



United Nations

FCCC/SBI/2017/2



Framework Convention on
Climate Change

Distr.: General
3 March 2017

Original: English

Subsidiary Body for Implementation

Forty-sixth session

Bonn, 8–18 May 2017

Item 12(a) and (b) of the provisional agenda

Matters relating to capacity-building

Capacity-building under the Convention

Capacity-building under the Kyoto Protocol

Capacity-building work of bodies established under the Convention and its Kyoto Protocol

Compilation and synthesis report by the secretariat


Summary

This report was prepared to inform discussions taking place at the 6th meeting of the Durban Forum for in-depth discussion on capacity-building and the 1st meeting of the Paris Committee on Capacity-building. The report compiles and synthesizes information on capacity-building contained in reports published by relevant bodies established under the Convention and its Kyoto Protocol and by the operating entities of the Financial Mechanism and the Adaptation Fund Board from 20 May 2016 (5th meeting of the Durban Forum) to 31 December 2016.

GE.17-03562(E)



* 1 7 0 3 5 6 2 *

Please recycle 



Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction	1–4	3
A. Mandate	1–2	3
B. Scope of the report.....	3–4	3
II. Capacity-building elements in the work of bodies established under the Convention	5–29	4
A. Capacity-building elements in the work of the Consultative Group of Experts	5–7	4
B. Capacity-building elements in the work of the Least Developed Countries Expert Group	8–11	4
C. Capacity-building elements in the work of the Adaptation Committee	12–15	5
D. Capacity-building elements in the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts	16–18	6
E. Capacity-building elements in the work of the Technology Executive Committee and the Climate Technology Centre and Network	19–26	6
F. Capacity-building elements in the work of the Standing Committee on Finance.....	27–29	7
III. Capacity-building elements in the work of bodies established under the Kyoto Protocol: elements in the work of the Executive Board of the clean development mechanism	30–33	8
IV. Capacity-building elements in the reports of the operating entities of the Financial Mechanism and of the Adaptation Fund Board	34–50	8
A. Capacity-building elements in the report of the Green Climate Fund	34–38	8
B. Capacity-building elements in the report of the Global Environment Facility	39–46	9
C. Capacity-building elements in the report of the Adaptation Fund Board	47–50	11

I. Introduction

A. Mandate

1. The Conference of the Parties (COP) requested the secretariat to compile and synthesize the reports prepared by the relevant bodies established under the Convention since the most recent meeting of the Durban Forum and to make the resulting report available to the Subsidiary Body for Implementation (SBI) at its sessions coinciding with the meetings of the Durban Forum to facilitate the discussions of the Durban Forum.¹

2. The COP decided to include the compilation and synthesis report on capacity-building work of bodies established under the Convention and its Kyoto Protocol as one of the inputs to the Paris Committee on Capacity-building.²

B. Scope of the report

3. This report synthesizes information relevant to capacity-building contained in the following reports prepared from 20 May 2016 (5th meeting of the Durban Forum) to 31 December 2016:

(a) Progress report on the work of the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE);³

(b) Report on regional training workshops on the preparation of biennial update reports (BURs) from Parties not included in Annex I to the Convention (non-Annex I Parties);⁴

(c) Reports on the 29th and 30th meetings of the Least Developed Countries Expert Group (LEG);⁵

(d) Report of the Adaptation Committee (AC);⁶

(e) Report of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts;⁷

(f) Joint annual report of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) for 2016;⁸

(g) Report of the Standing Committee on Finance (SCF) to the COP;⁹

(h) Annual report of the Executive Board of the clean development mechanism (CDM Executive Board) to the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP);¹⁰

(i) Report of the Green Climate Fund (GCF) to the COP;¹¹

¹ Decisions 2/CP.17, paragraph 146, and 1/CP.18, paragraph 78.

² Decision 1/CP.21, paragraph 79.

³ FCCC/SBI/2016/16.

⁴ FCCC/SBI/2016/15.

⁵ FCCC/SBI/2016/7 and FCCC/SBI/2016/18 respectively.

⁶ FCCC/SB/2016/2.

⁷ FCCC/SB/2016/3 and Add.1–3.

