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Item 10 of the provisional agenda
Capacity-building under the Convention

A possible format for reporting on the regular monitoring of the implementation of the capacity-building framework in accordance with decision 2/CP.7, paragraph 9

Note by the secretariat

Summary

This document presents a proposal for the collection, processing and dissemination of information on monitoring capacity and capacity-building activities in developing countries based on the purpose of monitoring as defined by the Conference of the Parties in its decision 4/CP.12 and by the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol in its decision 6/CMP.2. It describes options for data collection, analysis and dissemination, and lists a few issues that the Subsidiary Body for Implementation may wish to consider in further defining approaches to the monitoring steps.

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I. Introduction

A. Mandate

1.   The Conference of the Parties (COP), by its decision 4/CP.12, decided on the steps to be taken annually to regularly monitor the implementation of the capacity-building framework pursuant to decisions 2/CP.7 and 2/CP.10. Similarly, the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP), by its decision 6/CMP.2, decided on the additional steps to be taken annually to regularly monitor the implementation of activities pursuant to decision 29/CMP.1.

2.   The monitoring steps include an invitation to Parties to submit information on activities they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10, as well as to decision 29/CMP.1. The CMP, by its decision 6/CMP.2, decided to invite relevant multilateral and bilateral agencies and the private sector to provide reports on their support of the implementation of the capacity-building framework pursuant to decision 29/CMP.1, in accordance with national priorities and with the knowledge of relevant national authorities.

3.   The COP, by its decision 4/CP.12, also requested the secretariat to develop a possible structured format for the reporting of information in support of regular monitoring of the capacity-building framework consistent with decision 2/CP.7, paragraph 9, for consideration by the SBI at its twenty-sixth session.

B. Scope of the note

4.   This document reports on a possible structured format for data collection, data processing, and the compilation and dissemination of information needed to complete the monitoring of the capacity-building framework, consistent with decision 2/CP.7, paragraph 9, and the steps specified in decisions 4/CP.12 and 6/CMP.2.

C. Possible action by the Subsidiary Body for Implementation

5.   The Subsidiary Body for Implementation (SBI) may wish to consider this report with a view to offering guidance on the collection, analysis and dissemination of information to support the monitoring and evaluation of capacity-building. The SBI may also wish to consider the additional elements as outlined in section III.A of this report in further defining approaches to the monitoring steps.

II. Monitoring capacity-building

A. Background

1. The capacity-building framework

6.   The capacity-building framework for developing countries contained in the annex to decision 2/CP.7 serves as a guide for the climate change capacity-building activities of the Global Environment Facility (GEF) and other funding agencies. The objective of capacity-building is to assist developing countries to build, develop, strengthen, enhance and improve their capabilities to achieve the objective of the Convention by implementing the provisions of the Convention and by preparing for effective participation in the Kyoto Protocol process.[1] An initial scope of activities was elaborated in the annex to decision 2/CP.7, and comprised 15 areas. A list of six initial needs and priority areas for capacity-building in least developed countries (LDCs) and small island developing States (SIDS) among them was also included.

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[1] Decision 2/CP.7, annex, paragraph 14.

7.   The COP, by its decision 2/CP.7, paragraph 9, requested the secretariat 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, drawing on information contained in national communications as well as reports from the GEF. Decision 4/CP.12 identified additional sources of information, to include national capacity self assessments (NCSAs) and national adaptation programmes of action (NAPAs).

2. Updates to the framework

8.   A set of nine key factors that should be taken into account to assist in the further implementation of decision 2/CP.7 were identified in decision 2/CP.10, paragraph 1, and the same decision encouraged Parties to report on the effectiveness and sustainability of capacity-building programmes in their national communications and other relevant documents.

9.   By its decision 2/CP.10, the COP decided on a time frame and process for the second comprehensive review of the implementation of the capacity-building framework for developing countries. This review would be initiated at the twenty-eighth session of the SBI with a view to completing it at the fifteenth session of the COP.

10.   By its decision 29/CMP.1, the CMP decided on a list of six priority areas for capacity-building relating to the Kyoto Protocol aimed at enhancing the ability of developing countries to participate effectively in project activities under the clean development mechanism (CDM).

