmental, academic, private and "grassroots" sectors.

Last but not least, the project will establish an institutional framework, and build endogenous capacity preparing ground for eventual additional communication obligations, and for further development and implementation of the identified response measures addressing climate change and its adverse impacts.

## **PROJECT DESCRIPTION**

During the project preparation the following components have been identified to respond to the objectives of the project, and to implement the project successfully:

1. Organize the work by: (i) identifying and hiring a competent project manager; (ii) establishing a Project Steering Committee (PSC); (iii) preparing a detailed work plan for the project; and (iv) organizing a project initiation workshop with participants from all the relevant sectors to present the objectives of the project, to clarify links to other relevant ongoing national and international activities, and to clarify the institutional and other practical arrangements to facilitate a successful implementation of the project.
2. Strengthen links to both national and international sources of information, and eventually establish an information center/network with adequate equipment and personnel to facilitate an effective exchange of information between the participating institutions at the national level, as well as to assist them in gaining internationally available information on climate change related issues (e.g., from the USCSP and other bilateral programmes, UNEP, IPCC, CC:TRAIN, international research institutes, ongoing enabling activities in other countries etc.). The potential to use Internet/World Wide Web is evaluated and, to the extent feasible, it will be used to save travel costs and enhance the geographical coverage of available information. In that context, the project will cooperate, as appropriate, with the UNDP's SDNP (Sustainable Development Network Programme) and UNFCCC Secretariat's CC:INFO/Web initiatives.

It is foreseen that the network will continue to operate also after the project, facilitating interested parties in Azerbaijan to learn about other national or international activities, and

- facilitating interested individuals and institutions outside Azerbaijan to get information on ongoing, planned or finalized climate change related activities in Azerbaijan.
3. Organize and undertake a national inventory of greenhouse gases in 1990 (as a base year for the communication) and 1994 (for comparison) following the guidelines adopted by the CoP. The atmospheric gases to be addressed in the study will include carbon dioxide (CO<sub>2</sub>), methane (CH<sub>4</sub>) and nitrous oxide (N<sub>2</sub>O). Other greenhouse gases included in the IPCC methodology will be addressed as seen appropriate
  4. Organize and undertake an analysis of potential options to abate the increase in greenhouse gas emissions and to enhance removals by sinks.
  5. Study the potential impacts of climate change on the following sectors: agriculture, water resources, coastal zone, forestry, natural ecosystems, and public health.
  6. By building on the results of the vulnerability assessment, organize and undertake an analysis of potential options to adapt to climate change with respect to the specific geographical and climatological characteristics of Azerbaijan.
  7. Organize a workshop with wide local participation and relevant international (subject to additional financial resources outside the project) partners to present the results of the project, together with results or status of other ongoing national projects relevant to the issue, and to discuss the results with the objective of formulating a national action plan for effective response measures to climate change (focusing on "win-win" abatement and adaptation measures).
  8. Prepare a national action plan for effective response measures to climate change including measures to facilitate adaptation to climate change, as well as measures to abate the increase in greenhouse gas emissions and to enhance removals by sinks.
  9. Based on the results of the studies, compile and prepare the additional information that the country wants to present in its national communication including, *inter alia*: a) financial and technological needs and constraints associated with the implementation of the Convention under articles 4 and 12; b) projects for financing; and c) material relevant for calculation of global emission trends.
  10. Using the outputs of this project as well as results of other ongoing projects, prepare, translate (as appropriate), and publish the first national communication of Azerbaijan following the guidelines adopted by the CoP.

The activities will be carried out in sequence so that tasks building on the results of prior activities are only undertaken if these prior steps have been taken. For instance, the GHG abatement analysis will build on the results of the inventory, and the adaptation analysis will build on the results of the vulnerability assessment. Based on the results of the studies, a national action plan for effective response measures to climate change will be formulated. With these activities the

project is expected to cover all the steps needed to prepare the first national communication of Azerbaijan to the CoP.

### **RATIONALE FOR GEF SUPPORT**

The project is consistent with the GEF Operational Strategy and the GEF Operational Guidelines for Expedited Financing of Initial Communications from Non-Annex I Parties to provide coordinated and timely assistance to countries to fulfill their commitments to the UNFCCC. The project responds to such objectives by implementing an activity needed to enable Azerbaijan to prepare its first national communications to the CoP.

### **SUSTAINABILITY AND PARTICIPATION**

The Government of Azerbaijan fully supports the objectives of this Project and gives a very high priority to it. The Government has also endorsed that the output of the project will be the national communication in compliance with the UN Framework Convention on Climate Change, and guidelines adopted by the CoP for the preparation of initial national communications by Parties not included in Annex I to the Convention. In financial terms the Government is contributing "in kind" covering the office costs and project support staff.

