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**SUBSIDIARY BODY FOR SCIENTIFIC AND TECHNOLOGICAL ADVICE**

Thirteenth session

Lyon, 11-15 September 2000

Agenda item 8 (a) and (b)

**SUBSIDIARY BODY FOR IMPLEMENTATION**

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Agenda item 8 (a) and (b)

**CAPACITY-BUILDING**

**CAPACITY-BUILDING IN DEVELOPING COUNTRIES (NON-ANNEX I PARTIES)**

**CAPACITY-BUILDING IN COUNTRIES WITH ECONOMIES IN TRANSITION**

**Addendum**

**Recommendation of the Subsidiary Body for Scientific and Technological Advice  
and the Subsidiary Body for Implementation**

**Draft decision -/CP.6**

**Capacity-building in developing countries (non-Annex I Parties)**

*The Conference of the Parties,*

*[Basing itself on] [Recalling] Article 4.1, 4.3, 4.4, 4.5 and 4.7, in the context of Article 3, and Articles 5 and 6 of the United Nations Framework Convention on Climate Change,*

*Recalling the provisions related to capacity-building for developing countries contained in its decisions 11/CP.1, 10/CP.2, 11/CP.2, 9/CP.3, 2/CP.4, [in particular paragraphs 1(c), (d), and (g)], 4/CP.4, 5/CP.4, 6/CP.4, 7/CP.4 [(paragraph 4)], 12/CP.4 and 14/CP.4,*

*Noting Article 10 (c), (d) and (e), and Article 11 of the Kyoto Protocol,*

*[Recalling also paragraphs [3], [98 to 100] on capacity-building of the Programme for the Further Implementation of Agenda 21, [and paragraphs 37.2 and 33.13 of Agenda 21], in particular the renewal of the commitment of and support from the international community as essential to support national efforts for capacity-building in developing countries;]*

*Reaffirming its decision 10/CP. 5 [, in particular paragraph 1 (e) on the ways and means for capacity-building];*

*Reaffirming also* that capacity-building for developing countries is essential to enable them to participate fully in, and to implement effectively their commitments under the Convention,

1. *Adopts* the framework for capacity-building in developing countries annexed to this decision;

2. *Option 1 [Decides that this framework shall guide all capacity-building activities related to the implementation of the Convention and its Kyoto Protocol;]*

*Option 2 [Decides to give immediate effect to the implementation of this framework in order to assist developing countries to implement the Convention];*

3. *Notes* that areas for capacity-building identified under the Convention are [important] [also] [relevant] [to the preparation of developing country Parties] [to the effective participation] in the Kyoto Protocol process when the Protocol comes into force;]

4. *[Requests* the Global Environment Facility, as an operating entity of the financial mechanism, to provide financing and to implement its capacity-building activities under each area of implementation of the Convention in accordance with this framework and consistent with the relevant decisions of the Conference of the Parties, including the timetables contained therein, and in accordance with the provisions of Article 4.3;]

5. *[Also requests* the Global Environment Facility to include in its reports to the Conference of the Parties at each session, information on the financing and implementation of capacity-building activities conducted under this framework;]

6. *Invites* bilateral and multilateral agencies, and other intergovernmental organizations and institutions, to inform the Conference of the Parties, through the secretariat, of capacity-building activities conducted to assist developing country Parties with their implementation of the framework;

7. *[Encourages* bilateral and multilateral agencies, and other intergovernmental organizations and institutions, to consult further with developing country Parties to develop practical action plans specifying the scale and sources of additional financial resources and corresponding time schedules for supporting capacity-building activities within the annexed framework.]

8. *[Requests* the secretariat to continue to compile information contained in national communications of developing country Parties relating to capacity-building activities, programmes and needs, and information contained in national communications of Annex II Parties on activities and programmes undertaken to facilitate capacity-building in developing countries related to the implementation of the Convention, as well as the information from the Global Environment Facility and other agencies referred to in paragraph 5, and to make this information available in both printed and electronic formats at the next session of the subsidiary bodies;]

8. bis *Requests* the secretariat, in accordance with this framework for capacity-building, and consistent with Article 8 of the Convention, to undertake the following tasks:

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

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

9. [*Decides* to review the progress made in the implementation of this decision at each session.]