3. Agreed purpose for the monitoring

11.   By decisions 4/CP.12 and 6/CMP.2, the COP and CMP recognized that the purpose of regular monitoring should be:

(a)   To facilitate assessment of progress made;

(b)   To facilitate identification of gaps;

(c)   To facilitate assessment of the effectiveness of the implementation of the capacity-building framework;

(d)   To support the comprehensive review of the capacity-building framework.

12.   This document elaborates on possible methods for the collection, processing, compilation and dissemination of information to support the purposes of the monitoring as outlined in paragraph 11 above.

4. Selected examples of monitoring and evaluation of capacity-building by other agencies

13.   There are several examples of monitoring and evaluation of capacity-building, some of which were one-off exercises designed to produce an assessment of capacity to guide further efforts. The National Strategy Studies programme of the World Bank conducted an in-depth survey in 18 developing countries and countries with economies in transition on how each country was implementing the UNFCCC frameworks for capacity-building (annexed to decisions 2/CP.7 and 3/CP.7). The results of this survey were presented at a workshop titled "Capacity-building for the Kyoto Protocol" held in Sigriswil, Switzerland, in 2002.[2] The workshop report contains country reports based on surveys conducted in each country, and in some cases contains information on specific capacity-building activities

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[2] <http://lnweb18.worldbank.org/ESSD/envext.nsf/46ByDocName/CountrySurveyReports-NSSWorkshoponCapacityBuildingfortheKyotoProtocolSigriswillSwitzerlandSeptember2002PDF2299KB/$FILE/SigriswillWorkshopPart2CountryReports.pdf>.

and projects, as well as top priorities and major barriers. The questionnaire that was used in this study could be used again to assess progress in capacity-building since the first time it was used for the countries involved; it could also form a useful basis for future surveys. Other surveys have been conducted to assess capacity for CDM in different regions, and these could provide baseline information on capacity.

14.   The United Nations Environment Programme (UNEP) technology support (TS) and capacity-building (CB) database[3] was developed in response to the request by governments in the Bali Strategic Plan for Technology Support and Capacity-building (BSP) for UNEP to make available and easily accessible a comprehensive database of its activities in these areas.[4] The database contains searchable information on UNEP TS and CB projects at the global, regional and country levels.   The projects are grouped according to the cross-cutting and thematic areas listed in the BSP. Other features of the database include information on partner organizations of UNEP.

15.   The Biosafety Clearing-House (BCH) is an information exchange mechanism established by the Cartagena Protocol on Biosafety under the Convention on Biological Diversity. Capacity-building databases under the BCH provide information about existing biosafety capacity-building projects, opportunities and capacity needs in a structured manner.[5] This clearing-house facilitates the identification of the coverage, overlaps and gaps, as well as opportunities for synergies and collaboration between different initiatives. The system includes databases of: biosafety capacity-building projects; capacity-building opportunities; country needs and priorities; academically accredited biosafety courses; and outcomes and lessons learned.

5. Emerging issues on monitoring and evaluation of capacity-building

16.   On the basis of a number of studies by various institutions, monitoring and evaluation of capacity-building is increasingly seen as an important step to ensure the effectiveness and efficiency of efforts to assist developing countries to develop their capacity in different areas. Although many capacity-building activities are integrated into other projects, as in the case of full-scale projects funded by the GEF, there are increasing demands to provide explicit information on how capacity-building is addressed in these projects. The work by the GEF to develop performance indicators for capacity-building to be included in project evaluation and reporting is a direct response to the need for more explicit information on how capacity-building is being addressed.

17.   A study by the European Centre for Development Policy Management (ECDPM) defines capacity as "that emergent combination of attributes, capabilities and relationship that enables a system to exist, adapt and perform";[6] elsewhere, it is defined as "potential to perform".[7] While there are many examples of the monitoring and evaluation of capacity-building efforts, such as the ones in paragraphs 13 to 15 above, there are very few examples of the monitoring and evaluation of capacity itself. The same ECDPM study notes a dearth of empirical work on the process of capacity development, and that addressing this issue could lead to improved methods for monitoring and evaluating the performance of capacity and capacity-building.

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[3] <http://cbts.unep.org/index.html>.

