

SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

Thirteenth session

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Item 8 (b) of the provisional agenda

SUBSIDIARY BODY FOR IMPLEMENTATION

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CAPACITY-BUILDING

CAPACITY-BUILDING IN COUNTRIES WITH ECONOMIES IN TRANSITION

Framework for capacity-building in countries with economies in transition

A. Purpose

1. The purpose of this framework for capacity-building is to set out the scope and basis for action for capacity-building activities in countries with economies in transition (EIT Parties) under the Convention and the Kyoto Protocol.

B. Guiding principles and approaches

2. This framework for capacity-building in EIT Parties is guided and informed by, inter alia, Articles 4.1, 4.2 and 4.6, 5, 6 and 12 of the Convention; Articles 2, 3, 5, 6, 7 and 17 of the Kyoto Protocol; and relevant provisions contained in decisions 9/CP.2, 6/CP.4, 7/CP.4 and 11/CP.5,¹ and will be revised in the light of future decisions.

3. As Parties included in Annex I, EIT Parties have quantified emission limitation and reduction commitments that impose additional challenges to their existing capacities to implement the Convention and the Kyoto Protocol. As Parties undergoing the process of transition to a market economy, they need to enhance their ability to address climate change issues. Capacity-building is therefore critical to the effective implementation by EIT Parties of their commitments under the Convention and the Kyoto Protocol.

4. Capacity-building for EIT Parties must be country-driven, consistent with their national sustainable development strategies, reflect their national initiatives and priorities, respond to needs determined and prioritized by EIT Parties themselves and be primarily undertaken by and in EIT Parties in partnership with other Parties and relevant organizations, as appropriate, in accordance with the provisions of the Convention and the Kyoto Protocol.

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

5. Capacity-building should contribute to sustainable development through the implementation of the Convention and the Kyoto Protocol by EIT Parties.
6. Capacity-building efforts are more effective when they take place within an enabling environment conducive to the development of human, institutional and technical capacity.
7. Capacity-building should be results-oriented and implemented in an integrated and programmatic manner to facilitate its monitoring and evaluation, cost-effectiveness and efficiency.
8. Capacity-building is a continuous process, the implementation of which should be based on the priorities of EIT Parties, and aimed at strengthening or establishing, as appropriate, relevant institutions and human resources in order to strengthen their expertise relevant to the implementation of the Convention and the Kyoto Protocol.
9. Capacities should be developed and strengthened in a manner and under conditions that will ensure sustainability and support for the short- and long-term objectives and priorities of EIT Parties related to their commitments under the Convention and the Kyoto Protocol.
10. Capacity-building involves “learning by doing”. Capacity-building activities should be designed and implemented in a flexible manner.
11. Capacity-building should 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.
12. Wherever possible, capacity-building should utilize existing institutions and bodies and build on existing processes and endogenous capacities.
13. National focal points and other institutions such as research centres and universities and other designated organizations may play an important role in providing capacity-building services and facilitating the flow of knowledge, best practices and information.
14. Capacity-building should be designed so that it results in the development, strengthening and enhancement of institutional capacities, human resources, knowledge and information, methodologies and practices, and the participation and networking of EIT Parties to promote sustainable development and to implement their commitments under the Convention and the Kyoto Protocol.
15. Capacity-building in support of achieving the objectives of the Convention and the Kyoto Protocol should maximize synergies with other global environmental agreements, as appropriate.
16. Capacity-building is more effective when it is coordinated at all levels (national, regional and international) through dialogue between and among Annex I Parties, and when past and existing efforts are taken into account.

C. Objectives and scope of capacity-building

Objective

17. Capacity-building should assist EIT Parties in meeting the ultimate objective of the Convention and their commitments under the Convention and the Kyoto Protocol process.

Scope for capacity-building

18. To ensure that capacity-building efforts are country-driven, EIT Parties should determine their specific objectives, needs, priorities, and options to implement the Convention and the Kyoto Protocol consistent with their national sustainable development strategies and, within the scope for capacity-building, identify their specific needs for capacity-building on a country-by-country basis, taking into account existing capacities and past and current activities undertaken by the countries themselves, bilateral and multilateral institutions and the private sector.

