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CAPACITY-BUILDING

Compilation and synthesis of actions taken by developing countries and Parties with economies in transition to identify their priority needs and of actions taken by Parties included in Annex II to the Convention to implement decisions 2/CP.7 and 3/CP.7

Note by the secretariat

Summary

The Subsidiary Body for Implementation (SBI), at its seventeenth session, took note of the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15), and invited Parties to submit their views on the report and on the actions taken by developing country Parties and Parties with economies in transition to identify their specific needs, options and priorities for capacity-building, as well as actions taken by Parties included in Annex II to the Convention, in implementation of decisions 2/CP.7 and 3/CP.7. In response to the request made by the SBI at the same session, the secretariat has prepared the present note, containing a compilation and synthesis of the views provided by the Parties.

The SBI may wish to take note of the present document and, where necessary, provide guidance to the secretariat on its future activities. It may also wish to consider how the present note and another note by the secretariat, containing a compilation and synthesis of information on the progress made in the implementation of capacity-building projects and programmes of the Global Environment Facility and international organizations that respond to decision 2/CP.7 (FCCC/SBI/2003/INF.10), could assist in the review process. The views of Parties on the review process are summarized in document FCCC/SBI/2003/INF.8.

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I. INTRODUCTION

A. Mandate

1. The Subsidiary Body for Implementation (SBI), at its seventeenth session, under the agenda item on capacity-building, reiterated the need to further the prompt implementation of decisions 2/CP.7 and 3/CP.7. It invited Parties to submit, by 15 April 2003, their views on actions taken by developing countries and countries with economies in transition to identify their specific needs, options and priorities for capacity-building, as well as actions taken by Parties included in Annex II to the Convention (Annex II Parties) in the implementation of decisions 2/CP.7 and 3/CP.7, and on the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15); and requested the secretariat to compile and synthesize the information provided by Parties, including information reported in national communications from Annex II Parties (FCCC/SBI/2002/17, para. 35 (e) and (g)).

B. Scope of the note

2. The present note provides a summary of the information submitted to the secretariat on activities carried out by developing country Parties and Parties with economies in transition to identify their specific capacity-building needs, options and priorities and information provided by Annex II Parties regarding their capacity-building activities that aimed at implementing decisions 2/CP.7 and 3/CP.7.

3. The note also includes a summary of the views of Parties on the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15). The submissions of the Parties are contained in FCCC/SBI/2003/MISC.5.

4. Parties may wish to consider how the present note and another synthesis document prepared by the secretariat on the progress made in the implementation of capacity-building projects and programmes of the Global Environment Facility (GEF) and international organizations that respond to the framework annexed to decision 2/CP.7 (FCCC/SBI/2003/INF.10) could assist them in the comprehensive review process. The views of Parties on the comprehensive review process are summarized in document FCCC/SBI/2003/INF.8.

C. Approach to the compilation and synthesis of information

5. Parties provided information in different formats and with various levels of detail. The information was grouped under four headings:

(a) Views of the Parties on the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15);

(b) Actions taken by developing country Parties to identify their specific needs, options and priorities for capacity-building to facilitate the implementation of decision 2/CP.7;

(c) Actions taken by Parties with economies in transition to identify their specific needs, options and priorities for capacity-building to facilitate the implementation of decision 3/CP.7;

(d) Actions taken by Annex II Parties to implement decisions 2/CP.7 and 3/CP.7.

6. The secretariat received submissions from Bulgaria (on behalf of the Central Group 11), Canada, China, Greece (on behalf of the European Community and its member States), Japan, the Philippines, the United Republic of Tanzania (also on behalf of the Group of 77 and China), and the United States of America.

7. The secretariat also drew upon information provided by Annex II Parties in their third national communications. Nine Annex II Parties included specific sections on capacity-building activities in the national communications: Australia, Belgium, Canada, Germany, Japan, the Netherlands, Norway, Sweden, and the United States of America. Several Annex II Parties provided examples of their capacity-building activities under the sections on bilateral cooperation (European Community, Germany), bilateral development assistance (Italy) or assistance to developing countries (Finland, Japan).

