



Synthesis report for the technical assessment component of the first global stocktake

Abbreviations and acronyms

CMA	Conference of the Parties serving as the meeting of the Parties to the Paris Agreement
COP	Conference of the Parties
ICG	informal coordination group for capacity-building under the Convention and the Paris Agreement
NAP	national adaptation plan
NDC	nationally determined contribution
PCCB	Paris Committee on Capacity-building
SCF	Standing Committee on Finance
TNA	technology needs assessment
UNFCCC	United Nations Framework Convention on Climate Change

I. Introduction

A. Background

1. The Conference of the Parties (COP), at its twenty-first session (November-December 2015), established the PCCB with the aim to address gaps and needs, both current and emerging, in implementing capacity-building in developing country Parties and further enhancing capacity-building efforts, including with regard to coherence and coordination in capacity-building activities under the Convention.¹ The PCCB became operational at its 1st meeting in June 2017.

2. At its twenty-fifth session (December 2019), the COP refined the mandate of the PCCB to focus on the following three priority areas²:

(a) Enhancing coherence and coordination of capacity-building under the Convention with a focus on avoiding duplication of efforts, including through collaboration with bodies under and outside the Convention that engage in activities related to capacity-building, as appropriate and in accordance with their respective mandates;

(b) Identifying capacity gaps and needs, both current and emerging, and recommending ways to address them;

(c) Promoting awareness-raising, knowledge- and information-sharing and stakeholder engagement with bodies and relevant actors under and outside the Convention, as appropriate and in accordance with their respective mandates.

3. The CMA, at its second session (December 2019), decided that the PCCB shall serve the Paris Agreement in accordance with its mandate.³

4. As per Article 14, paragraph 1, of the Paris Agreement, the Conference of the Parties serving as the meeting of the Parties to the Paris Agreement (CMA) periodically takes stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose of the agreement and its long-term goals, in a comprehensive and facilitative manner, considering mitigation, adaptation and the means of implementation and support, and in the light of equity and the best available science.

5. The CMA, at its first session (CMA 1), decided that the first global stocktake of the implementation of the Paris Agreement will consist of the following components⁴:

(a) Information collection and preparation, focusing on gathering, compiling and synthesizing information and preparing for conducting the technical assessment;

(b) Technical assessment, focusing on taking stock of the implementation of the Paris Agreement to assess the collective progress towards achieving the purpose and long-term goals of the Paris Agreement, as well as opportunities for enhanced action and support to achieve its purpose and goals;

(c) Consideration of outputs, focusing on discussing the implications of the findings of the technical assessment with a view to achieving the outcome of the global stocktake of informing Parties in updating and enhancing, in a nationally determined manner, their actions and support, in accordance with relevant provisions of the Paris Agreement, as well as in enhancing international cooperation for climate action.

6. In response to a request by CMA 1,⁵ the Chairs of the subsidiary bodies developed guiding questions for the technical assessment component of the global stocktake,⁶ including the following specific thematic questions on matters related to capacity-building:

¹ Decision 1/CP.21, para. 71.

² Decision 9/CP.25, para. 9.

³ Decision 3/CMA.2, para 3.

⁴ Decision 19/CMA.1, para. 3.

⁵ Decision 19/CMA.1, para. 7.

⁶ Available at: https://unfccc.int/sites/default/files/resource/Draft%20GST1_TA%20Guiding%20Questions.pdf.

(a) What is the state of progress on provision of means of implementation and support and mobilization and provision of support, including the information referred to Article 11, and in particular, to what extent has progress been made on enhancing the capacity of developing country Parties to implement the Paris Agreement?

(b) What are the barriers and challenges, including capacity-building gaps, faced by developing countries?

(c) What are good practices, experience and potential opportunities to enhance climate action, including international cooperation, on mitigation and adaptation and to increase support?

B. Mandate

7. CMA 1 invited relevant constituted bodies and forums and other institutional arrangements under or serving the Paris Agreement and/or the Convention, including the PCCB, to prepare, within its area of expertise, and with the assistance of the secretariat, a synthesis report on the information identified in decision 1/CMA.1, paragraph 36 to serve as an input to the technical assessment component of the global stocktake.⁷

C. Scope of the report

8. At its fifth meeting (June 2021), the PCCB considered a background note⁸ prepared by the secretariat on the synthesis report referred to in paragraph 7 above and requested the secretariat to prepare, under its guidance, an annotated outline of the synthesis report by 15 October 2021.

