

SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

Thirteenth session

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Item 8 (a) of the provisional agenda

SUBSIDIARY BODY FOR IMPLEMENTATION

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CAPACITY-BUILDING

CAPACITY-BUILDING IN DEVELOPING COUNTRIES (NON-ANNEX I PARTIES)

Framework for capacity-building in developing countries

A. Purposes

1. This framework for capacity-building in developing countries serves the following purposes:

(a) To set out the scope and provide the basis for action on capacity-building in developing countries that would, in a timely manner, promote sustainable development and the effective participation of developing countries in the Convention and the Kyoto Protocol processes;

(b) To provide guidance on capacity-building to the financial mechanism;

(c) To encourage further support for capacity-building in developing countries from other institutions;

(d) To establish a process by which Parties can monitor the effectiveness of the implementation of this framework.

B. Guiding principles and approaches

2. This framework for capacity-building in developing countries is guided and informed by, inter alia, Article 4.1, 4.3, 4.4, 4.5 and 4.7, in the context of Article 3, and also Articles 5 (c) and 6 (b) of the Convention as well as Articles 10 (c), 10 (d) and 10 (e) of the Kyoto Protocol, and relevant provisions contained in decisions 11/CP.1, 10/CP.2, 11/CP.2,

9/CP.3, 2/CP.4, 4/CP.4, 5/CP.4, /CP.4, 7/CP.4, 12/CP.4, 14/CP.4, and 10/CP.5,¹ and will be revised in the light of future decisions.

3. The capacity-building needs already identified in the various decisions of the Conference of the Parties (COP) must be comprehensively and promptly addressed to promote sustainable development and contribute to the effective participation of developing countries in the Convention and Kyoto Protocol processes.
4. Capacity-building activities should build on work already undertaken by developing countries themselves, as well as on the work undertaken with support from multilateral and bilateral organizations, including the Global Environment Facility (GEF).
5. Capacity-building activities should be undertaken through an integrated approach that supports the efforts of individual Parties to create and enhance conditions that are conducive to the development of human, institutional and technical capacity. Such conditions will optimize the identification, planning and implementation of capacity-building in a coordinated manner.
6. There is no "one size fits all" formula for capacity-building. Capacity-building must be country-driven, addressing the specific needs and conditions of developing countries and reflecting their national sustainable development initiatives, strategies and priorities. It is primarily to be undertaken by developing countries and in developing countries with financial and technical support from Annex II Parties and relevant organizations, in accordance with the provisions of the Convention and the Kyoto Protocol.
7. Every effort should be made to improve the coordination and effectiveness of existing efforts and promote the participation of and dialogue between a wide range of actors and constituencies, including governments at all levels, international organizations, civil society and the private sector.
8. Capacity-building should be results-oriented and implemented in a programmatic manner to facilitate monitoring and evaluation, and promote cost-effectiveness and efficiency.
9. Capacity-building activities in support of the Convention and the Kyoto Protocol should maximize synergies between other global environmental agreements, as appropriate.
10. Multilateral and bilateral bodies should support the implementation of this framework.
11. The GEF, as the operating entity of the financial mechanism, shall support the implementation of this framework, in accordance with Articles 4.3 and 11 of the Convention and the guidance provided by the Conference of the Parties.
12. While capacity-building is crucial to every developing country, especially those that are particularly vulnerable to the adverse effects of climate change, the special circumstances of least developed countries and small island developing States need to be taken into account in the implementation of this framework.

¹ For the full texts of decisions adopted by the Conference of the Parties at its first, second, third, fourth and fifth sessions, see documents FCCC/CP/1995/7/Add.1, FCCC/CP/1996/15/Add.1, FCCC/CP/1997/7/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1 respectively.

13. Capacity-building involves “learning by doing”. Demonstration projects may be useful in identifying and learning about the specific capacities that need to be further developed.
14. Capacity-building is a continuous, progressive and iterative process the implementation of which should be based on the priorities of developing countries.
15. Whenever possible and effective, capacity-building should mobilize existing national institutions and national and regional centres of excellence and the private sector in developing countries and build on existing processes and endogenous capacities. National focal points have an important role to play in providing capacity-building activities in developing countries.
16. National institutions, including centres of excellence in developing countries such as research centres, institutions and universities, have an important role to play in providing capacity-building activities in developing countries. Such centres can incorporate traditional skills, knowledge and practices, to provide appropriate, high quality services in developing countries, and facilitate information sharing.

C. Objectives and scope of capacity-building

Objectives

17. Capacity-building efforts should build, develop, strengthen, enhance, and improve the enabling environment, institutions, human resources, knowledge and information, methodologies and practices, and the participation and networking of developing countries to achieve sustainable development, to implement the provisions of the Convention and to ensure their effective participation in the Kyoto Protocol process.