⁸ FCCC/SB/2016/1.

⁹ FCCC/CP/2016/8.

¹⁰ FCCC/KP/CMP/2016/4.

¹¹ FCCC/CP/2016/7/Rev.1 and Add.1.

- (j) Report of the Global Environment Facility (GEF) to the COP;¹²
- (k) Report of the Adaptation Fund Board (AFB) to the CMP.¹³

4. A compilation of specific capacity-building activities undertaken by bodies established under the Convention and its Kyoto Protocol is provided in the addendum¹⁴ to this report.

II. Capacity-building elements in the work of bodies established under the Convention

A. Capacity-building elements in the work of the Consultative Group of Experts

5. During the reporting period, the CGE, in line with its mandate, engaged in several capacity-building activities aimed at improving the process and preparation of national communications (NCs) and BURs by non-Annex I Parties, providing technical advice and support to such Parties and building the capacity of technical experts nominated to the UNFCCC roster of experts for the technical analysis of BURs under the international consultation and analysis process.

6. In particular, as part of its workplan for 2016, the CGE developed, updated and launched a wide range of training materials and activities that targeted specific expert groups. In particular, in-person hands-on training allowed participants to engage in exercises and examine case studies, as well to gain knowledge of software to enable reporting activities. In the case of remote training, participants had the chance to enhance their knowledge and engage with experts in specific thematic areas.

7. The CGE actively participated in activities undertaken by other constituted bodies or in meetings and initiatives related to building the capacities of non-Annex I Parties, with a view to creating linkages and exploring synergies and opportunities for collaboration. Examples of collaboration include a presentation by the CGE Chair on web-based tools and learning products in various languages related to preparing NCs and BURs at the 5th meeting of the Durban Forum, active participation in the workshop on health and adaptation organized by the Nairobi work programme on impacts, vulnerability and adaptation to climate change, and a webinar with the participation of the AC.

B. Capacity-building elements in the work of the Least Developed Countries Expert Group

8. In 2016, the LEG undertook extensive work on a wide array of capacity-building related areas in support of the least developed countries (LDCs) emerging from the new mandate of the LEG, extended at COP 21 for a period of five years (2016–2020).

9. The new mandate encompasses a number of additional capacity-building related activities with respect to the previous one, including the provision of technical guidance and advice on needs related to adaptation that may arise from the Paris Agreement and the decisions adopted at COP 21.¹⁵ In this context, the LEG considered preparing and providing

¹² FCCC/CP/2015/4 and Add.1 and FCCC/CP/2016/6 and Add.1 and 2. Reported activities were undertaken during the fiscal year 2016 (1 July 2015 to 30 June 2016).

¹³ FCCC/KP/CMP/2016/2.

¹⁴ FCCC/SBI/2017/2/Add.1.

¹⁵ Decision 19/CP.21, paragraph 2(d).

technical guidance, advice and support on various aspects related to the process of formulating and implementing national adaptation plans (NAPs). It also considered preparing and providing technical guidance to formulate robust and good-quality NAPs and implementing priority adaptation needs identified therein with funding from the GCF and other sources.

10. Besides the organization of events, including the NAP Expo 2016,¹⁶ the LEG engaged in the production of several publications meant to support the LDCs in addressing planning, implementation, and monitoring and evaluation issues in the context of NAPs and adaptation in general.

11. Capacity-building related activities were undertaken also in collaboration with other bodies and initiatives under the Convention, entailing common training activities and co-organization of technical sessions, and with regional centres and networks as part of the provision of technical guidance and advice on regional approaches in adaptation planning and implementation.

C. Capacity-building elements in the work of the Adaptation Committee

12. During the reporting period, the AC undertook capacity-building activities within all major areas included in its workplan: overarching coherence, technical support and guidance to Parties on adaptation action and on means of implementation, awareness-raising, outreach and sharing of information, and the technical examination process on adaptation.

