

SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE

Thirteenth session

Lyon, 11-15 September 2000

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,<sup>1</sup> 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 Annex II Parties, and other relevant organizations, as appropriate, in accordance with the provisions of the Convention and the Kyoto Protocol.

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<sup>1</sup> 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 efforts are more effective when they take place within an enabling environment conducive to the development of human, institutional and technical capacity.
6. Capacity-building should be results-based and implemented in an integrated and programmatic manner to facilitate its monitoring and evaluation, effectiveness and cost efficiency.
7. Capacity-building is a continuous process aimed at strengthening or establishing, as appropriate, relevant institutions and human resources in order to strengthen the expertise relevant to the implementation of the Convention and the Kyoto Protocol.
8. Capacities should be developed in a manner and under conditions that will ensure their sustainability, usefulness to 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.
9. Capacity-building involves “learning by doing”. Capacity-building activities should be designed and implemented in a flexible manner.
10. Capacity-building should promote the participation of a wide range of actors and constituencies, including governments at all levels, institutions, civil society and the private sector.
11. Capacity-building activities should be designed to strengthen and enhance endogenous capacities and capabilities, as appropriate. Wherever possible, capacity-building should utilize existing institutions and bodies and build on existing processes and endogenous capacities. National focal points and institutions such as research centres and universities may play an important role in providing capacity-building services and facilitating the flow of knowledge, best practices and information.
12. Capacity-building should be designed so that it clearly results in the development, strengthening and enhancement of institutional capacities, human resources, implementation infrastructure, knowledge and information, methodologies and practices, and the participation and networking of EIT Parties within an enabling environment to promote sustainable development and to implement their commitments under the Convention and the Kyoto Protocol.
13. Capacity-building under the Convention and the Kyoto Protocol should maximize synergies with other global environmental agreements, as appropriate.

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

#### *Objective*

14. Capacity-building should contribute to sustainable development through the implementation of the Convention and the Kyoto Protocol by EIT Parties.

#### *Scope for capacity-building*

15. 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 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.

16. The needs for capacity-building in EIT Parties were first identified in decision 11/CP.5. In addition, the compilation and synthesis document prepared by the secretariat (FCCC/SB/2000/INF.2) represented the first attempt to specify the needs and priorities for capacity-building based on submissions from these countries. The 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.

17. 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.

18. Many areas for capacity-building identified under the Convention are relevant to the implementation of the Protocol. In addition, the following 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).

19. Within these priority areas for capacity-building, the specific needs of EIT Parties include institutional capacity, human resource development, knowledge and information, and methodologies.

20. 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 identify, develop and implement regional, subregional and sectoral activities that meet the common capacity-building needs of EIT Parties. The results of the next phase of the Capacity Development Initiative of the Global Environment Facility and other related activities can be used for such purposes.

## **D. Implementation**

### *Responsibilities for implementation*

21. 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 on a regular basis 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 and the institutional leadership 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.

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

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

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

23. 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 with their capacity-building efforts, including the assessment of specific needs and priorities on a country-by-country basis;

(b) To ensure the availability of additional financial and other resources necessary to implement this framework, including the prompt availability of financial and technical resources to enable EIT Parties to undertake country-level needs assessments and to develop specific capacity-building activities consistent with this framework.

### *Financing*

24. 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.

25. Financial and other assistance should be made available to EIT Parties to enable them to determine and prioritize their needs for capacity-building and to implement effective capacity-building activities.

26. Multilateral and bilateral agencies are urged to respond to the need to finance and support the implementation of the elements of this framework for capacity-building, including through the Capacity Development Initiative of the Global Environment Facility.

*Time-frame*

27. The establishment of this framework for capacity-building should commence promptly to assist EIT Parties to implement the Convention and the Kyoto Protocol within their first commitment period.

*Monitoring of progress*

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

29. 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 national communications. Other institutions involved in implementing the activities envisaged in this framework are requested to provide information for this purpose.

*Role of the secretariat*

30. 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, subject to the availability of resources:

(a) To coordinate with the operating entity of the financial mechanism, its implementing agencies and other agents for capacity-building to facilitate the implementation of this framework;

(b) To collect, process, compile and disseminate the information needed by the COP or its subsidiary bodies to review the progress in the implementation of this framework for capacity-building.

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