9. The PCCB considered in the intersessional period the annotated outline of the synthesis report referred to in paragraph 8 above and decided to focus the report on information identified in decision 19/CMA.1, paragraphs 36 (d), (f) and (g) in line with the capacity-building related guiding questions prepared by the Chairs of the subsidiary bodies as outlined in paragraph 6 above, in particular with regard to the following three elements:

(a) Progress made on enhancing the capacity of developing country Parties to implement the Paris Agreement;

(b) Barriers and challenges, including capacity-building gaps, faced by developing countries;

(c) Good practices, experience and potential opportunities to enhance international cooperation on mitigation and adaptation and to increase support under the Paris Agreement.

10. Given that the PCCB does not have a mandate to assess progress on capacity-building under Paris Agreement, in particular with regard to provisions contained in Article 11 of the Paris Agreement, the PCCB decided to focus this report on its own work related to the current state of and progress made in capacity-building (Section II.), barriers and challenges to capacity-building (Section III.) and good practices, experiences and potential opportunities to enhance climate action (Section IV.). Therefore, this synthesis report is based on information contained in technical reports and other documents produced by the PCCB since its operationalization in 2017, in particular:

(a) Annual technical progress reports of the PCCB;

(b) Annual meeting reports of the PCCB;

(c) Technical papers of the PCCB;

(d) Workshop and event summaries of the PCCB;

⁷ Decision 19/CMA.1, para. 24.

⁸ PCCB/2021/3.

- (e) Reports of the informal coordination group for capacity-building under the Convention and the Paris Agreement (ICG);
- (f) Report of the PCCB Network;
- (g) Reports on the Capacity-building Hub.

11. This synthesis report by the PCCB constitutes one out of three distinct inputs on capacity-building to the technical assessment component of the first global stocktake. The other two inputs are contained in the capacity-building sections of the synthesis report on the information identified in decision 19/CMA.1, paragraph 36 (d)⁹ and the synthesis report on the overall effect of Parties' NDCs and overall progress made by Parties towards the implementation of their NDCs, including the information referred to in Article 13, paragraph 7(b), of the Paris Agreement.¹⁰ The three inputs are distinct from one another as they are based on different sources of information. This report is based on documents prepared by the PCCB or in the context of its work. The other two inputs are based on information contained in national reporting by Parties, other constituted bodies under the Convention and/or the Paris Agreement and reports on meetings of the Durban Forum on Capacity-building.

II. Current state of and progress made in capacity-building

12. This section synthesizes information on progress made on enhancing the capacity of developing country Parties to implement the Paris Agreement through activities undertaken by the PCCB. Since its operationalization at its 1st meeting in June 2017, the PCCB has undertaken a broad range of capacity-building-related activities in line with its three priority areas outlined in paragraph 2 above and as reflected in its rolling workplan for the 2017-2020¹¹ period and its current workplan for 2021-2024,¹² in particular with regard to enhancing coherence and coordination of capacity-building (Section II.A.), identifying current and emerging capacity gaps and needs (Section II.B.), promoting awareness-raising, knowledge- and information-sharing and stakeholder engagement (Section II.C), and on cross-cutting issues, including gender responsiveness, human rights, indigenous peoples' knowledge, and youth (Section II.D.).

A. Enhancing coherence and coordination of capacity-building

13. The CMA, in defining the initial institutional arrangements for capacity-building under the Paris Agreement, recognized that capacity-building efforts and activities are conducted by various constituted bodies under the Convention and the Paris Agreement, in line with their respective mandates, as well as by various bodies and actors outside the Convention and the Paris Agreement.¹³ Further, the CMA invited the PCCB to work closely with other constituted bodies under the Convention and the Paris Agreement to address gaps and needs, both current and emerging, in implementing capacity-building in developing countries and to enhance the coherence and coordination of capacity-building in accordance with the relevant mandates and activities of those bodies.¹⁴

14. The PCCB has taken a number of steps to enhance coherence and coordination of capacity-building under the Convention and the Paris Agreement, including through a comprehensive assessment of existing capacity-building related activities of, the facilitation of dialogue among, and the organization of joint activities with, constituted bodies, operating entities of the Financial Mechanism and other relevant bodies and processes serving the Convention and the Paris Agreement. In addition, the PCCB established the informal

⁹ *Forthcoming.*

¹⁰ *Forthcoming.*

¹¹ Available at: https://unfccc.int/sites/default/files/resource/PCCB%20rolling%20workplan_2017-2020.pdf.