13. Following new mandates emerging from the Paris Agreement, the AC, together with the LEG and the SCF, engaged in the development of methodologies to create an enabling environment to facilitate the mobilization of support for adaptation in developing countries. The AC also considered methodologies for assessing adaptation needs and agreed to take the next steps for the development of recommendations in 2017. In the context of its ongoing work on monitoring and evaluation, the AC decided to develop an inventory of existing platforms fostering knowledge exchange on adaptation monitoring and evaluation, which will be made available in the second half of 2017.

14. Throughout 2016, the AC, alone or in collaboration with the LEG and the GCF, was engaged in activities regarding the provision of guidance on ways to enhance institutional arrangements and enabling environments for the process to formulate and implement NAPs, including on accessing the GCF Readiness and Preparatory Support Programme in supporting adaptation and the NAP process. It also agreed on its next steps in identifying and collecting lessons learned and good practices from national implementing entities (NIEs) of funds, programmes/entities and initiatives in relation to the necessary enabling environments, institutional arrangements and governance for adaptation.

15. Furthermore, the AC promoted awareness-raising activities and developed outreach materials such as video documentaries, thematic reports and information products available online. Information products of the AC are also disseminated on the dedicated Adaptation Exchange Facebook page, which at the date of writing had 12,160 followers.

¹⁶ See <http://unfccc.int/9547> and <http://napexpo.org/2016>.

D. Capacity-building elements in the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts

16. During the reporting period, the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts continued making progress on work related to capacity-building through the implementation of its initial two-year workplan.

17. The Executive Committee engaged in a wide array of capacity-building activities, including the provision of technical support and guidance, the preparation and dissemination of knowledge products and the organization of awareness-raising events. The topics considered ranged from comprehensive risk management and transformation approaches to slow onset events and their impacts, non-economic losses, and migration, displacement and human mobility.

18. Particular attention was given to enhancing information on best practices, challenges and lessons learned, including those related to financial tools and instruments that address the risks of loss and damage, the focus area of the 2016 forum of the SCF.

E. Capacity-building elements in the work of the Technology Executive Committee and the Climate Technology Centre and Network

19. The TEC and the CTCN worked closely together in 2016 in order to carry out their mandated tasks. The collaboration between the TEC and the CTCN encompassed various areas, including: the technical examination processes on mitigation and adaptation, by providing inputs to facilitate the implementation of policies, practices and actions; climate technology research, development and demonstration; South–South and triangular cooperation for technologies for adaptation; and the improvement of the technology needs assessment process, with a view to facilitating the implementation of technology action plans.

1. Technology Executive Committee

20. In line with decision 1/CP.21, the TEC recognized that the issue of the development and enhancement of endogenous capacities and technologies cuts across all its areas of work. Two workstreams out of three within the rolling workplan of the TEC for 2016–2018 target capacity-building related objectives: the provision of policy recommendations on technology issues; and the facilitation and promotion of technology cooperation and partnership to scale up implementation.

21. The TEC was open to opportunities for collaboration with other constituted bodies and initiatives under the Convention. An example is its participation in an in-session workshop on long-term climate finance at SBI 44, where it provided inputs on the assessment and communication of technology needs and how to move from a needs assessment to implementation, and on lessons learned from its work on facilitating access to climate technology finance.

22. In 2016, the TEC agreed on a communications and outreach strategy to better inform key stakeholders through various written, oral and electronic means, and enhanced its use of social media, promoting its events and outputs on Facebook and Twitter using the hashtag #climatetech.

2. Climate Technology Centre and Network

23. In 2016, the CTCN, as the implementation arm of the Technology Mechanism, enhanced its provision of support to developing countries for their implementation of climate technologies in line with its three core functions:

- (a) Responding to requests from developing countries;
- (b) Fostering collaboration and access to information;
- (c) Strengthening networks, partnerships and capacity-building.

24. The CTCN primarily undertook capacity-building activities in its work under its third function at the global, regional and national levels. At the global level, the CTCN held a series of webinars and ran a secondment programme to enhance the secondees' understanding of climate technology implementation and knowledge transfer. At the regional level, the CTCN held regional forums for national designated entities (NDEs) and private sector stakeholder forums.