10. [*Decides* that the framework shall be in effect for x years;]

11. [*Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol at its first session, adopt a decision endorsing this framework for capacity-building under the Convention that parallels the framework contained in the annex to this decision, with additional reference to priority areas for capacity-building relating to the implementation of the Kyoto Protocol;]

12. [*Decides* to establish a special fund to support and promote effective implementation of the Convention and the Kyoto Protocol and Convention processes by the least developed countries, within the time-frame specified in the annexed framework.]

Annex

**CAPACITY-BUILDING**

**CAPACITY-BUILDING IN DEVELOPING COUNTRIES (NON-ANNEX I PARTIES)**

**Framework for capacity-building in developing countries**

**A. Purposes**

1. This framework for capacity-building in developing countries sets out the scope and provides the basis for action on capacity-building related to the implementation of the Convention and preparation for the effective participation of developing countries in the Kyoto Protocol process that will in a coordinated manner assist them in promoting sustainable development [and in] [through] meeting the objective of the Convention. It should serve as a guide for the Global Environment Facility as an operating entity of the financial mechanism and be considered by multilateral and bilateral organizations in their capacity-building activities related to the implementation of the Convention and preparation for their effective participation in the Kyoto Protocol process.

**B. Guiding principles and approaches**

2. This framework for capacity-building in developing countries is guided and informed by, inter alia, Article 4.1, 4.3, 4.4, 4.5, and 4.7, in the context of Article 3, and Articles 5, 6 and 11.1 of the Convention, and relevant provisions contained in decisions 11/CP.1, 10/CP.2, 11/CP.2, 9/CP.3, 2/CP.4, 4/CP.4, 5/CP.4, 6/CP.4, 7/CP.4, 12/CP.4, 14/CP.4, and 10/CP.5<sup>1</sup>, and takes into account Articles 10 (c), 10 (d), 10 (e), and 11[.2] of the Kyoto Protocol

3. Capacity-building activities related to the implementation of the Convention by developing countries and to the preparation for their effective participation in the Kyoto Protocol process should build on work already undertaken by developing countries, as well as on the work undertaken with support from multilateral and bilateral organizations.

4. The capacity-building needs already identified in the various decisions of the Conference of the Parties (COP) should continue to be comprehensively and promptly addressed to promote sustainable development in developing countries through the effective implementation of the Convention and preparation for their effective participation in the Kyoto Protocol process.

5. There is no “one size fits all” formula for capacity-building. Capacity-building must be country-driven, addressing the specific needs and conditions of developing countries and reflecting their national sustainable development strategies, priorities and initiatives. It is primarily to be undertaken by and in developing countries in accordance with the provisions of the Convention.

6. Capacity-building activities should be undertaken in an effective, efficient, integrated and programmatic manner, taking into consideration the specific national circumstances of developing countries.

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<sup>1</sup> For the full texts of decisions adopted by the Conference of the Parties at its first, second, third, fourth and fifth sessions, see documents FCCC/CP/1995/7/Add.1, FCCC/CP/1996/15/Add.1, FCCC/CP/1997/7/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1 respectively.

7. Capacity-building activities undertaken within this framework should maximize synergies between the Convention and other global environmental agreements, as appropriate.
8. Capacity-building is crucial to developing countries, especially those that are particularly vulnerable to the adverse effects of climate change. The special circumstances of least developed countries and small island developing States need to be taken into account in the implementation of this framework, [which include:
  - (a) Weak and fragile economies and ecosystems;
  - (b) Low population, income and isolated geographical locations making these groups of countries unattractive to foreign investment;
  - (c) High population resulting in land degradation leading to desertification leading to food insecurity and high level of poverty;
  - (d) Undeveloped services inter alia meteorological/hydrological services which are critical for food security and water resources management;
  - (e) Lack of early warning systems for both food security and disaster management.
9. Capacity-building involves “learning by doing”. Demonstration projects may be used in identifying and learning about the specific capacities that need to be further developed in developing countries.
10. Capacity-building is a continuous, progressive and iterative process, the implementation of which should be based on the priorities of developing countries.
11. Whenever possible and effective, capacity-building should mobilize existing national, subregional and regional institutions and the private sector in developing countries and build on existing processes and endogenous capacities. National coordinating mechanisms/focal points/national coordinating entities have an important role to play in ensuring coordination at the country and regional levels and may serve as the focal point for coordinating capacity-building activities.
12. Institutions in developing countries such as research and training centres, and universities, have an important role to play in supporting capacity-building activities in developing countries. Such centres can incorporate traditional skills, knowledge and practices, to provide appropriate services in developing countries, and facilitate information sharing.
13. Multilateral and bilateral bodies are encouraged to take account of this framework in their consultations with developing countries when supporting capacity-building activities related to the implementation of the Convention and the preparation for effective participation by developing countries in the Kyoto Protocol process.