¹² Available at:

<https://unfccc.int/sites/default/files/resource/Workplan%20of%20the%20Paris%20Committee%20on%20Capacity%202021-4.pdf>.

¹³ Decision 3/CMA.2, para. 2.

¹⁴ Decision 3/CMA.2, para. 5.

coordination group for capacity-building under the Convention and the Paris Agreement (ICG)¹⁵ to enhance coherence and coordination of capacity-building activities.

15. The PCCB conducted a comprehensive assessment¹⁶ of existing capacity-building related activities of bodies and processes under the Convention and the Paris Agreement and developed recommendations for enhancing coherence and coordination of these activities. The PCCB facilitated roundtable discussion at its annual meetings with the aim to exchange information on capacity-building related activities and discuss ways to better identify and realize potential synergies.¹⁷ These efforts resulted in the establishment of the ICG as dedicated space for participating bodies and entities for initiating and strengthening coordination of their capacity-building related activities. The ICG provides a conducive space for representatives of those bodies, entities and processes to coordinate capacity-building plans and activities and facilitate information-sharing, coherence and identification of opportunities for cooperation. With the support of ICG members, the PCCB established a comprehensive forward-looking overview¹⁸ of current and planned capacity-building activities under the Convention and the Paris Agreement, which is being updated twice a year and serves as a basis for the PCCB's and ICG's coordination efforts.

16. The PCCB also fostered coherent approaches on capacity-building related work of constituted bodies with regard to gender mainstreaming through the organization of a capacity-building workshop that facilitated sharing of experiences and good practices in this regard.¹⁹

17. The PCCB enhanced coherence and coordination of capacity-building under the Convention and the Paris Agreement through the organization or exploration of joint activities with constituted bodies and other relevant bodies and processes. For example, in collaboration²⁰ with the:

(a) Adaptation Committee and Least Developed Countries Expert Group on including gender considerations in adaptation planning and implementation;

(b) Adaptation Fund Board secretariat and the Climate Technology Centre and Network on enhancing readiness and capacity-building for adaptation finance;

(c) Standing Committee on Finance on the possibility of a joint event on the SCF needs determination report²¹ and coordination and collaboration in relation to the SCF Forum in 2019;

(d) Technology Executive Committee on endogenous capacities and technologies;

(e) Warsaw International Mechanism Executive Committee on capacity-building for loss and damage;

(f) Facilitative Working Group of the Local Communities and Indigenous Peoples Platform on the engagement of indigenous peoples' representatives and the inclusion of their knowledge in the capacity-building-related work undertaken by the bodies, entities and processes represented in the ICG.

18. The PCCB also enhanced coherence and coordination of capacity-building under the Convention and the Paris Agreement through its participation in activities undertaken by other bodies and processes under and outside the Convention and the Paris Agreement, including the Capacity-building Initiative for Transparency,²² the Green Climate Fund, the

¹⁵ The ICG is currently comprised of 29 members from 15 entities. The full list of members is available on the ICG website at: <https://unfccc.int/sites/default/files/resource/ICG%20members%202021.pdf>.

¹⁶ Available at:

https://unfccc.int/sites/default/files/resource/20190925_PCCB_TP_COHERENCE_COORDINATION.pdf.

¹⁷ FCCC/SBI/2020/13.

¹⁸ Available at:

https://unfccc.int/sites/default/files/resource/Forward%20looking%20overview_Oct%202021.pdf.

¹⁹ Available at: <https://unfccc.int/sites/default/files/resource/20190716-gender%20workshop%20report.pdf>.

²⁰ FCCC/SBI/2020/13 and FCCC/SBI/2021/10.

²¹ Available at: <https://unfccc.int/topics/climate-finance/workstreams/needs-report>.

²² <https://www.thegef.org/what-we-do/topics/capacity-building-initiative-transparency-cbit>.

Koronivia Joint Work on Agriculture²³ and the structured expert dialogue,²⁴ among others, by informing about its work and promoting coordination and coherence of capacity-building efforts across the work of these bodies and processes.

19. The PCCB has also ensured the thematic alignment and cross-fertilization of work with the Durban Forum on Capacity-building. The Durban Forum was established by the COP, at its seventeenth session, to further enhance the monitoring and review of the effectiveness of capacity-building and to provide a platform for an open, transparent and extensive exchange of experience, good practices and lessons learned on the implementation of capacity-building activities in developing countries.