[4] The Bali Strategic Plan for Technology Support and Capacity-building (BSP) was adopted by the UNEP Governing Council in February 2005. It is an intergovernmentally agreed approach for strengthening capacities of developing countries and countries with economies in transition to meet their priorities and obligations in achieving environmental sustainability. <http://cbts.unep.org/index.html>.

[5] <http://bch.biodiv.org/capacitybuilding/default.shtml>.

[6] Watson D. 2005. *Monitoring and evaluation of capacity and capacity development.* European Centre for Development Policy Management.

[7] Lavergne R. 2005. "Capacity development under programme-based approaches". Notes prepared for the Learning Network on Programme Approaches Forum <http://www.capacity.org/en/content/download/152/1594/file/Lavergne+SPECIAL+REPORT+PDF.pdf>.

18.   To inform the assessment of capacity gaps and evaluation of the impact of capacity-building programmes at national, institutional or organizational levels, agreement is needed on how to identify and measure capacity. Here, a distinction would need to be made between the monitoring and evaluation of capacity-building efforts and the monitoring and evaluation of capacity itself. Most monitoring efforts have so far concentrated on the processes through which capacity-building is addressed (inputs, outputs and number of interventions), since these are easier to quantify; but these metrics do not easily translate into capacity measures.

19.   For the climate change capacity-building framework, it will be necessary to develop a firm conceptual basis for capacity development in the relevant areas on which methods and new tools can be based.

B. Possible elements for designing a system for monitoring capacity-building

1. Points to consider

20.   The following points should be considered in designing the monitoring of capacity-building under the UNFCCC:

> (a)   The results of the monitoring should contribute directly to the agreed purposes;
>
> (b)   Monitoring should focus on results, outcomes and impacts, and not only on inputs and outputs;
>
> (c)   Monitoring should assist in highlighting priority needs that are obstacles to progress in key areas;
>
> (d)   Duplication of effort in reporting should be avoided or kept to a minimum by ensuring that existing reporting by Parties can be presented in such a way as to contribute directly to the monitoring of capacity-building;
>
> (e)   The design should build on, and be consistent with, existing or past efforts on monitoring capacity-building by other agencies;
>
> (f)   The format of submitted information should facilitate further processing and analysis;
>
> (g)   The GEF and its implementing agencies are currently monitoring and evaluating individual projects.

2. Aggregation of priority areas for capacity-building

21.   The capacity-building needs identified in the annex to decision 2/CP.7 are aggregated into eight areas and can be linked to the strategic areas of GEF support[8] for capacity development, as shown in the table. These eight broad areas could form the basis for the monitoring and for which specific targets could be defined, and expected results and outcomes measured. The proposed targets and expected results would then guide the choice of performance indicators and data to be collected to complete the monitoring. An indicative set of targets, performance indicators of progress, effectiveness and gaps, and sources of data are also given in the table.

22.   For each priority area in capacity-building, methodological approaches, expected outcomes and indicators could be grouped into the three levels of strategic support as defined by the United Nations

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[8] UNDP/GEF, Capacity Development Indicators, UNDP/GEF Resource Kit No. 4, November 2003, available at: <http://www.undp.org/gef/undp-gef_monitoring_evaluation/sub_undp-gef_monitoring_evaluation_documents/ CapDevIndicator%20Resource%20Kit_Nov03_Final.doc>.

Development Programme (UNDP)/GEF[8] – systemic, institutional or organizational, and individual. Under this format, the GEF and its implementing agencies may develop indicators that monitor the implementation of individual projects, and the COP in its monitoring of capacity-building could provide guidance on future steps based on results and impacts at the programme level.

3. Information collection

23.   The collection of information is guided by decision 2/CP.7, paragraph 9 (b), which requested the secretariat to collect, process, compile and disseminate information, in both printed and electronic formats, for the COP or its subsidiary bodies to be able to review the progress in the implementation of this framework for capacity-building. The major sources of information include: (a) national communications from developing country Parties relating to capacity-building activities; (b) national communications from Parties included in Annex II to the Convention on activities and programmes related to the implementation of this framework; and (c) reports from the GEF and other agencies.

24.   Additional sources of information for the monitoring were identified in decision 4/CP.12. These include NCSAs, NAPAs and technology needs assessments (TNAs).