19. The needs for capacity-building in EIT Parties were first identified in the compilation and synthesis document prepared by the secretariat (FCCC/SB/2000/INF.2) based on the submissions of EIT Parties (FCCC/SB/2000/INF.7). The general areas and needs for capacity-building are listed below. This scope for capacity-building will be reviewed as further information is made available and as needs and priorities are further identified.

20. General priority areas for capacity-building identified by EIT Parties related to the implementation of the Convention include:

- (a) Improving the quality of the national greenhouse gas (GHG) inventories;
- (b) Facilitating the elaboration of national policies and measures to reduce GHG emissions;
- (c) Preparing projections and estimating the effect of policies and measures;
- (d) Impact assessment and adaptation;
- (e) Research and systematic observation;
- (f) Education, training and public awareness;
- (g) Facilitating transfer of environmentally-sound technologies;
- (h) Preparing national communications and national climate action plans.

21. Many areas for capacity-building identified under the Convention are relevant to the implementation of the Protocol. In addition, the following general priority areas for capacity-building have been identified for participation in the Kyoto Protocol process:

- (a) Establishing national systems for estimation of GHG emissions (Article 5 of the Kyoto Protocol);
- (b) Establishing national registries;
- (c) Complying with reporting obligations under Article 7 of the Kyoto Protocol;

(d) Implementing Article 6 projects and emissions trading (Article 17).

22. In order to maximize available resources for capacity-building and to facilitate exchange and cooperation among EIT Parties, multilateral and bilateral agencies in consultation with EIT Parties should assist as appropriate, the efforts of EIT Parties themselves to identify, develop and implement regional, subregional and sectoral activities that meet the capacity-building needs of EIT Parties. The results of the next phase of the Capacity Development Initiative of the Global Environment Facility (GEF) could provide valuable inputs for these activities.

D. Implementation

Responsibilities for implementation

23. In implementing the activities undertaken within this framework for capacity-building, EIT and Annex II Parties have the following mutual responsibilities:

(a) To improve the coordination and effectiveness of existing efforts and promote the participation in and access to capacity-building activities of all stakeholders, including governments, civil society and the private sector, as appropriate;

(b) To provide information consistent with the guidelines for national communications to enable the Conference of the Parties (COP) to monitor progress in the implementation of this framework for capacity-building;

(c) To provide an enabling environment to promote the sustainability and effectiveness of capacity-building activities relating to the implementation of the ultimate objective of the Convention and the Kyoto Protocol.

24. In the implementation of this framework for capacity-building, EIT Parties have the following responsibilities:

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

(b) To identify and provide information on their own capacity-building activities;

(c) To promote cooperation among EIT Parties as well as to report to the COP on these activities in their national communications.

(d) To ensure the sustainability of domestic capacities, including the institutional leadership necessary for national coordination and the effectiveness of capacity-building activities.

25. In cooperating with EIT Parties to support the implementation of this framework for capacity-building, Annex II Parties have the following responsibilities:

(a) To assist EIT Parties, including through the provision of financial and other resources, to undertake country-level needs assessments to meet the ultimate objective of the Convention and their commitments thereunder, as well as facilitate their participation in the Kyoto Protocol process. Assistance should be made available through multilateral and bilateral agencies, as appropriate;

(b) To assist EITs, including through the provision of financial and other resources, to implement options for capacity-building consistent with their specific priorities and this framework. Assistance should be made available through multilateral and bilateral agencies, including through the Capacity Development Initiative of the Global Environment Facility.

Financing

26. The Annex II Parties, through multilateral and bilateral agencies and the private sector as appropriate, should ensure the financial resources and technical support required for the implementation of this framework for capacity-building, including assistance for the development of national action plans of EIT Parties consistent with their own priorities.

Time-frame

27. The implementation of activities undertaken within this framework for capacity-building should commence as soon as possible to assist EIT Parties to implement the Convention and the Kyoto Protocol.

28. This framework will be established upon adoption of a decision by the Conference of the Parties.

Monitoring of progress

29. The COP, through the subsidiary bodies, shall monitor the effectiveness of the implementation of this framework for capacity-building.

30. Information to enable the COP to monitor the effectiveness of the implementation of this framework should be reported by Parties consistent with the guidelines for the preparation of national communications. Other institutions involved in capacity-building in EIT Parties should be requested to provide information for this purpose.

Role of the secretariat

31. In implementing the elements of 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 multilateral and bilateral institutions 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 monitor the progress in the implementation of this framework for capacity-building.