20. The PCCB reviews and analyzes the summary reports of the meetings of the Durban Forum on Capacity-building and takes findings into account for the preparation of its workplan, activities and reports. The PCCB has also collected information from the Durban Forum on good practices experience and lessons learned related to capacity-building, and disseminated this information, including via the Capacity-building Portal, with the aim of addressing gaps and needs related to implementing capacity-building. In addition, the PCCB has also undertaken specific follow-up actions on the outcomes of the meetings of the Durban Forum, for example the organization of webinars²⁵ and events at the Capacity-building Hub to discuss the topic or selected subtopics of the Durban Forum in more detail.²⁶

21. The PCCB has also contributed to the meetings of the Durban Forum, for example through the provision of technical inputs or the facilitation of discussions and provided recommendations to the COP and the CMA on how information from the Durban Forum can be used by bodies under and outside the Convention and the Paris Agreement.²⁶

B. Identifying capacity gaps and needs

22. The PCCB has undertaken a variety of activities to identify current and emerging capacity gaps and needs of developing country Parties and to recommend ways to address those gaps and needs. Activities in this area include, inter alia, a national-level pilot exercise on capacity gaps and needs related to the implementation of NDCs,²⁷ the development of the PCCB Toolkit to Assess Capacity-building Gaps and Needs to Implement the Paris Agreement,²⁸ and the organization of the Capacity-building Knowledge to Action Days.

23. Leading by example, six members of the PCCB undertook in their respective national and sub-regional capacities a voluntary pilot exercise on assessing capacity gaps and needs related to the implementation NDCs. The participating PCCB members²⁹ gathered information on the matter and submitted their findings to the secretariat. Based on this work, the PCCB published a technical paper that compiles and collates information received from participants in this pilot exercise, complemented with insights gained through desk research and interviews. The paper finds that despite overall progress on building capacity for climate action at the national level, all countries continue to face capacity gaps and needs with respect to the implementation of the adaptation and mitigation components of their NDCs. Specific capacity gaps and needs were identified in relation to adaptation in the areas of agriculture, coastal zone management, disaster risk reduction, energy, health, infrastructure and water resources, as well as mitigation in the areas of agriculture, energy, forestry, transport and

²³ Decision 4/CP.23.

²⁴ <https://unfccc.int/topics/science/workstreams/periodic-review/SED>.

²⁵ Available at:

https://unfccc.int/sites/default/files/resource/Summary_PCCB%2010th%20Durban%20Forum%20Follow-up%20Webinar.pdf.

²⁶ FCCC/SBI/2020/13 and FCCC/SBI/2021/10.

²⁷ Available at:

https://unfccc.int/sites/default/files/resource/PCCB_TP_capacity%20gaps%20and%20needs_NDCs_final.pdf

²⁸ Available at: <https://unfccc.int/process-and-meetings/bodies/constituted-bodies/paris-committee-on-capacity-building-pccb/areas-of-work/capacity-building-portal/pccb-toolkit-to-assess-capacity-building-gaps-and-needs>.

²⁹ The PCCB member from Saint Lucia contributed to this pilot exercise on behalf of the Organisation of Eastern Caribbean States, which includes the following Parties to the UNFCCC: Antigua and Barbuda, Dominica, Grenada, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines.

waste. Common capacity gaps and needs persist on cross-cutting issues such as standardized data generation, collection and analysis; governance and coordination; development of endogenous capacity; access to climate finance; and gender-responsiveness.

24. The PCCB agreed that information deriving from the pilot exercise could feed into the development of a toolkit for the assessment of capacity gaps and need. In 2022, the PCCB Toolkit to Assess Capacity-building Gaps and Needs to Implement the Paris Agreement, was launched by the PCCB as a resource for developing country Parties and other stakeholders engaged in the capacity assessment. Drawing on the expertise of the PCCB and the PCCB Network, the toolkit presents an overview of approaches and tools that support the assessment of various dimensions of capacity needed to address the spectrum of actions required to address climate change. It identifies key points and steps involved in the assessment process from design to evaluation, and is supported by case studies, including links to additional information accessed through the Capacity Building Portal and other online resources.