8. National communications of countries with economies in transition could not be used as a source of substantial information on the actions taken by them to identify their needs, options and priorities for capacity-building since the information was not reported by those Parties in their national communications.

9. Many developing country Parties had included in their initial national communications, information on their capacity-building needs and priorities; that information was used in the preparation of the present report. Another source of information used by the secretariat was the national capacity self-assessment (NCSA) proposals submitted by developing countries to the GEF.

10. In reviewing the present note, reference should be made to documents FCCC/SBI/2002/INF.15, FCCC/SBI/2003/INF.8 and FCCC/SBI/2003/INF.10 as additional sources of information.

II. COMPILATION AND SYNTHESIS OF INFORMATION

A. Views of Parties on the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7

11. Parties welcomed the preparation of the report by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15). It was noted that such progress reports should be prepared on a regular basis in order to facilitate the review and monitoring of the implementation of the capacity-building frameworks.

12. While some Parties were of the view that the report indicated progress made in the implementation of capacity-building frameworks, for example, institutional and technical capacity-building on issues related to the United Nations Framework Convention on Climate Change (UNFCCC) and its Kyoto Protocol, the development of national focal points, and the availability of other assistance programmes, other Parties considered that the report reflected the inadequacy of current efforts to meet the needs identified in decisions 2/CP.7 and 3/CP.7.

13. In addressing the progress made with regard to capacity-building activities, the United Republic of Tanzania and the Group of 77 and China noted that some capacity-building projects presented in the report were begun prior to the adoption of decision 2/CP.7, and that in the future, progress reports should refer only to those activities that directly respond to the decision.

14. Canada, however, considered that the capacity-building programmes that were begun prior to the adoption of decisions 2/CP.7 and 3/CP.7 but that addressed the needs identified in the capacity-building frameworks should also be included in the progress reports and the review process, since they were equally as important in addressing the capacity-building needs of countries.

15. Several Annex II Parties stated that the identification and prioritization of capacity-building needs by developing countries and economies in transition was an important step in building the necessary capacity to integrate climate change issues into national development strategies.

16. In addition, Parties noted that, since needs are identified in numerous areas, an indication of the priority areas would be useful to the bilateral, multilateral and international organizations that are in a position to respond, so that they could first meet the needs identified as most critical. Annex II Parties

welcomed the efforts of the developing countries and countries with economies in transition to submit their NCSA proposals to the GEF.

17. Parties noted that the progress report rightly indicated that capacity needs and approaches were varied and country-specific, and that the capacity-building assistance offered by multilateral, bilateral and international organizations should reflect that characteristic.

18. Several developing country Parties commented that capacity-building efforts had not been balanced and efficient enough. China noted that more attention had been given to capacity-building for the clean development mechanism (CDM), while other areas such as the transfer of technology, had received less attention. The United Republic of Tanzania commented that capacity-building for the CDM was still not sufficient to meet the needs of countries, in particular the least developed countries, and that more efforts were needed to enhance technical capacities and to increase awareness of the CDM. It was also noted that capacity-building efforts to enhance the enabling environment, undertaken within various climate change projects funded by the GEF and its implementing agencies, had not been very efficient in achieving such goals such as reducing barriers to the transfer and development of technologies.

19. Annex II Parties, in particular Japan, noted that self-help efforts and ownership by governments receiving assistance were also important for the effective use of available funding. Japan also noted that South-South cooperation should be promoted. Developing country institutions that were well-advanced in capacity-building activities could assist in the transfer of lessons from region to region and among developing countries by using the resources of Annex II Parties and international organizations.

20. Several Parties provided suggestions on additional sources of information that could be used in the preparation of future progress reports. Canada suggested that additional sources of information such as updated bilateral assistance portfolios and the data and activities related to capacity-building for climate change of the Organization for Economic Cooperation and Development (OECD), could be used in the preparation of progress reports on capacity-building. The United States of America noted that national communications should be used as a source of information on the capacity-building activities of Annex II Parties.