Scope for capacity-building

18. Within the scope of capacity-building, developing countries should continue to identify their specific needs for capacity-building on a country-by-country basis pertaining to their specific priorities, objectives, time-frames and options for implementation, taking into account existing capacities, and past and current activities undertaken by bilateral and multilateral institutions and the private sector with financial support from developed countries.
19. The initial scope of needs and areas for capacity-building in developing countries was broadly identified in the annex to decision 10/CP.5, in the compilation and synthesis document prepared by the secretariat (FCCC/SB/2000/INF.1), and in submissions by Parties (FCCC/SB/2000/INF.5). These needs and areas for capacity-building relate to the implementation of relevant articles of the Convention listed in paragraph 2, and the participation of developing countries in the Kyoto Protocol. The following scope for capacity-building will be reviewed as information on capacity-building becomes available and as priorities are further identified:

- (a) Institutional capacity-building, including the enhancement and/or creation of an enabling environment;
- (b) National communications and national action plans;

- (c) Greenhouse gas (GHG) inventories, and emission database management, and systems for collecting, managing and utilizing activity data and emission factors;
- (d) Vulnerability and adaptation assessment;
- (e) Implementation of adaptation measures;
- (f) Assessment and implementation of abatement options;
- (g) Research and systematic observation;
- (h) Development and transfer of technology;
- (i) Improved decision-making, including assistance for participation in international negotiations;
- (j) Clean development mechanism projects;
- (k) Capacity-building needs arising out of the implementation of Article 4.8 and 4.9 of the Convention;
- (l) Education, training and public awareness in the implementation of the Convention and the Kyoto Protocol, including the implementation of Article 6 of the Convention;
- (m) Information and networking, including the establishment of databases and the acquisition of information and communication technologies.

20. Other capacity-building needs and possible responses are being identified by the Parties under the discussions on the transfer of technology, the implementation of Article 4.8 and 4.9 of the Convention and Article 3.14 of the Kyoto Protocol, national communications, mechanisms, and other issues. The decisions resulting from these discussions, as well as other activities related to the implementation of the Convention, should further inform the scope and implementation of this framework.

D. Implementation

Arrangements and actions to enhance the implementation of this framework

21. The following actions enhance the implementation of this framework:

- (a) Establishing an enabling environment to promote the sustainability and effectiveness of capacity-building activities;
- (b) Improving the coordination and effectiveness of existing and future efforts through dialogue between donor agencies and developing countries;
- (c) Promoting the participation in and access to capacity-building activities of all stakeholders, including governments at all levels, civil society and the private sector, as appropriate.

22. In implementing this framework for capacity-building, the initial scope of which is outlined in paragraph 19, developing countries, subject to the availability of resources, should:

(a) Continuously identify their specific needs and options for capacity-building on a country-driven basis, taking into account existing capacities and past and current activities;

(b) Promote South-South cooperation by utilizing the services of institutions in developing countries that can provide capacity-building activities at the national, subregional and regional levels, wherever possible and effective;

(c) Improve the coordination and effectiveness of existing efforts and promote the participation of a wide range of stakeholders, including governments at all levels, national and international organizations, civil society and the private sector, as appropriate.

(d) Enable national focal points to facilitate the coordination of activities undertaken within this framework;

(e) Facilitate the sharing of information, including reporting as appropriate to the Conference of the Parties on capacity-building activities conducted by developing countries themselves for better coordination and South-South cooperation.

23. In implementing the elements of a framework for capacity-building, Annex II Parties should:

(a) Ensure the availability of additional financial and other resources necessary to implement this framework, including the prompt availability of financial and technical resources to enable developing countries to undertake country-level needs assessments and to develop specific capacity-building activities consistent with this framework;

(b) Respond to the capacity-building needs and priorities of developing countries in a coordinated and timely manner, and support activities implemented at the national, subregional and regional levels.

Financing

24. Financial and technical support to implement this framework for capacity-building in developing countries should be made available through the financial mechanism and through multilateral and bilateral agencies and the private sector.

25. Financial and other assistance should be made available immediately to developing countries to enable them to continue to determine, assess and prioritize their needs for capacity-building in a simple, timely manner and to assist them to immediately put into place the institutional arrangements to implement effective capacity-building activities.

26. The operating entity of the financial mechanism shall provide financial resources to implement activities within this framework, consistent with the decisions taken by the COP and the timetables contained therein, and adopt a streamlined and expedited approach to financing and implementing this framework.

27. Multilateral and bilateral agencies are encouraged to adopt streamlined and expedited approaches to financing, implementing and supporting the capacity-building activities undertaken within this framework.

Operation

28. The capacity-building activities undertaken within this framework are to be country-driven and implemented primarily at the country level, with support from national

and regional institutions, based on the needs, priorities and strategies identified and agreed to by individual developing countries.

29. Developing countries which have already begun the identification of their capacity-building needs through ongoing work aimed at implementing the Convention should be able to immediately implement capacity-building activities under this framework.

30. In order to facilitate the exchange of information and cooperation, developing countries in collaboration with relevant institutions should identify regional, subregional and sectoral activities that can meet common capacity-building needs.

31. The results of the CDI conducted by the GEF as a multilateral financial institution may be taken into account in further elaborating capacity-building activities within this framework at the regional and subregional levels.

Time-frame

32. This framework for capacity-building should be implemented upon adoption, taking into account the immediate, short-term and long-term priority needs of developing countries in accordance with the timetables contained in the relevant decisions of the COP.

33. The immediate and short-term needs of developing countries, in particular the least developed countries and small island developing States, should be addressed urgently in the implementation of this framework.

Review of progress

34. The COP, through the Subsidiary Body for Implementation, shall regularly monitor and review the progress in the implementation of this framework for capacity-building.

35. Information to enable the COP to review progress should be reported by Parties consistent with the guidelines for national communications. Other institutions are requested to provide relevant information for this purpose.

36. The operating entity of the financial mechanism is requested to report on progress on the implementation of this framework at each meeting of the COP.

Role of the secretariat

37. In implementing this framework for capacity-building, the secretariat is requested, consistent with Article 8 of the Convention, to undertake the following tasks:

(a) To coordinate with the operating entity of the financial mechanism, its implementing agencies and other agents for capacity-building to facilitate the implementation of this framework;

(b) To collect, process, compile and disseminate the information needed by the COP or its subsidiary bodies to review the progress in the implementation of this framework for capacity-building.