25. At the national level, in line with its first core function, the CTCN ran an incubator programme for the LDCs and undertook capacity-building activities as part of its provision of technical assistance to developing countries that submit requests through their NDEs.¹⁷ As at September 2016, the CTCN had engaged with 67 non-Annex I Parties regarding 147 requests and response plans.

26. In terms of fostering collaboration and access to information, its second core function, the CTCN provided support to developing country NDEs, broader government decision makers and other climate technology practitioners through its knowledge management system. The CTCN is making available online a wealth of existing information provided by its consortium partners and by network members, with its website averaging over 19,000 visits per month. In order to further develop its 'technology library', the CTCN is planning to link technology information to CTCN work areas such as technical assistance, networking, capacity-building, and regional and sectoral web pages.

F. Capacity-building elements in the work of the Standing Committee on Finance

27. The SCF addressed a range of capacity-building related issues, mainly in the context of the 2016 biennial assessment and overview of climate finance flows and the 2016 forum of the SCF on the topic of financial instruments that address the risks of loss and damage associated with the adverse effects of climate change, and provided relevant recommendations to the COP on both initiatives.

28. The 2016 biennial assessment recognized the critical role of the ownership of climate finance and of the alignment of climate finance with national climate change priorities and emerging policies and strategies, as well as of the engagement of key stakeholders, particularly of ministries of finance and planning, of civil society and of the private sector. The assessment of climate finance flows revealed several challenges linked to accessing climate finance, including: low levels of technical capacity to design and develop projects/programmes, to structure and attract a range of sources of finance and to monitor and evaluate progress; and limited knowledge on available funding sources.

29. The 2016 forum of the SCF provided comprehensive insights into financial instruments that address the risks of loss and damage through the discussion of opportunities, challenges, limitations and gaps.

¹⁷ See <http://unfccc.int/ttclear/support/national-designated-entity.html>.

III. Capacity-building elements in the work of bodies established under the Kyoto Protocol: elements in the work of the Executive Board of the clean development mechanism

30. The CDM Executive Board continued to provide support to designated national authorities (DNAs), including on monitoring sustainable development benefits and on the development of guidelines for local stakeholder consultations.

31. Support to DNAs was also provided through CDM regional collaboration centres (RCCs) established to work in partnership with local and regional agencies and multilateral development banks to improve the regional and subregional distribution of CDM projects. The work of RCCs included: providing direct assistance to existing projects and identifying new projects; promoting the use of the CDM; and providing support for the identification and development of new bottom-up and top-down standardized baselines as well as the renewal of standardized baselines. Besides organizing regional training events, RCCs provided assistance for the establishment of a DNA office in South Sudan and one in Seychelles.

32. The work of RCCs during the reporting period was aligned with the outcomes of an independent evaluation conducted in 2015. The evaluation, apart from highlighting the achievements of RCCs in their provision of support to CDM stakeholders, also identified areas for improvement, in particular with reference to the prioritization of countries supported, and communication and outreach. In response, the work of RCCs was reprioritized to further improve the regional and subregional distribution of CDM projects and focus on the LDCs and underrepresented countries. In terms of communication and outreach, several initiatives were undertaken, including enhancing the content of RCC web pages, boosting stakeholder access to e-newsletters, using social media to publicize events and promoting the dissemination of web-published content.

33. The CDM Executive Board approved activities to expand the scope and scale of capacity-building support provided by RCCs to developing countries regarding CDM methodologies, areas within the framework of the Convention and specifically the Paris Agreement that have a bearing on the CDM, technical support for the local stakeholder consultation process, and using projects for voluntary climate neutrality under the Climate Neutral Now Initiative and the CDM as part of development and climate finance.

IV. Capacity-building elements in the reports of the operating entities of the Financial Mechanism and of the Adaptation Fund Board

A. Capacity-building elements in the report of the Green Climate Fund

34. GCF engagement in capacity-building activities undertaken in 2016 is mainly encompassed in the Readiness and Preparatory Support Programme, a funding programme established to enhance country ownership and access to the GCF. The programme provides resources for strengthening the institutional capacities of national designated authorities (NDAs), focal points and direct access entities to efficiently engage with the GCF or to apply for technical assistance. All developing countries can access the programme and the GCF aims for a floor of 50 per cent of the readiness support to be allocated to particularly vulnerable countries, the LDCs, small island developing States (SIDS) and African States.