25.   Parties were also invited to submit to the secretariat, on an annual basis, information on the activities that they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10.

26.   Additional information needs could be defined after a set of performance indicators has been established. Such data could include data on targets for capacity development under each of the main levels of analysis (systemic, institutional and individual), and these could be defined for each of the major areas of capacity-building as outlined in the table. These additional data could: (a) be communicated to the secretariat through the submissions by Parties separately (annually); (b) be included in any of the national reports that are submitted; or (c) constitute a reformatted part of the national reports that are submitted.

27.   Information in the submissions referred to in paragraph 25, as well as information contained in the communications and reports referred to in paragraphs 23 to 24 above, will be compiled by the secretariat, and entered into an information system developed to support the monitoring.

4. Processing, compilation and dissemination

28.   The information collected will be processed: to show progress made in capacity-building over time and in relation to targets to be set by Parties (such as through their NCSAs); to help identify remaining gaps; and to assess the effectiveness of capacity-building efforts. Specific indicators and benchmarks for capacity-building would be considered at the expert workshop on capacity-building monitoring and indicators planned for later in 2007.

29.   In order to disseminate results of the monitoring, a compilation and synthesis report on progress made to implement the capacity-building framework will be submitted to the COP at each of its sessions pursuant to decision 2/CP.7, paragraph 9 (c). Every effort will be made to avoid repetition from reports of previous years, while capturing progress made in ongoing efforts.

30.   The information will also be made available through the UNFCCC website, pursuant to decision 2/CP.7, paragraph 9 (b). Information will be organized according to the major areas given in the table, with sufficient flexibility to view results by country or other themes, or the flexibility to view basic data entries by activity or project.

31.   All information collected since the last comprehensive review of the capacity-building framework would be analysed to provide an assessment of capacity-building as an input to the comprehensive reviews that are planned every five years, pursuant to decision 2/CP.10.

C. Implementing the monitoring

1. Data sources available to support monitoring and evaluation

32.   Previous national communications, NCSAs, NAPAs and TNAs that have been submitted would be used as a source for the monitoring. In addition, the secretariat has several databases that could contribute to the monitoring of capacity-building and its impact. Information on country participation in the Convention processes can be derived from registrations for different events, and it would also be possible to assess the contributions of individuals and the impact they have made, through records of their participation in different capacities in groups and meetings. Information on the affiliation of participants is available and can be analysed to assess the involvement of different sectors and to show trends over time. The following secretariat databases can be "mined" to support monitoring and evaluation under the Convention:

(a)   The **GHG inventory database** contains greenhouse gas (GHG) emissions data submitted by Parties in accordance with Articles 4 and 12 of the Convention, through the national communications from Annex I and non-Annex I Parties, and through annual national GHG inventories for Annex I Parties.

(b)   The **local coping strategies database** facilitates the transfer of long-established coping strategies or mechanisms, knowledge and experience from communities that have had to adapt to specific hazards or climatic conditions to communities that may just be starting to experience such conditions as a result of climate change. It contains specific adaptation actions and associated case studies indexed by climate hazard, impact and coping strategy. Additional information on the case studies includes a short summary on the coping practice, details of resource requirements, non-climate benefits and potential maladaptation, and contact information and links to relevant files and websites.

(c)   The secretariat's **roster of experts** contains information on experts in the areas of greenhouse gas inventory issues, in-depth reviews of national communications from Annex I Parties, and technology transfer. These experts are nominated by their Party's national focal point.

(d)   The **Climate Change Information Network (CC:iNet)** was established at the request of Parties. Its aim is to support the implementation of Article 6 of the Convention, which calls on governments to promote education and training on, and public awareness of, climate change. It is designed to help governments, organizations and individuals gain rapid and easy access to ideas, strategies, contacts, experts and materials that can be used to strengthen national capacity-building efforts, in particular human and institutional capacities.

(e)   The **UNFCCC technology information clearing house (TT:CLEAR)** is a web-based technology information clearing house that enables users to find information on technology transfer projects and programmes; case studies of successful technology transfer, environmentally sound technologies and know-how; organizations and experts; methods, models and tools to assess mitigation and adaptation options and strategies; relevant Internet sites for technology transfer; information about ongoing work of the Parties and the Expert Group on Technology Transfer, for example, issues under negotiation, documents and meetings; and information about the implementation of the technology transfer framework.

