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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 that would assist developing countries in promoting sustainable development and meeting the ultimate objective of the Convention through the implementation of the Convention and effective participation in the Kyoto Protocol process;

(b) To provide guidance on capacity-building to the Global Environment Facility as an operating entity of the financial mechanism;

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

(d) To monitor and review progress on the implementation of this framework through the Convention process.

**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 Articles 5 and 6 of the Convention, as well as Articles 10 (c), 10 (d), 10 (e), and 11.2 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, 6/CP.4, 7/CP.4, 12/CP.4, 14/CP.4, and 10/CP.5.<sup>1</sup>

3. Capacity-building activities related to the implementation of the Convention and participation in the Kyoto Protocol process by developing countries should build on work already undertaken by developing countries, as well as on the work undertaken with support from multilateral and bilateral organizations.

4. The capacity-building needs already identified in the various decisions of the Conference of the Parties (COP) should continue to be comprehensively and promptly addressed to promote sustainable development in developing countries through the effective implementation of the Convention and effective participation in the Kyoto Protocol process.

5. 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 strategies, priorities and initiatives. It is primarily to be undertaken by and in developing countries in partnership with other Parties and relevant organizations, in accordance with the provisions of the Convention and the Kyoto Protocol.

6. Capacity-building activities should be results-oriented and undertaken in the most effective, integrated and programmatic manner, taking into consideration the specific national circumstances of developing countries.

7. Capacity-building activities undertaken within this framework should maximize synergies between the Convention and other global environmental agreements, as appropriate.

8. Capacity-building is crucial to developing countries, 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.

9. Capacity-building involves “learning by doing”. Demonstration projects may be used in identifying and learning about the specific capacities that need to be further developed in developing countries.

10. Capacity-building is a continuous, progressive and iterative process, the implementation of which should be based on the priorities of developing countries.

11. Whenever possible and effective, capacity-building should mobilize existing national, subregional and regional institutions 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 ensuring coordination at the country and regional levels and may serve as the institutional focal point for coordinating capacity-building activities.

12. Institutions in developing countries such as research and training centres, and universities, have an important role to play in supporting capacity-building activities in developing countries. Such centres can incorporate traditional skills, knowledge and

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<sup>1</sup> 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.

practices, to provide appropriate services in developing countries, and facilitate information sharing.

13. Multilateral and bilateral bodies are encouraged to take account of this framework when implementing capacity-building activities related to the implementation of the Convention and the effective participation by developing countries.

### **C. Objectives and scope of capacity-building**

#### *Objectives*

14. Capacity-building should assist developing countries to build, develop, strengthen, enhance, and improve their capacities to achieve the ultimate objective of the Convention through the implementation of the provisions of the Convention and effective participation in the Kyoto Protocol process.

#### *Scope of capacity-building*

15. The following 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<sup>2</sup> and in submissions by Parties<sup>3</sup>. Within this general scope of needs, individual developing countries should identify their own specific priorities, taking into account existing capacities and past and current activities undertaken by developing countries, including in partnership with multilateral and bilateral agencies and the private sector:

- (a) Institutional capacity-building, including the strengthening or establishment of national climate change secretariats or institutional focal points;
- (b) Capacity-building for the enhancement and/or creation of an enabling environment;
- (c) National communications and national action plans;
- (d) Greenhouse gas (GHG) inventories, emission database management, and systems for collecting, managing and utilizing activity data and emission factors;
- (e) Vulnerability and adaptation assessment;
- (f) Implementation of adaptation measures;
- (g) Assessment and implementation of abatement options;
- (h) Mitigation options;
- (i) Research and systematic observation, including meteorological, hydrological and climatological services;
- (j) Development and transfer of technology;
- (k) Improved decision-making, including assistance for participation in international negotiations;

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<sup>2</sup> FCCC/SB/2000/INF.1.

<sup>3</sup> FCCC/SB/2000/INF.5.

- (l) Clean development mechanism projects;
- (m) Capacity-building needs arising out of the implementation of Article 4.8 and 4.9 of the Convention;
- (n) Education, training and public awareness in the implementation of the Convention and the Kyoto Protocol, including the implementation of Article 6 of the Convention;
- (o) Information and networking, including the establishment of databases and the acquisition of information and communication technologies.

16. Other capacity-building needs and possible responses are being identified by the Parties in their discussions of other issues. The decisions resulting from these discussions, as well as other activities related to the implementation of the Convention and participation in the Kyoto Protocol process, should continue to inform the scope and implementation of this framework.

#### **D. Implementation**

##### *Actions to enhance the implementation of this framework*

17. All Parties should improve the coordination and effectiveness of capacity-building efforts through dialogue between and among developing countries and with multilateral and bilateral institutions. All Parties should promote an enabling environment conducive to the sustainability and effectiveness of capacity-building activities.

18. In implementing this framework, developing countries should:

- (a) Periodically 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) 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) Facilitate the efforts of national focal points to coordinate the activities undertaken within this framework;
- (e) Facilitate the dissemination and sharing of information, including submissions as appropriate to the COP, on capacity-building activities conducted by developing countries for better coordination and South-South cooperation.

19. In implementing this framework, Annex II Parties should:

- (a) Ensure the availability of the 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;

(c) Report to the COP on the implementation of this framework.

### *Financing*

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

21. The operating entity of the financial mechanism is expected to develop a country-driven operational strategy to implement this framework. The operating entity should adopt a streamlined and expedited approach to financing and implementing this framework.

22. 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.

23. Financial and other assistance should be made available immediately to developing countries, in particular to the least developed countries and small island developing States, 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.

### *Operation*

24. The capacity-building activities undertaken within this framework are to be country-driven and implemented primarily at the country level.

25. Developing countries and relevant institutions should identify regional, subregional and sectoral activities that can address common capacity-building needs in order to maximize the resources available for capacity-building and to facilitate exchange and cooperation among developing countries.

26. 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.

27. The results of activities conducted by the Global Environment Facility as a multilateral financial institution including the Capacity Development Initiative, may be considered in further elaborating capacity-building activities within this framework at the regional and subregional levels.

### *Time-frame*

28. This framework for capacity-building should be implemented promptly, taking into account the immediate, medium- and long-term priority needs of developing countries.

29. The immediate 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*

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

31. 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.

32. The Global Environment Facility, as an operating entity of the financial mechanism, is requested to report on progress in the implementation of this framework in its reports to the COP.

*Role of the secretariat*

33. 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 cooperate with the operating entity of the financial mechanism, its implementing agencies and other entities 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.

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