35. To date, the GCF has approved USD 16 million in readiness and preparatory support to 57 countries. Out of those 57 countries, 37 countries are SIDS, LDCs or African States and 23 countries have their readiness support under implementation, with a total value of USD 3.8 million. Legal arrangements have been completed with 28 countries, including the signing of three framework agreements with the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH.

36. Specific activity areas have been opened under the Readiness and Preparatory Support Programme, including the following:

(a) The formulation of NAPs and other national planning processes, with resources of up to USD 3 million per country. As at 30 September 2016, two draft proposals for the formulation of NAPs had been submitted and processed by the GCF secretariat: (1) a proposal from UNEP to support the NAP of Nepal; and (2) a proposal from UNDP to support the NAP of Liberia; while 12 countries are currently working with accredited entities and delivery partners to develop their NAP readiness proposals;

(b) The development of national REDD-plus¹⁸ strategies or action plans and investment plans, and support for their implementation.

37. The GCF Board will also consider, at its 16th meeting, guidance to support efforts of NDAs and focal points in engaging with the GCF in the early phases of REDD-plus using existing GCF modalities, tools and programmes. In addition, the GCF Board acknowledged that current GCF modalities enable support for technology development and transfer, including for facilitating access to environmentally sound technologies and for collaborative research and development.

38. In December 2016, the GCF released “Accessing the GCF Readiness and Preparatory Support Programme”, a guidebook prepared to assist NDAs and focal points in the completion of the readiness and preparatory support proposal template and to provide them with information on how to access funding under the programme.

B. Capacity-building elements in the report of the Global Environment Facility

39. Capacity-building is a key theme of GEF projects and is embedded in the design of both mitigation and adaptation projects. In particular, capacity-building for enabling activities and fulfilment obligations under the Convention is identified as a distinct objective of a large number of projects.

40. In response to requests of the COP, the GEF secretariat has undertaken a significant amount of capacity-building in a variety of areas, including those highlighted below.

1. Capacity-building Initiative for Transparency

41. In response to a request of the COP,¹⁹ the GEF secretariat took a number of steps towards establishing a Capacity-building Initiative for Transparency (CBIT), resulting in the approval by the GEF Council of the arrangements for the establishment of a new CBIT

¹⁸ In decision 1/CP.16, paragraph 70, the COP encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks.

¹⁹ Decision 1/CP.21, paragraph 84.

Trust Fund along with the programming and implementation modalities for CBIT in June 2016.

2. National communications, biennial update reports and nationally determined contributions

42. The Global Support Programme for Preparation of National Communications and Biennial Update Reports by non-Annex I Parties, implemented jointly by UNDP and UNEP, now features a new component to provide technical backstopping, capacity-building, information-sharing and knowledge management activities to countries in preparing their intended nationally determined contributions (INDCs), as well as tools and methodologies to enhance the quality of the INDCs. Furthermore, the GEF worked with national governments to align national GEF programming with INDC priorities through national dialogues, bilateral discussions and expanded constituency workshops, as well as through project reviews. In the reporting period, the GEF secretariat participated in outreach and capacity-building events so as to disseminate information on accessing funds for BURs. The GEF continues to provide full-cost funding for NCs and all requests to support NCs have been met. The GEF has set aside resources, separate from the country resource allocations (System for Transparent Allocation of Resources) so that each country can access up to USD 500,000 for NCs. The GEF secretariat continues to coordinate closely with GEF agencies on the preparation and submission of project proposals for BURs.

3. Poznan strategic programme on technology transfer

43. The GEF secretariat organized a session at the 11th meeting of the TEC together with technology transfer and finance centres on sharing the experience and lessons learned in relation to the Poznan strategic programme on technology transfer of the national executing organizations of pilot projects and the implementing agency of the public-private partnership project. The GEF secretariat also continues to support dialogue and coordination among the CTCN and regional centres by organizing regular consultative meetings among the partners and the CTCN on the margins of GEF Council meetings.