33.   In addition to the systems described above, the secretariat maintains a set of databases that are used to support its operational activities – to track the participation of delegates and observers at its workshops and conferences; to catalogue official documents, library collections and webcast recordings;

to operate its website; and to track the submission status of national reports (GHG inventories, national communications and NAPAs). Information in these databases could be used to assess progress towards effective implementation of the capacity-building framework.

2. Submissions by Parties

34.   To assist Parties in making their submissions on an annual basis pursuant to decision 4/CP.12, paragraph 1 (a), it is suggested that a survey instrument be developed and made available to Parties via the secretariat website. The secretariat proposes that submissions from Parties be compiled for the consideration of the SBI during the second sessional period. The August deadline for submissions from Parties for items to be considered during the second sessional period would thus apply.

D. Additional requirements for monitoring under the Kyoto Protocol

1. Data inputs

35.   By its decision 6/CMP.2, the CMP requested the secretariat to include information on activities of the Executive Board of the clean development mechanism (CDM Executive Board) relating to regional distribution of CDM project activities and related capacity-building in the monitoring.

36.   In addition to information that will be collected as referred to paragraph 32 above, the following secretariat databases could be mined to support the monitoring under the Kyoto Protocol:

(a)   The **CDM information system** is a custom-made system which provides for sophisticated electronic workflows relating to the project cycle and procedures of CDM projects. The system stores all documentation relating to the CDM and displays information to users, including the public, according to their role. It also contains information on CDM experts, selected panel members, designated national authorities and designated operational entities, methodologies, project activities and other relevant data.

(b)   The **CDM Registry**, established and maintained by the secretariat under the authority of the CDM Executive Board, issues and distributes certified emission reductions (CERs), upon instruction by the Board, and contains accounts for project participants.

(c)   The **International Transaction Log**, established and maintained by the secretariat, will verify transactions of assigned amount units, removal units, emission reduction units, CERs, temporary CERs and long-term CERs as they are proposed, including their issuance, transfer and acquisition between registries, cancellation, retirement and carry-over to any subsequent commitment period.

2. Submissions by Parties

37.   To assist Parties in making their submissions on an annual basis pursuant to decision 6/CMP.2, paragraph 1 (a), it is suggested that a survey be developed and made available to Parties via the secretariat website. The secretariat proposes that submissions from Parties be compiled for the consideration of the SBI during the second sessional period. The August deadline for submissions from Parties for items to be considered during the second sessional period would thus apply.

3. Submissions by other organizations

38.   By its decision 6/CMP.2, the CMP decided that relevant multilateral and bilateral agencies and the private sector are to be invited to provide reports on their support of the implementation of the framework undertaken pursuant to decision 29/CMP.1, in accordance with national priorities and with the

knowledge of relevant national authorities. Submissions from these groups will be considered in accordance with existing practice.

III. Issues for further consideration

1. Possible format for submissions from Parties

39.   Parties are invited to submit information on the activities that they have undertaken pursuant to the capacity-building framework in decisions 2/CP.7 and 2/CP.10.[9] Given the diversity of information that can be submitted by Parties on ways in which they are addressing the capacity-building decisions, it would be beneficial to develop a list of guiding questions or a survey to assist Parties in their submissions. Such a survey or list of questions should be consistent with past efforts to assess capacity-building by other organizations.

2. Possible format for annual report to the Conference of the Parties

40.   The annual report by the secretariat to the COP on results of the monitoring of how Parties are addressing capacity-building decisions would contain the latest information collected through submissions and from recently submitted national communications and reports. Some guidance may be needed on how to report on ongoing activities, such as whether to report activities only upon completion, or whether previous entries can be updated as a project or a programme is implemented to show progress made.

41.   To store and process information provided by Parties, an online information system could be developed and Parties given access to enter and update information. Annual reports to the COP could include a synthesis of information contained in the system arranged according to the capacity-building priority areas as given in the table, with flexibility to include other relevant information as submitted by Parties.