25. In pursuit of its mission to identify capacity gaps and needs and potential solutions and to foster collaboration among actors at the local, national, and international levels, the PCCB, together with a number of partners, co-designed the Capacity-building Knowledge to Action Days.³⁰ The Capacity-building Knowledge to Action Days brought together a diverse array of stakeholders, including national and local governments, universities, and research organizations to discuss knowledge and institutional barriers, research gaps, and other capacity-building gaps and needs that may weaken the science-policy interface at the national and regional levels. Discussions also touched upon better ways to mobilize local and policy-relevant knowledge in making informed decisions and taking effective action in the face of climate change. Through the exchange of subnational and national-level experiences and knowledge, the Capacity-building Knowledge to Action Days strengthened the engagement of universities and research institutions, in building capacity for the preparation and implementation of national adaptation plans (NAPs) and NDCs.

26. The Capacity-building Knowledge to Action Days have been held as an event series of full-day workshops at the regional level in conjunction with the UNFCCC Regional Climate Weeks in Africa, Asia-Pacific and Latin American and Caribbean as well as during COP 25. Results of the Capacity-building Knowledge to Action Days include, for example, the preparation of mapping studies in various regions and subregions (Eastern and Southern Africa, Southeast Asia and Latin America) to understand what the capacity-building needs and gaps of the private sector, particularly of SMEs, are to engage in climate action.

C. Promoting awareness-raising, knowledge- and information-sharing and stakeholder engagement

27. The PCCB has undertaken a broad range of activities to promote awareness-raising, knowledge- and information-sharing and stakeholder engagement and has institutionalized its work in this area through the establishment of the Capacity-building Hub³¹ and the PCCB Network.³² In addition, the PCCB has engaged in a variety of events, developed and disseminated knowledge products and raised-awareness and shared information through its website, newsletter and social media channels as well as through the Capacity-building Portal.

28. In 2018, the PCCB established the Capacity-building Hub as a space of representation and collaboration for a wide array of stakeholders active in capacity-building related activities. The Capacity-building Hub takes place every year at the margin of meetings of the COP. It brings together the knowledge and experience of policy-makers, technical experts, scholars, civil society and the private sector, fosters the creation and dissemination of knowledge, and embodies the spirit of collaboration within the capacity-building community.

³⁰ Available at: <https://unfccc.int/pccb/capacity-building-knowledge-to-action-days>.

³¹ Available at: <https://unfccc.int/capacity-building-hub>.

³² Available at: <https://unfccc.int/pccb-network>.

The Capacity-building Hub was successfully organized at COP 24,³³ COP 25³⁴ and COP 26³⁵ with thousands of participants taking part in dozens of events and activities organized around a variety of topics and thematic days.

29. In 2020, the PCCB established the PCCB Network to enable a broader engagement of stakeholders in its work. The PCCB Network is open to all public and private entities and initiatives that contribute to climate change capacity-building at the local, national, regional or international levels. With its more than 200 members, the PCCB Network has played an instrumental role in the recent work of the PCCB, particularly with regard promoting awareness-raising, knowledge- and information-sharing and stakeholder engagement. The PCCB Network collects and disseminates capacity-building-related information through regular technical exchange, global and regional meetings and webinars, newsletters, interviews and blog posts and social media engagement.³⁶

30. PCCB knowledge and information products were also widely disseminated via its web page, the Capacity-building Portal and the PCCB Facebook and recently created UNFCCC Capacity-building LinkedIn page. This includes an array of outputs in a variety of formats, from event and meeting documents and surveys to brochures, announcements, news articles, technical videos, interviews and social media campaigns. More than 35 communication outlets operated by some 20 partners were mobilized, primarily under the umbrella of the PCCB Network, to disseminate capacity-building-related updates and information. The total reach of the PCCB through digital means of communication is estimated at one million users per year. In addition, the PCCB used email and periodic newsletters to effectively collect and disseminate capacity-building-related updates and information across its network. A comprehensive overview and assessment of PCCB communications and engagement work can be found in the final review report on the implementation of work under the PCCB strategic plan for stakeholder engagement, communications and resource mobilization.³⁷

31. The work of the PCCB on promoting awareness-raising, knowledge- and information-sharing and stakeholder engagement is guided by its comprehensive communication and stakeholder engagement strategies for the period of its 2021–2024 workplan.³⁸ These strategies supersede the PCCB’s previous strategic plan for stakeholder engagement, communications and resource that previously guided its work in this area.³⁹

D. Cross-cutting issues

32. The PCCB has also undertaken a range of activities on cross-cutting issues, including gender responsiveness, human rights, indigenous peoples’ knowledge, and youth.

