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附属履行机构

第四十二届会议

2015年6月1日至11日，波恩

议程项目 9(b)

能力建设

《京都议定书》之下的能力建设

## 《京都议定书》之下的能力建设

### 主席提出的结论草案

1. 附属履行机构(履行机构)商定在第四十三届会议(2015年11月至12月)上以附件所载案文草稿为基础，继续审议发展中国家能力建设框架执行情况第三次全面审查的职权范围<sup>1</sup>。
2. 履行机构继续审议《京都议定书》之下发展中国家的能力建设问题，但没有完成审议。履行机构商定在第四十三届会议上继续审议这一事项，以便提出一份决定草案建议，供作为《京都议定书》缔约方会议的《公约》缔约方会议第十一届会议(2015年11月至12月)审议并通过。
3. 履行机构请秘书处在德班进一步加强行动问题特设工作组的一次届会之后紧接着举行一次研讨会，进一步讨论缔约方在本届会议上提出的加强能力建设的可能途径。
4. 履行机构请秘书处编写一份上文第3段所述研讨会的报告，供履行机构第四十三届会议审议。
5. 履行机构请秘书处根据现有资金的情况，开展本结论中要求的行动。

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<sup>1</sup> 第2/CP.7号决定，附件。

## Annex

[English only]

### **[Terms of reference for the third comprehensive review of the implementation of the framework for capacity-building in developing countries]**

#### **I. Mandate**

1. The Conference of the Parties (COP) decided to initiate the third comprehensive review of the implementation of the framework for capacity-building in developing countries as contained in the annex to decision 2/CP.7 (hereinafter referred to as the capacity-building framework) at the forty-second session of the Subsidiary Body for Implementation (SBI) with a view to completing the review at COP 22 (November 2016).<sup>1</sup>
2. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decided to initiate the third comprehensive review of the implementation of the capacity-building framework at SBI 42 with a view to completing the review at CMP 12 (November 2016).<sup>2</sup>

#### **II. Objectives**

3. The third comprehensive review of the implementation of the capacity-building framework has the following objectives:
  - (a) [To take stock of progress in, and assess the effectiveness of, the implementation of the capacity-building framework using performance indicators or other appropriate evaluations tools;]
  - (b) To examine possible gaps between the provisions of decisions of the COP and the CMP and the implementation of capacity-building activities;
  - (c) To identify lessons learned and best practices with a view to developing options for enhanced implementation of the capacity-building framework, taking into account additional needs and priorities for capacity-building;
  - (d) To effectively review gaps and challenges in addressing the implementation of priority areas as contained in the capacity-building framework and in meeting the capacity-building needs to enhance action on mitigation, adaptation and technology transfer;
  - (e) [To effectively review gaps and challenges in addressing access to financial resources and [attracting private sector investment] [private sector actions][investment] to support action on mitigation and adaptation and technology cooperation, in a measurable, reportable and verifiable manner;]
  - (f) To provide recommendations to the SBI on ways to address the key capacity-building gaps at the individual, institutional and systemic levels as identified by the first<sup>3</sup>

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<sup>1</sup> Decision 13/CP.17, paragraph 7.

<sup>2</sup> Decision 15/CMP.7, paragraph 8.

<sup>3</sup> Decision 2/CP.10.

and second<sup>4</sup> comprehensive reviews of the implementation of the capacity-building framework, including:

- (i) The availability of financial resources for the implementation of capacity-building activities in developing countries;
- (ii) [Ways to strengthen the outcomes and effectiveness of financial resources for the delivery of capacity-building activities in developing countries;]
- (iii) Ways to improve the coordination structures and coherence for capacity-building, including the coordination of donor funding support;
- (iv) Ways to improve and harmonize national priorities, strategies and plans for capacity-building;
- (v) Ways to address emerging capacity gaps of developing countries, such as the lack of capacity for the development and implementation of climate change policies and legislation;
- (g) [To undertake an assessment of support provided for the implementation of national capacity-building strategies or plans in developing countries;]
- (h) [To assess the validity and importance of the guiding principles, approaches, scope and priority areas contained in the capacity-building framework in contributing to the implementation of the objectives of the Convention, its Kyoto Protocol and any other protocol, legal instrument or agreed outcome with legal force applicable to all Parties to be adopted by COP 20;]
- (i) To explore potential ways to further enhance the implementation of capacity-building activities at the national level;
- (j) To identify major actors supporting the implementation of the capacity-building framework within and outside the arrangements established under the Convention and its Kyoto Protocol;
- (k) To review the operation of the Durban Forum on capacity-building and identify potential ways of its enhancement.