21. Since the information provided in national communications was likely to be illustrative and not exhaustive, it was suggested that Parties might wish to consider supplementing their national communications with additional information on their bilateral activities on a more regular basis, perhaps during the intervals between the reviews of capacity-building frameworks.

22. It was also noted that the current capacity-building efforts of the Expert Group on Technology Transfer (EGTT) and the Least Developed Countries Expert Group (LEG) should be considered within a broader capacity-building framework. The work programme of the EGTT for 2002–2003 included work on the creation of enabling environments for the transfer of technology, continuing work on a draft technology needs assessment handbook, the preparation of a paper on enabling environments for the consideration of the Subsidiary Body for Scientific and Technological Advice at its eighteenth session, and the preparation of a paper on capacity-building in the transfer of technology. Likewise, the LEG had been actively supporting least developed country Parties to prepare national adaptation programmes of action (NAPA) in order to identify and communicate their adaptation needs.

23. China suggested that information received from Annex II Parties on their activities to implement the capacity-building frameworks should contain details of the assistance projects provided to developing countries, including the priority needs identified in capacity-building frameworks, the source and scale of funding, the time frame of the project and number of stakeholders involved.

24. Information provided in the submissions indicated that Parties would welcome progress reports that address both the quality and effectiveness and the quantity of capacity-building actions.

The Group of 77 and China suggested that the secretariat develop a methodology for assessing the quality of implementation of capacity-building activities, including effectiveness and the identification of areas for improvement, which could guide countries in preparing future progress reports.

25. Several Parties suggested the organization of a workshop on capacity-building which would give Parties an opportunity to discuss various issues concerning the implementation of capacity-building and other related activities (eg, national capacity needs self-assessments) and establish possible synergies in working towards the common goal of achieving the objectives of the framework for capacity-building in developing countries.

B. Actions taken by developing country Parties to identify their specific needs, options and priorities for capacity-building to facilitate the implementation of decision 2/CP.7

26. The secretariat received four submissions from developing country Parties, including one from the United Republic of Tanzania on behalf of the Group of 77 and China. The submissions provided various degrees of detail on the status of activities undertaken by countries to identify their capacity-building needs and on the progress made in implementing decision 2/CP.7. For example, the Philippines provided detailed information about ongoing capacity-building activities in each of the priority areas identified in decision 2/CP.7. Other Parties provided a general evaluation of ongoing or completed capacity assistance programmes. The United Republic of Tanzania, China and the Philippines submitted information on the remaining capacity needs that they had identified, and China mentioned the internal processes used to identify capacity-building needs.

27. The reported activities to identify capacity-building needs included national pilot studies, NCSA proposals submitted to the GEF, international cooperation projects that contain components on needs assessment, and reviews of past and ongoing capacity-building activities. Submissions to the secretariat on capacity-building seem to be a good means of identifying remaining capacity-building needs and preferable approaches.

28. Many developing country Parties initially identified their capacity-building needs in the process of preparing their proposals to the GEF. Vulnerability and adaptation assessment, greenhouse gas (GHG) emission inventories, and education and training were the most often mentioned capacity-building needs in climate change.

29. Several developing country Parties made an effort to identify their capacity-building needs in the process of preparing their initial national communications. Parties identified technical and financial assistance and institutional strengthening as key areas requiring assistance. Assistance with GHG emission inventories, education, public awareness and personnel training were often mentioned as priority categories.

30. In the submissions to the secretariat, the United Republic of Tanzania suggested that there was no need for further assessments of needs and that future work should focus on actually building the necessary institutional capacity in developing countries, including the structuring of institutions and the development of human resources. China noted that the needs assessment process should continue to be carried out by developing countries with the assistance of Annex II Parties.