3. Topics for consideration at the expert workshop on monitoring and indicators

42.   In accordance with decision 4/CP.12, paragraph 2, the COP requested the secretariat to organize an expert workshop in collaboration with the GEF, and subject to the availability of resources. Topics to be discussed at the workshop could include the following:

(a)   A study of the processes of developing capacity, including targets and possible benchmarks, in the main priority areas as given in the table, to determine intermediate steps that can be monitored easily and to help promote identification of best practices and effective capacity-building solutions;

(b)   Refinement of the performance measures and indicators given in the table, to take into account insights from discussions at the workshop;

(c)   Definition of a monitoring and evaluation tool for capacity-building that could be used to track efforts at the national level, and that could include methods for managing records at the national level to facilitate the monitoring and assessment of capacity-building;

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[9] Decision 4/CP.12.

(d)   Methods to test the monitoring and evaluation in one of the priority areas given in the table such as for the CDM, in relation to the Nairobi framework for capacity-building for the CDM for Africa.[10]

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[10] The Nairobi framework for capacity-building for the CDM for Africa was announced by the Secretary-General of the United Nations in his speech at the opening of COP 12 in Nairobi.

Table. Priority areas of capacity-building, indicative targets and performance measures for common expected outcomes

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
1. Participation in the Convention and its provisions and implementation at the national level	(a) Individual	• Training in negotiating skills • Training in decision making • Access to information for policymakers	• Capacity to mobilize information and knowledge • Capacity to evaluate and report	• Critical mass of negotiators for each topic • Diverse sectors represented in climate change programmes and activities	• Numbers of negotiators by theme, country and over time (P, G) • Participation of individual negotiators and country teams in different processes (E) • Conference attendance by country and sector of origin (P)	• Attendance at conferences based on secretariat registrations database • Attendance and participation in meetings, workshops and expert groups from secretariat records
	(b) Institutional	• Establishment and strengthening of national climate change secretariats or national focal points • Supporting decision-making	• Capacity to monitor, evaluate, report and learn • Capacity to mobilize information and knowledge • Capacity to implement policies, legislation, strategies and programmes • Capacity to engage and build consensus among all stakeholders	• National focal point and national climate change secretariat operational within one year of ratification • National information system in place	• National focal point appointment and establishment of national climate change secretariat (P, G) • Participation of national focal point in interactions with the secretariat (E) • Number of policies and legislations reviewed or created (P, E)	• Dates of establishment and contact information from secretariat country database • Records of submissions from Parties and regional groups • Submissions from Parties and surveys
	(c) Systemic	• Public awareness • Creation and enhancement of an enabling environment • Design and implementation of national climate change programmes	• Capacity to engage and build consensus among all stakeholders • Capacity to conceptualize and formulate policies, legislation, strategies and programmes	• Change in public perception and attitude • Identified barriers and obstacles removed • National outreach strategy created and implemented in x years	• Attitude and perceptions (P, E, G) • Outputs from public awareness and outreach efforts (P)	• Submissions from Parties and surveys

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
				• National climate change action plans designed in x years after ratification of the Convention		
2. Assessment for implementation of mitigation options	(a) Individual	• Education and training in mitigation science including in greenhouse gas (GHG) inventories • Education and training in economic analysis and planning	• Capacity to monitor, evaluate, report and learn • Capacity to mobilize information and knowledge	• Critical number of national experts trained in GHG inventories involved in national communications • Critical number of economic analysts trained	• Number of trained and certified experts (P, G) • Number of national experts in the UNFCCC roster of experts (P)	• Submissions from Parties and surveys • UNFCCC roster of experts
	(b) Institutional	• Emissions database management • Decision-making support	• Capacity to mobilize information and knowledge • Capacity to engage and build consensus among all stakeholders • Capacity to implement policies, legislation, strategies and programmes	• Operational emissions database as part of national communication preparation • Provision of advice to government	• Presence of database (P) • Number of testimonials (P)	• Submissions from Parties and surveys
	(c) Systemic	• Public awareness and public participation • Creation and enhancement of an enabling environment	• Capacity to conceptualize and formulate policies, legislation, strategies and programmes • Capacity to engage and build consensus among all stakeholders	• Participatory decision-making • Policies and legislation to address obstacles	• Role of public in decision-making (P, E) • Number of new or revised policies (P)	• Submissions from Parties and surveys