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

#### *Objectives*

14. Capacity-building should assist developing countries to build, develop, strengthen, enhance, and improve their capabilities to achieve the objective of the Convention through

the implementation of the provisions of the Convention and the preparation for their effective participation in the Kyoto Protocol process.

*Scope of capacity-building*

15. The following is the initial scope of needs and areas for capacity-building in developing countries as broadly identified in the annex to decision 10/CP.5, in the compilation and synthesis document prepared by the secretariat<sup>1</sup> and in submissions by Parties<sup>2</sup>:

- (f) Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points;
- (g) Enhancement and/or creation of an enabling environment;
- (h) National communications;
- (i) National climate change programmes;
- (j) Greenhouse gas (GHG) inventories, emission database management, and systems for collecting, managing and utilizing activity data and emission factors;
- (k) Vulnerability and adaptation assessment;
- (l) [Implementation of] adaptation measures;
- (m) Assessment [and implementation] of mitigation options;
- (n) Research and systematic observation, including meteorological, hydrological and climatological services;
- (o) Development and transfer of technology;
- (p) Improved decision-making, including assistance for participation in international negotiations;
- (q) [[Preparation for effective participation in the] Clean development mechanism];
- (r) Needs arising out of the implementation of Article 4.8 and 4.9 of the Convention;
- (s) Education, training and public awareness;
- (t) Information and networking, including the establishment of databases.

16. Other capacity-building needs and possible responses are being identified by the Parties in their discussions of other issues. The decisions resulting from these discussions, as well as other activities related to the implementation of the Convention and preparation for their effective participation in the Kyoto Protocol process, should continue to inform the scope and implementation of this framework.

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<sup>1</sup> FCCC/SB/2000/INF.1.

<sup>2</sup> FCCC/SB/2000/INF.5.

*Specific scope for capacity-building in least developed countries*

17. [The last few climate change induced extreme weather events have clearly demonstrated the vulnerability of developing countries, particularly the least developed countries and small island developing States (SIDS). Millions of people have suffered as a result of these events, which have also enhanced poverty in these countries. The least developed countries and small island developing States have the least capacity to adapt to natural and climate change induced disasters. In order to ameliorate the situation of these peoples, it is of critical importance to urgently address the capacity of these countries. Action is needed to:

(a) Strengthen or establish national climate change secretariats or focal points to ensure effective implementation of the Convention, the Kyoto Protocol and other legal instruments that may be adopted, including collection, analysis and interpretation of national communication data and information;

(b) Assess and prioritize capacity-building needs and develop an integrated implementation programme taking into account the role of research and training in capacity-building;

(c) Develop technical capacities and skills to effectively carry out vulnerability and integrated adaptation assessment and development of implementation strategy;

(d) Strengthen local research and training institutions to ensure sustainability of the capacity-building programme;

(e) Strengthen and establish systematic climatological and hydrological observing networks;

(f) Strengthen meteorological and hydrological services to ensure collection, analysis, interpretation and dissemination of data and information to ensure mitigation of extreme weather and climate events;

(g) Enhance public awareness (level of understanding and human capacity development).]

**D. Implementation**

*Actions to enhance the implementation of this framework, taking into account the initial scope outlined in paragraph 15*

18. All Parties should improve the coordination and effectiveness of capacity-building efforts through dialogue between and among Annex II Parties, developing country Parties, and bilateral and multilateral institutions. All Parties should promote conditions conducive to the sustainability and effectiveness of capacity-building activities.