C. Actions taken by Parties with economies in transition to identify their specific needs, options and priorities for capacity-building to facilitate the implementation of decision 3/CP.7

31. The secretariat received a submission by Bulgaria (on behalf of the Central Group 11). In addition, some countries with economies in transition provided an overview of current capacity-building activities under the section on financial assistance in their third national communications. Bulgaria provided a summary of the barriers to joint implementation that could be regarded as areas in which improvements and capacity-building were necessary. Estonia provided a review of its obligations regarding climate work in the context of accession to the European Union, and presented information on its short-term and long-term objectives. Many other countries with economies in transition stated, under the section on education, training and public awareness, that there was a need for further education and enhanced public awareness.

32. In their submission, the Central Group 11 (CG11) countries noted that they highly appreciated the support for capacity-building activities provided to them so far by the secretariat, some Annex II Parties and multilateral and international organizations. The Group, however, noted that, despite the activities under way, the gaps in existing capacities were still substantial and required urgent actions if its member countries were to fulfil the commitments of the UNFCCC and its Kyoto Protocol.

33. The CG 11 noted that the progress report on capacity-building activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15) correctly identified the most important priorities and needs in regard to capacity-building in countries with economies in transition, and further emphasized the key capacity-building areas for which priority assistance was required: namely, establishment and strengthening of institutional capacity to manage and operate the national inventory systems and national registries, and joint implementation and emissions trading which, as cross-cutting capacity-building activities, remained a high priority for the Group.

34. With regard to the priority categories identified in decision 3/CP.7, the CG 11 made recommendations for further capacity-building efforts, including:

(a) Capacity-building for the National Inventory System. As a sustainable approach to improve national GHG inventories, the Group confirmed the necessity of starting the project on GHG inventories in CG 11 countries, as proposed by the United Nations Institute for Training and Research (UNITAR);

(b) Assistance with projections of GHG emissions. CG 11 supported the proposed activity by the secretariat to develop detailed guidelines for projections of GHG emissions, including methods for projections of non-energy-related emissions, energy demand and transportation models, and to organize focused workshops;

(c) Institutional support for policy formulation. CG 11 noted the need for institutional support for the formulation, design, implementation and the evaluation of policies and measures and their effects. The Group also noted the need for the exchange of information about the effects of implemented policies and measures, and the establishment of a good practice database;

(d) Education, training and public awareness. The following concrete needs were identified:

(i) Training on technical issues related to joint implementation and emissions trading;

(ii) Support for the participation of experts from countries with economies in transition in international workshops;

- (iii) Organization of international workshops in countries with economies in transition;
- (iv) Training and certificate programmes;
- (e) Provision of support for the establishment of a regional capacity-building project on a framework for the methodological and institutional issues of emissions trading;
- (f) Research grants and workshops for impact assessment and adaptation.

35. The CG 11 did not provide information to the secretariat on the status of ongoing capacity-building efforts implemented by Annex II Parties and international organizations in countries with economies in transition.

D. Actions taken by Annex II Parties to implement decisions 2/CP.7 and 3/CP.7

36. The European Community reiterated that capacity-building should be regarded as a component of an integrated approach to a national development process to achieve the objective of the Convention and adapt to climate change impacts. It commented that Parties need to pursue coherent and coordinated approaches to climate change in the context of national priorities, for example, sustainable development and poverty eradication.

37. Most of the Annex II Party submissions did not provide specific information about their capacity-building activities related to the implementation of decisions 2/CP.7 and 3/CP.7. References to these activities were made in the third national communications.

38. While several Annex II Parties noted in their submissions and in the third national communications that their capacity-building activities conform with the capacity-building frameworks annexed to decisions 2/CP.7 and 3/CP.7, only a few made specific reference to the priority needs identified in those frameworks.

39. Japan emphasized that private sector resources should be tapped to contribute to capacity-building and that, in this regard, countries should take action to create an environment that is conducive to facilitating private sector investments and funding.

40. Many Annex II Parties drew attention to their capacity-building activities in developing countries and in countries with economies in transition under the section on financial resources and transfer of technology in the third national communications. Information provided by Parties demonstrated that capacity-building activities have been increasing and represent a cross-cutting issue throughout all assistance programmes described by Parties. Parties also referred to the contributions made by them to various international and multilateral organizations for activities that have capacity-building aspects, such as the UNFCCC Trust Fund for Participation. The report is contained in document FCCC/SBI/2003/7/Add.1.