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
3. Participation in the clean development mechanism (CDM)	(a) Individual	• Technical training in project development • Education and training in sectoral studies	• Capacity to develop and register CDM projects in applicable sectors • Capacity to mobilize information and knowledge • Capacity to monitor, evaluate and report	• Critical number of national experts in CDM for applicable sectors	• Number of national experts (P, G) • Participation in CDM Executive Board (EB) panels and meetings (P, E, G)	• Submissions from Parties and surveys • Registrations and records of panel membership by the secretariat
	(b) Institutional	• Establishment and implementation of a designated national authority for CDM • Development, management and implementation of CDM projects	• Capacity to mobilize information and knowledge • Capacity to process CDM projects • Capacity to engage all relevant stakeholders	• CDM designated national authority (DNA) established within two years of ratification of the Kyoto Protocol • DNA operational within one year of establishment • CDM projects processed according to schedule	• Number of DNAs established (P) • Number operational and processing projects (P, E) • Processing times (E)	• Submissions from Parties and surveys • CDM EB information systems
	(c) Systemic	• Public awareness especially in the private sector • Creation and enhancement of an enabling environment including policy reform, creation of legal frameworks and investment climate for CDM • Carbon markets – emissions trading	• Capacity to formulate CDM projects • Capacity to conceptualize and formulate policies, legislation, strategies and programmes supporting CDM • Capacity to mobilize and participate in carbon markets • Capacity to mobilize information and knowledge	• Barriers and obstacles removed • x number of CDM projects formulated per country	• Number of barriers and obstacles addressed (P) • Number of methodologies and projects submitted for approval and registration to the CDM EB (P, E)	• Submissions from Parties and surveys • CDM EB information systems

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
4. Assessment of impacts, vulnerability and adaptation	(a) Individual	• Education and training in climate change sciences and methods • Technical training in vulnerability and adaptation (V&A) • Access to data, information and tools for V&A	• Capacity to mobilize information and knowledge • Capacity to monitor, evaluate, assess and report impacts options	• National capacity to conduct V&A assessment for national communications and national adaptation programmes of action (NAPAs) • On-going capacity development through formal education	• Number of V&A trained and certified experts in (P)	• Submissions from Parties and surveys • Nature of participation in V&A training, including for NAPA preparation, based on meeting attendance and participation data maintained by the secretariat
	(b) Institutional	• Research and systematic observation • Information and networking including establishment of databases • Access to data, information and tools for V&A • Submission of national reports	• Capacity to mobilize information and knowledge to support assessments and implementation of adaptation actions • Capacity to engage and build consensus among all stakeholders in assessments (e.g. national communications and NAPAs) • Capacity to identify and address barriers • Capacity to maintain data, information and knowledge between assessments and reporting periods • Capacity to produce national reports	• Operational national observation network • National data/information centres set up for national communications and/or NAPAs within one year of project support (P) • National reports submitted on time	• Percentage of national network capacity maintained (P, E, G) • Number of national or regional data centres (P) • Length of preparation phases for national reports (number of weeks or years for critical milestones) (P, E)	• Submissions from Parties and surveys • Information on dates for critical milestones in enabling activity projects based on reports from the Global Environment Facility (GEF) • Records on dates of submission of reports by Parties

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
5. Implementation of adaptation	(a) Individual	• Education and training in project management and implementation	• Capacity to mobilize information and knowledge • Capacity to monitor, evaluate, report and learn	• Critical number of trained experts	• Number of trained and certified experts in relevant adaptation project disciplines (P)	• Submissions from Parties and surveys
	(b) Institutional	• Access to funding • Project development, management and implementation • Priority setting for urgent and immediate adaptation needs • Integration of climate change risks in national planning and programmes	• Capacity to mobilize funding • Capacity to access adequate and predictable funding • Capacity to implement projects and absorb available resources • Capacity to address urgent priorities and immediate needs • Capacity to implement policies, legislation, strategies and programmes that integrate climate change • Capacity to engage and build consensus among all stakeholders in priority setting • Capacity to mobilize information and knowledge on climate change risk	• No obstacles to accessing existing funds (smooth access to funds) • Timely completion of V&A in national assessments including for national communications and NAPAs • Number of national reports and sectors that integrate climate change concerns	• Feedback on project development and implementation (P, E, G) • Number of reports	• Submissions from Parties and surveys • Information on project approval and disbursement of funds based on GEF reports