### **III. General principles in the comprehensive review process**

4. The third comprehensive review of the implementation of the capacity-building framework should be based on the guiding principles and approaches outlined in decision 2/CP.7, annex, chapter B, and should take into account relevant provisions in related COP<sup>5</sup> and CMP<sup>6</sup> decisions on capacity-building.

### **IV. Information sources**

5. Information to be used in the third comprehensive review of the implementation of the capacity-building framework should be drawn from, inter alia:

- (a) Submissions from Parties;

<sup>4</sup> Decisions 13/CP.17 and 15/CMP.7.

<sup>5</sup> Decisions 4/CP.9, 9/CP.9, 2/CP.10, 4/CP.12, 6/CP.14, 10/CP.16, 1/CP.16, 2/CP.17, 13/CP.17 and 1/CP.18.

<sup>6</sup> Decisions 7/CMP.1, 29/CMP.1, 6/CMP.2, 6/CMP.4, 11/CMP.6, 15/CMP.7 and 10/CMP.8.

- (b) Findings of the first <sup>7</sup> and second <sup>8</sup> comprehensive reviews of the implementation of the capacity-building framework;
- (c) Annual synthesis reports on the implementation of the capacity-building framework prepared in accordance with the steps for the regular monitoring and evaluation of capacity-building work as contained in decisions 4/CP.12 and 6/CMP.2;
- (d) Relevant national reports (such as national communications, biennial reports, biennial update reports, national adaptation programmes of action and their updates, outcomes of the national adaptation plan process, and national capacity self-assessments);
- (e) [Reports and submissions from the Global Environment Facility and its implementing agencies, United Nations entities and other relevant organizations;]
- (f) Information contained in the Capacity-building Portal;<sup>9</sup>
- (g) Summary reports on the meetings of the Durban Forum on capacity-building;
- (h) Reports of relevant bodies established under the Convention and its Kyoto Protocol;
- (i) Other relevant existing documents prepared by the secretariat.

## V. [Modalities of work and expected outcomes]

6. Drawing upon the information sources listed in section IV above and taking into account the objectives listed in section II above, the secretariat will prepare, for consideration by SBI 44 (May 2016), a report on the implementation of the capacity-building framework, including:

- (a) Descriptions of capacity-building programmes and activities;
- (b) [Identification of needs and gaps and an assessment of factors and constraints in capacity-building activities in developing countries that influence the effectiveness of capacity-building projects and programmes, as well as lessons learned and best practices, future opportunities, challenges and barriers, and possible areas for improvement;]
- (c) [Assessment of the support provided for the implementation of national strategies and plans for capacity-building;]
- (d) Key results and impacts;
- (e) Information on the extent and variety of stakeholders within developing countries (governmental and non-governmental organizations, the private sector, community organizations, etc.) involved in, and benefiting from, capacity-building activities;
- (f) [The availability of, and access to, resources and the effectiveness of their deployment;]
- (g) The sustainability of capacity-building activities and the extent of national engagement;
- (h) [The extent to which capacity-building activities support the initial scope of needs and areas listed in decision 2/CP.7, annex, paragraphs 15–17, actions by Parties

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<sup>7</sup> Decision 2/CP.10.

<sup>8</sup> Decisions 13/CP.17 and 15/CMP.7.

<sup>9</sup> <[http://unfccc.int/cooperation\\_and\\_support/capacity\\_building/items/7204.php](http://unfccc.int/cooperation_and_support/capacity_building/items/7204.php)>.

(paragraphs 18–20) and the priority areas listed in decision 29/CMP.1, paragraph 2, taking into account the nine key factors identified in decision 2/CP.10, paragraph 1;]

(i) Recommendations for the further implementation of the capacity-building framework.

7. [The SBI will develop a baseline and performance indicators to be used for assessing the effectiveness of the implementation of the capacity-building framework for endorsement at SBI 44.]

8. [The secretariat will conduct interviews, surveys and focused discussions with national focal points for Article 6 of the Convention and other relevant national focal points to collect information on diverse challenges faced at the national level with regard to capacity-building. A summary of information collected will be included in an annex to the report mentioned in paragraph 6 above.] *{Possibly move this paragraph to section IV}*

9. SBI 44 will consider the report mentioned in paragraph 6 above, information sources listed in section IV above and any other information relevant to the completion of the third comprehensive review of the implementation of the capacity-building framework, with a view to recommending a draft decision for adoption by COP 22 (November 2016) and a draft decision for adoption by CMP 12 (November 2016).]

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