41. Capacity-building projects and programmes implemented by Annex II Parties in the developing countries and countries with economies in transition seem to be responding to almost all of the areas identified in the capacity-building frameworks (decision 2/CP.7, annex, para. 15, and decision 3/CP.7, annex, para. 20). Other areas, such as projections of GHG emissions, GHG registries, and GHG emissions trading, received much less attention.

42. Many Parties described at length specific bilateral initiatives that had been established to assist developing country Parties and those with economies in transition to address various aspects of climate change, for example, the Global Environment Facility of France (FFEM), the Climate Change Studies Assistance Programme of the Netherlands (NCCSAP), the German initiative, Protecting the Future through Climate Protection, and the Climate Change Action Fund of Canada. The United States of

America described three major bilateral initiatives: the United States Initiative on Joint Implementation, the United States Country Studies Programme and the Climate Change Initiative. The European Community drew attention to its numerous programmes of bilateral cooperation in a wide range of sectors relevant to climate change, in support of developing and accession countries.

43. Substantial assistance to developing countries and economies in transition was being provided in the areas of joint implementation and the CDM. Eleven Annex II Parties reported their activities in that regard. Australia, Finland, Italy, Japan, the Netherlands, Norway, Switzerland, the United Kingdom of Great Britain and Northern Ireland, and the United States of America reported their substantial financial support for capacity-building for joint implementation and the CDM. These efforts included project development, awareness-building, development of national CDM strategies, sector studies, training, the CDM and joint implementation methodologies and guidelines, seminars, workshops, and feasibility studies on both joint implementation and the CDM. Such assistance was being provided to more than 90 developing and countries with economies in transition.

44. Twelve Annex II Parties reported their activities in adaptation and vulnerability assessment. Such assistance ranges from disaster-preparedness projects, including weather forecasting, modelling, loss-reduction practices, to the exchange of expertise, and training on building disaster-resistant communities. Assistance was also being provided for coastal zone management programmes aimed at enhancing adaptation capabilities. Some projects evaluated the impacts of climate on agriculture, and the costs of damage and adaptation. Other types of assistance included activities for the strengthening of institutions and research. The scope of assistance varied from small grants to large, multimillion-dollar programmes, and its geographical scope was wide and covered many countries and regions in Africa, Central America, the Caribbean, and Asia and the Pacific.

45. Almost all Annex II Parties provided capacity-building assistance for the transfer of technology. In addition to supporting the Climate Technology Initiative, which provides targeted assistance for the transfer of technology by fostering international cooperation for the accelerated development and diffusion of climate-friendly technologies and practices for all activities and greenhouse gases, Annex II Parties initiated bilateral assistance programmes in this area.

46. The United States of America supported a Technology Cooperation Pilot Project (TCAPP) from 1997 to 2001, which was designed to assist developing countries in defining clean-technology priorities. Several European countries support Asia-Europe environmental technology centres. Japan provides support for capacity-building in the transfer of technology and know-how to developing countries and is supporting 48 projects in 11 countries. Canada provides support for the Technology Early Action Measures (TEAM) project which funds new technology projects, and assisted with the establishment of climate change technology promotion offices in Asia, Latin America and Eastern Europe.

47. Annex II Parties provide assistance with many aspects of technology transfer, including training and demonstration of climate-related technologies, professional exchange and study tours. Many Annex II Parties provide support for projects that promote and demonstrate renewable energy technologies, as well as research and development in this area.

48. Many Annex II Parties include education, training and the exchange of information in all of their capacity-building and technology transfer projects and programmes. Specific efforts with regard to education and training include the establishment of environmental education networks, the development of international course and training programmes, and the provision of financial assistance to students and representatives from developing countries to either pursue education or participate in international meetings on climate change.