To facilitate coordination, participation and sustainability of the results of the project, a Project Steering Committee (PSC) will be established with a balanced representation from the key government ministries, academic institutions, environmental NGOs, and private sector representatives. The final composition of the PSC will be decided during the further preparation of the project, but a "short list" of potential candidates for the PSC have been identified as follows:

1. Azerbaijan State Hydrometeorological Committee.
2. Azerbaijan State Committee for Ecology and Nature Use Control.
3. Azerbaijan State Oil Company.
4. Joint-stock Society "Azenergo" of the Azerbaijan Republic.
5. Ministry of agriculture of the Azerbaijan Republic.
6. Production Division of Forestry of the Azerbaijan Republic.
7. Ministry of Economy of the Azerbaijan Republic.
8. Academy of Sciences of the Azerbaijan Republic.
9. Society of Geography (NGO).

10. Factory "Alunit" (Private sector).
11. Scientific-production Complex "Bioresource" (NGO)
12. Ecology firm "Rousgyar" (NGO).
13. Scientific-Technical Center "Caspian" (NGO).
- 14 Ecology firm "Arsenal" (NGO).

In determining the final composition of the PSC, specific efforts will be made to ensure that all the key sectors are equally represented in the PSC, while, at the same time, maintaining a limited number of seats to keep the PSC operational.

It is expected, that after successful completion of the Project, the PSC will continue to deal with UN FCCC related matters on a permanent basis. Also, as already mentioned, specific attention will be paid to the dissemination of, and public access to the available information.

#### **LESSONS LEARNED**

The importance of involvement and cooperation of all the relevant stakeholders including key government ministries, NGOs, academic institutions and private sector has been noted and duly reflected in the proposal. The project recognizes the importance of exchange of information and experience at the national level, as well as regionally and internationally.

#### **PROJECT FINANCING AND BUDGET**

As an enabling activity related to the communication obligations of Azerbaijan under the UNFCCC, the "agreed full costs" of the project will be funded by GEF. A detailed project budget for expedited processing of the proposal is presented as Annex II.

#### **INSTITUTIONAL FRAMEWORK AND PROJECT IMPLEMENTATION**

The Executing Agency of the project will be the State Committee for Hydrometeorology on behalf of the Government of Azerbaijan. The Project Steering Committee will be charged with overseeing and advising the project execution and will have decision making power over all aspects of the project. The project will also collaborate closely with all the other relevant ongoing projects in Azerbaijan (as identified during the further preparation and implementation of the project), both through the Project Steering Committee and between the research teams in order to enable an effective information exchange between the projects and full utilization of their results.

Regarding the international collaboration, working links with relevant regional and international expert institutions will be created, and they will be consulted when selecting the methodologies for, and implementing the specific activities of the project. The project will also utilize results and lessons learnt from other ongoing or finalized international projects like UNEP Country Case

Studies on Climate Change Impacts and Adaptation Assessment, CC:TRAIN and US Country Study Programme to avoid duplication of effort. As means of identifying and disseminating information, the project will utilize, to the extent feasible, electronic networks such as Internet and cooperate with the CC:INFO initiative of the FCCC Secretariat.

Regarding the regional cooperation, links to other Transcaucasian and Central Asian countries with ongoing or finalized enabling activities, or ones just to be started will be created, and areas for collaboration such as regional training or information exchange workshops will be identified and evaluated.

In implementing the different activities, the project will follow the internationally adopted guidelines and use the existing methodologies and tools whenever available. Technical assistance will be provided by regional and local experts whenever possible.

The detailed content and target audience for the workshops will be determined during the further preparation of the project. However, a general strategy is to open the "policy oriented" workshops for a broader audience including both policy makers and technical experts from the governmental as well as from the independent sector while targeting the technical training/coordination workshops more for the people who are actually conducting the studies or which need to be involved as providers of the data for the studies.

#### **Monitoring and evaluation**

After the detailed work plan has been prepared, an external review on it will be undertaken. The purpose of the review is to identify in the early stage of the project the eventual gaps, overlaps and other risks of successful implementation, as well as to identify potential partners and sources of information of which the project could benefit.

The executing agency together with the Project Steering Committee will be responsible for monitoring the project on a continuous basis. In order to do this, the project manager, with the help of the leaders of the research teams, will prepare regular reports on the progress of the project as whole and the different sub-tasks under it.

For the remaining part, the project will rely on common UNDP monitoring and evaluation practices including a midterm evaluation and a tripartite review to be held within the first 12 months of the start of the full implementation of the project.