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
	(c) Systemic	• Public awareness and public participation • Creation and enhancement of an enabling environment • Support decision-making for adaptation planning	• Capacity to conceptualize and formulate policies, legislation, strategies and programmes • Capacity to mobilize information and knowledge on climate change to guide decision-making and lifestyle changes	• Public initiative in addressing climate change risks (bottom-up approaches) • Climate change mainstreamed in national planning	• Feedback	• Submissions from Parties and surveys
6. Mainstreaming climate change in planning	(a) Individual	• Education and training in planning and analytical skills	• Capacity to mobilize information and knowledge • Capacity to monitor, evaluate, report and learn	• Number of trained and certified national experts	• Number of experts (P)	• Submissions from Parties and surveys
	(b) Institutional	• Development and application of decision support tools	• Capacity to engage and build consensus among all stakeholders and sectors • Capacity to integrate climate change risk in project management	• Active integration of climate change in planning	• Examples of integration of climate change in planning (P)	• Submissions from Parties and surveys
	(c) Systemic	• Creation and enhancement of an enabling environment	• Capacity to conceptualize and formulate policies, legislation, strategies and programmes • Capacity to implement policies, legislation, strategies and programmes that mainstream climate change	• Routine consideration of climate change risks • Identified barriers and obstacles removed	• Examples of integration of climate change in planning (P) • Reports of barrier removal and improved outcomes as appropriate (P, E)	• Submissions from Parties and surveys

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
7. Research and systematic observation	(a) Individual	• Education and training • Funding for research	• Capacity to conduct research and systematic observations • Capacity to analyse, assess and report on climate change impacts, and vulnerabilities	• Active climate change research projects and programmes • Increased funding for climate research in developing countries	• Publications by developing country experts • Participation in scientific assessments (e.g. the Intergovernmental Panel on Climate Change) (P, E)	• Submissions from Parties and surveys • Literature surveys and author lists for assessment reports
	(b) Institutional	• Conduct of systematic observations including meteorological, hydrological and climatological services • Utilization of regional and international systematic observations	• Capacity to support systematic observations • Capacity to support research • Capacity to access and utilize data from multiple sources to support local/national decision-making	• Active systematic observations • Increased funding for observational networks • Utilization of available (international) data sources	• Funding for systematic observations at the international and national level (P) • National and external research funding flows (P) • Sources of information for decision support (P, E)	• Submissions from Parties and surveys
8. Public awareness	(a) Individual	• Training in communication on environmental issues • Access to information	• Capacity to mobilize information and knowledge	• National focal points on Article 6 issues • Critical number of trained experts • National focal points on Article 6 issues and national climate change awareness programmes in place	• Number of trained and certified experts (P, G)	• Submissions from Parties and surveys • CC:iNet database • Dates of establishment and contact information from secretariat country database • Submissions from Parties and surveys

Table (continued)

Priority area for capacity-building	Strategic areas of support	Methodological approaches	Outcomes or expected results	Targets	Performance indicators (Progress - P, Effectiveness - E, Gaps - G)	Metrics for indicators and sources of data
	(b) Institutional	• Establishment of a national climate awareness programme	• Capacity to design and implement national strategies and programmes • Capacity to engage all stakeholders and sectors • Capacity to assess needs	• National focal points on Article 6 issues and national climate change awareness programmes in place	• Establishment of national focal points on Article 6 issues (P) • Establishment of national climate awareness programmes (P) • Participation of national focal points in interactions with the secretariat (E) • Number of policies and legislations reviewed or created (P, E)	• Dates of establishment and contact information from secretariat country database • Submissions by Parties and surveys
	(c) Systemic	• Creation and enhancement of an enabling environment	• Capacity to conceptualize and formulate policies, legislation, strategies and programmes in support of environmental issues • Capacity to mobilize information and knowledge on climate change to guide decision-making and lifestyle changes	• Policies and legislation to address obstacles	• Rank of climate change issues in the national political agendas (E)	• Submissions from Parties and surveys