49. Australia supports the \$21.3 million-dollar Forestry Human Resource Development project in the Pacific. The project includes workshops and training courses aimed at increasing the capacities of non-Annex I countries to participate in the CDM; 20 countries are represented at workshops and courses.

50. Many Annex II Parties provide financial contributions for the organization of international workshops, in which representatives of developing countries participate. New Zealand sponsored a workshop for the Alliance of Small Island States on climate change. Japan has supported the annual Asia-Pacific seminar on climate change since 1991. Canada supports a climate change knowledge network that brings together 14 organizations from developing, transitional and developed countries. The project promotes research, education and capacity-building on climate change issues.
51. Although GHG inventories, national communications and assistance for participation in international negotiations received less attention from the Annex II Parties than other areas, mainly because they are the key areas for assistance from the GEF and implementing agencies, considerable efforts are still made by several Annex II Parties to provide assistance in that regard.
52. Seven Annex II Parties provided assistance in connection with national communications and GHG inventories to 45 countries in Latin America, Eastern and Central Europe, and Asia.
53. Thirteen Annex II Parties reported on their capacity-building activities in the areas of research and systematic observations, including assistance in climate forecast research and training, air quality monitoring, setting up atmospheric models to study climate change, and exchange programmes. Several Parties support the establishment of technology and research centres in developing countries and LDCs.
54. Many Annex II Parties implement mitigation and capacity-building projects that indirectly evaluate policy measures and their applicability, although only four provided examples of their capacity-building programmes in this area. The United States of America supports strategic planning, policy research and outreach on GHG reductions for transportation in Brazil, China, India and Indonesia. The Netherlands provides support to Hungary and Latvia for the development of climate programmes and conduct of analyses of cost-effective measures. Australia contributed to the Energy Policy and System Analysis project which aims to enhance the capacity of policy makers from South-East Asian nations to assess the impact of a range of policy options and strategies to tackle the economic, technical and environmental problems associated with energy sector activities. Switzerland supports an effort in China to evaluate measures that address sustainable urban development and transportation.

III. CONCLUSIONS

55. Information provided by Annex II Parties in their submissions and national communications demonstrate that resources are being provided to address the capacity-building needs of developing country Parties and those with economies in transition in various priority areas. The information received from Annex II Parties indicates that the number of capacity-building activities has been increasing and that such activities represent a cross-cutting issue throughout all assistance programmes described by Annex II Parties. However, developing countries and Parties with economies in transition reported that assistance provided is still inadequate, and that additional resources are needed to assist them in their capacity-building efforts in priority areas.
56. Many developing country Parties and Parties with economies in transition made specific efforts to prioritize and refine their capacity-building needs. Annex II Parties noted that these efforts were very helpful to them in developing assistance programmes that would address the most critical needs.
57. It was suggested that capacity-building processes should move from needs identification to the actual building of the necessary capacities. The submissions from Parties, national communications and NCSA proposals demonstrate that many developing country Parties and Parties with economies in transition have already identified their general capacity-building needs and priorities.
58. Some countries might still require further identification of their capacity-building needs, and it was noted that assistance from the Annex II Parties would be needed for those efforts.

59. To provide for an opportunity for Parties to discuss their positions and agree on a common approach to capacity-building, several countries suggested that a workshop or meeting of experts be convened prior to the ninth session of the Conference of the Parties.

60. Information provided in the submissions indicates that Parties would welcome progress reports that address both the effectiveness and quantity of capacity-building actions.

61. To facilitate discussion of the comprehensive review process and future submissions on the actions taken by developing country Parties and Parties with economies in transition to identify their specific capacity-building needs, options and priorities, as well as capacity-building activities undertaken by Annex II Parties, the SBI may wish to consider the following:

(a) How frequently should Parties submit reports on their activities related to the implementation of the capacity-building frameworks? Should Parties prepare submissions on a more regular basis?

(b) How can the format of the submissions by Parties be standardized so as to facilitate the compilation and synthesis of the information provided? The SBI may wish to consider the various suggestions by Parties, summarized in the present note as to sources of information and types of activities to be included in the progress reports.