4. Global Environmental Facility Trust Fund, Least Developed Countries Fund and Special Climate Change Fund

44. During the reporting period, the GEF Trust Fund, Least Developed Countries Fund and Special Climate Change Fund portfolios supported stand-alone and multi-focal area projects with various capacity-building components in the form of technical assistance and investments. The projects cover various areas for capacity-building listed in the framework for capacity-building in developing countries,²⁰ including: institutional capacity-building; the development of national reports and national climate change programmes; the enhancement and transfer of technologies; the enhancement of enabling conditions; vulnerability and adaptation assessments; the implementation of adaptation measures; research and systemic observation through climate information systems; and public awareness and education programmes.

5. Doha work programme on Article 6 of the Convention

45. The GEF has taken significant steps towards implementing the Doha work programme, including by providing financial resources to developing countries, in particular African countries, the LDCs and SIDS. In the period 2012–2015, at least USD

²⁰ Decision 2/CP.7.

67.7 million was provided by the GEF in support of the work programme towards education, training and public awareness.

46. The GEF also undertakes cross-cutting capacity development, which focuses on addressing systemic cross-cutting national environmental management issues that focal area projects alone do not address. Three cross-cutting capacity development projects were approved in the fiscal year 2015. This work represents a valuable resource whereby countries identify and assess their priority capacities to address climate change concerns and take practical measures to address capacity gaps and shortcomings.

C. Capacity-building elements in the report of the Adaptation Fund Board

47. Over the reporting period, the AFB undertook a broad range of capacity-building activities in the context of its readiness programme for direct access to climate finance, which was institutionalized and integrated into the AFB workplan with a budget of USD 616,500 for the fiscal year 2017. Direct access represents 33 per cent of the fund's portfolio. Capacity-building activities featured in the 2017 workplan, started on 1 July 2016, include project formulation assistance, and technical assistance for the implementation of the environmental and social policy and the gender policy of the fund. The AFB also approved USD 244,447 worth of South–South cooperation grants to support countries in identifying suitable national institutions as candidates for NIEs and in preparing an application for accreditation. Four of the LDCs received South–South cooperation grants and two of the LDCs and one SIDS received grants for technical assistance.

48. Since the launch of the readiness programme in May 2014, the number of accredited NIEs has increased from 13 in May 2014 to 24 by July 2016; 4 of these are for the LDCs and 6 are for SIDS. Since 1 July 2015, the fund has received seven NIE applications, five of them from the LDCs. Similarly, there has been an increase in the number of project and programme proposals submitted by implementing entities each year. The Adaptation Fund had an increase in the value of its climate finance readiness small grant portfolio from USD 200,000 in December 2014 to USD 590,000 in July 2016, and indications are that this will continue to grow, with increasing demand from NIEs.

49. Specific capacity-building activities undertaken during the fiscal years 2016 and 2017 include NIE seminars, climate finance webinars and readiness workshops, and a knowledge exchange platform for direct access to disseminate content on direct access and NIE adaptation stories.²¹ The workshops mentioned above targeted accreditation support provided to 28 LDCs and 19 SIDS. The fund's 2017 fiscal year workplan includes a climate finance readiness workshop targeting accreditation and project support for all LDCs globally in a single event.

50. The AFB increased its efforts to disseminate news and stories about the fund's work during the reporting period, producing 23 news story releases on fund programmes and activities and 20 new videos for the Adaptation Fund's YouTube channel about fund projects, NIEs and readiness events. Several new outreach materials, brochures and flyers illustrating the fund's events, activities and results, its direct access modality, country project examples, climate sectors and beneficiaries served, and the readiness programme for climate finance were also created and disseminated. A global photographic contest on the theme of adapting coasts and watersheds to the effects of climate change was organized, which attracted 127 photographic submissions on adaptation efforts from NIEs, country governments, the private sector and the general public from all over the world, with the

²¹ <http://climatefinanceready.org>.

results displayed on the web, social media and at a global readiness event hosted by the fund in Washington, D.C.²²

²² See <https://www.adaptation-fund.org/adaptation-fund-global-photo-contest-promotes-coastal-and-watershed-adaptation-to-climate-change/>.