## ANNEX I

**COVERAGE OF THE ACTIVITIES IN AZERBAIJAN TO PREPARE  
THE INITIAL NATIONAL COMMUNICATION**

Information to be included into the national communication	Enabling activity to produce the information needed	Type of Activity <sup>1</sup>		
		Planning <sup>2</sup> and execution	Capacity Building	
			Institutional	Human
<b>1. National circumstances</b>	Compilation of the information from existing sources	X	X	X
<b>2. Greenhouse gas inventory (incl. CO<sub>2</sub>, CH<sub>4</sub> and N<sub>2</sub>O) for:</b> - all energy sources - industrial processes - agricultural processes - land use change and forestry - other sources	Data gathering and inventory of GHG emissions from: - all energy sources - industrial processes - agricultural processes - land use change and forestry - other sources	X X X X X	X X X X X	X X X X X
<b>3. General description of steps taken or envisaged to implement the Convention including, as appropriate:</b> (a) programs related to sustainable development, research, public awareness, etc.; (b) policy options for monitoring systems and response strategies for impacts; (c) policy frameworks for implementing adaptation measures and response strategies; (d) building capacity to integrate climate change concerns into planning; (e) programs to address climate change and its adverse impacts, including the abatement of increase in GHG emissions and enhancement of sinks	An assessment of potential impacts of climate change in the country	X	X	X
	An analysis of potential options to adapt to the impacts of climate change.	X	X	X
	An analysis of potential options to abate the increase in GHG emissions and enhance the sinks.	X	X	X
	Formulation of programs and policy frameworks for implementing the identified response measures.	X	X	X
<b>4. Other information including, as appropriate:</b> a) Financial and technological needs and constraints associated with the implementation of the Convention under articles 4 and 12. b) projects for financing c) material relevant for calculation of global emission trends	Based on the results of the studies compilation and preparation of the additional information that the country wants to present in its national communication	X	X	X
<b>5. Compilation and production of the Initial national communication</b>	Preparation, translation (as appropriate), and publication of the national communication (incl. the preparation of an exec. summary)	X	X	X

X activities covered by the proposed project

including data gathering and research related to the preparation of the national communication

## ANNEX II

**BUDGET FOR EXPEDITED PROCESSING OF THE ENABLING ACTIVITY PROPOSAL  
FOR PREPARING THE INITIAL NATIONAL COMMUNICATION OF AZERBAIJAN**

Information to be included into the national communication	Enabling activity to produce the information needed	Type of Activity			Total Costs in US \$
		Planning and execution	Capacity Building		
			Inst.	Training	
<b>1. National circumstances</b>	Compilation of the information from existing sources	-	-	-	-
<b>2. Greenhouse gas inventory</b>	Data gathering and an inventory of GHG emissions	50,000	10,000	25,000	85,000
<b>3. General description of steps</b> (a) programs related to sustainable development, research, public awareness, etc.; (b) policy options for monitoring systems and response strategies for impacts; (c) policy frameworks for implementing adaptation measures and response strategies; (d) building capacity to integrate climate change concerns into planning; (e) programs to address climate change and its adverse impacts, including the abatement of increase in GHG emissions and enhancement of sinks	An assessment of potential impacts of climate change in the country	15,000	5,000	10,000	30,000
	An analysis of potential options to adapt to the impacts of climate change	15,000	5,000	15,000	35,000
	An analysis of potential options to abate the increase in GHG emissions and enhance sinks.	15,000	5,000	15,000	35,000
	Formulation of programs and policy frameworks for implementing the identified response measures.	15,000	10,000	10,000	35,000
<b>4. Other information:</b> a) Financial and technological needs and constraints associated with the implementation of the Convention under art. 4 and 12 b) projects for financing c) material relevant for calculation of global emission trends	Based on the results of the studies, compilation and preparation of the additional information that the country wants to present in its national communication	10,000			10,000
<b>5. Compilation and production of national communication</b>	Preparation, translation (as appropriate), and publication of the national communication.	10,000	5,000	5,000	20,000
<b>Project management</b>		30,000	10,000	10,000	50,000
<b>Monitoring/Evaluation</b>		15,000			15,000
<b>Subtotal</b>		<b>175,000</b>	<b>50,000</b>	<b>90,000</b>	<b>315,000</b>
<b>Project support services (3%)</b>		9,500			9,500
<b>GRAND TOTAL</b>		<b>184,500</b>	<b>50,000</b>	<b>90,000</b>	<b>324,500</b>
<b>Percentage of total budget</b>		<b>57%</b>	<b>15%</b>	<b>28%</b>	<b>100%</b>

FROM :

PHONE NO. :

P.01



Azərbaycan Respublikası  
Dövlət Hidrometeorologiya  
Komitəsinin  
SƏDRİ

CHAIRMAN  
State Hydrometeorological  
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26.12.96 No. 123.

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Global Environment  
Facility (GEF)  
304 East 45 th Street  
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906 65 95

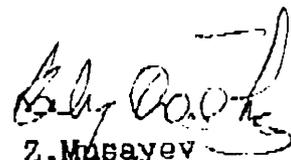
Dear Mr./Mrs.

We wish to inform You, that in January 10, 1995 by decision N 948 the Parliament of the Azerbaijan Republic ratified United Nations Framework Convention on Climate Change and instruct the State Committee for Hydrometeorology to coordinate national organizations' activity.

At present we are engaged in preparatory works on execution commitments followed from the Convention.

In accordance with principal of the Convention, we send You "Proposals for first national communication project's review" (on 9 pages) for rendering financial support.

Sincerely Yours,

  
Z. Masayev  
National Coordinator