19. In implementing this framework, developing country Parties should [as appropriate]:

(a) Continue to identify their specific needs, options and priorities for capacity-building on a country-driven basis, taking into account existing capacities and past and current activities;

(b) Promote South-South cooperation by utilizing the services of institutions in developing countries that can support capacity-building activities at the national, subregional and regional levels, wherever possible and effective;

(c) Promote the participation of a wide range of stakeholders, including governments at all levels, national and international organizations, civil society and the private sector, as appropriate;

(d) Promote the coordination and sustainability of activities undertaken within this framework, including the efforts of national coordinating mechanisms, focal points, and national coordinating entities;

(e) Facilitate the dissemination and sharing of information on capacity-building activities conducted by developing countries for better coordination and South-South cooperation.

20. In implementing this framework, Annex II Parties should:

(a) **Option 1:** [Ensure the availability of the additional financial and other resources necessary to implement this framework, including the prompt availability of financial and technical resources to enable developing countries to undertake country-level needs assessments and to develop specific capacity-building activities consistent with this framework;]

(a) **Option 2:** [Make available financial and other resources to assist developing countries in the implementation of this framework, as appropriate, including the continued timely availability of financial and technical resources to enable developing countries to undertake country-level needs assessments and to develop specific capacity-building activities consistent with this framework.]

(b) Respond to the capacity-building needs and priorities of developing countries in a coordinated and timely manner, and support activities implemented at the national and, as appropriate, subregional and regional levels;

(c) Give particular attention to the needs of least developed countries and small island developing States amongst them.

#### *Financing and operation*

21. [Financial and technical support [for activities] to implement this framework for capacity-building in developing countries should [immediately] be made available through an operating entity of the financial mechanism, multilateral and bilateral agencies and the private sector, [as appropriate].]

22. In response to this framework, the operating entity of the financial mechanism should elaborate a country-driven strategy for its capacity-building activities. [The operating entity should also adopt a streamlined and expedited approach for financing and implementation of activities within this framework.]

23. [All Parties,] multilateral and bilateral agencies are encouraged to take constructive action to support capacity-building activities in this framework through streamlined [and coordinated] approaches and in a timely manner.

24. Financial and other assistance is to be made available [immediately] to developing countries, in particular to the least developed countries and small island developing States, to enable them to continue to determine, assess and prioritize their needs for capacity-building in a simple, timely manner and to assist them to [immediately] [as appropriate] put into place the institutional arrangements to implement effective capacity-building activities.

25. The capacity-building activities undertaken within this framework are to be country-driven and implemented primarily at the country level.

26. In order to facilitate the exchange of information and cooperation, developing countries in collaboration with relevant institutions should identify regional, subregional and sectoral activities that can effectively and efficiently address common capacity-building needs.

27. [Developing countries which have already begun the identification of their capacity-building needs through ongoing work aimed at implementing the Convention, should be able to immediately implement capacity-building activities under this framework.]

28. The results of activities conducted by the Global Environment Facility as a multilateral financial institution including the Capacity Development Initiative, as well as activities undertaken by multilateral, bilateral and private sector entities, may be considered in further developing capacity-building activities within this framework at the regional and subregional levels.

#### *Time-frame*

29. This framework for capacity-building should be implemented promptly, taking into account the immediate, medium- and long-term priority needs identified by developing countries.

30. [The immediate needs of developing countries, in particular the least developed countries and small island developing States, should be addressed urgently in the implementation of this framework, [including implementing a programme of key identified needs within the next five years].]

#### *Review of progress*

31. The COP, through the Subsidiary Body for Implementation, shall regularly monitor and review the progress in the implementation of this framework.

32. All Parties should [make submissions] [report] [regularly] [through national communications] to the COP on their implementation of this framework. Other institutions are also invited to provide relevant information.

33. The Global Environment Facility, as an operating entity of the financial mechanism, is requested to report on its progress in support of the implementation of this framework in its reports to the COP.

#### *Role of the secretariat*

34. In accordance with this framework for capacity-building, the secretariat is requested, consistent with Article 8 of the Convention, to undertake the following tasks:

(a) To cooperate with the operating entity of the financial mechanism, its implementing agencies and other entities 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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