33. In response to Article 11, paragraph 2, of the Paris Agreement, which states that capacity-building “should be an effective, iterative process that is participatory, cross-cutting and gender-responsive”, the PCCB developed a gender mainstreaming standard,⁴⁰ which outlines specific methods that the PCCB applies for mainstreaming gender perspectives in all its activities both in terms of its substantive work and in order to achieve gender balance and equal representation. The gender mainstreaming standard of the PCCB is the result of

³³ The 1st Capacity-building Hub: <https://unfccc.int/topics/capacity-building/events-meetings/capacity-building-hub/capacity-building-hub-enhancing-capacity-building-action>.

³⁴ The 2nd Capacity-building Hub: https://unfccc.int/sites/default/files/resource/2nd_CB_Hub_SummaryReport_1.pdf.

³⁵ The 3rd Capacity-building Hub: <https://unfccc.int/sites/default/files/resource/3rd%20CB%20Hub%20Report.pdf>.

³⁶ PCCB Network Annual Report 2020-2021: <https://unfccc.int/sites/default/files/resource/Annual%20Report%20PCCB%20Network.pdf>.

³⁷ Available at: <https://unfccc.int/documents/279256>.

³⁸ PCCB/2020/3.

³⁹ Available at: https://unfccc.int/sites/default/files/resource/20190715-Strategic%20plan%20FINAL%20Version_0.pdf.

⁴⁰ FCCC/SBI/2019/13, annex.

technical process that included the organization of a public webinar⁴¹ and a capacity-building workshop for constituted bodies under the Convention and the Paris Agreement.⁴²

34. The PCCB has also advanced capacity-building for the integration of human rights into climate actions through an online training on climate change and human rights⁴³ and the organization of a technical workshop⁴⁴ and a side event⁴⁵ in collaboration with the Office of the High Commissioner for Human Rights.⁴⁶ The free, self-paced online training, hosted on the One United Nations Climate Change Learning Partnership platform, is targeted at the general public and provides modalities for better understanding, participation and action in relation to climate change as well as human rights challenges and opportunities. It also includes aspects of climate action that is responsive to persons, groups and peoples in vulnerable situations. As at 31 July 2021, 2,666 participants had registered for the course and 590 certificates had been issued.⁴⁷

35. The PCCB has not only organized several events focused on the importance of youth engagement in capacity-building and building the capacity of youth, but also actively engaged youth representatives across its priority areas of work, including for example in the development of the programme for the 3rd Capacity-building Hub.⁴⁸ Youth focused events were part of all Capacity-building Hubs as well as the Capacity-building Knowledge to Action Days.⁴⁹

III. Barriers and challenges to capacity-building

A. Barriers and challenges, including capacity-building gaps, faced by developing countries

36. The PCCB identified various barriers and challenges to capacity-building with regard to the implementation of the Paris Agreement. These barriers and challenges are mainly derived from its work on identifying current and emerging capacity gaps and needs as well as through its analysis of submissions received from Parties and non-Party stakeholders in this context.

37. The PCCB noted that despite overall progress in capacity-building related to climate action at the national level, in developing countries there are still institutional, technical and financial capacity gaps and needs with respect to the implementation of the adaptation and mitigation components of their NDCs. The PCCB highlights that there are significant differences among countries in terms of the scope and scale of those gaps and needs.⁵⁰

38. While some countries prepared their NDCs based on years of prior work on and experience with the development of comprehensive and inclusive national low-emission development strategies or similar processes, other countries crafted their NDCs within a short time frame, mainly relying on external support and without solid sector/subsector specific data and the broad engagement of various stakeholders from the public and private sectors, academia and civil society.⁵¹

⁴¹ Available at: <https://unfccc.int/event/gender-101-webinar>.

⁴² Available at: <https://unfccc.int/sites/default/files/resource/20190716-gender%20workshop%20report.pdf>.

⁴³ Available at: <https://unccellearn.org/course/view.php?id=136&page=overview>.

⁴⁴ Available at: https://unfccc.int/PCCB-OHCHR_workshop.

⁴⁵ Available at: https://unfccc.int/sites/default/files/resource/Summary_Side%20event_PCCB-OHCHR-MRFCJ_7%20Dec.pdf.

⁴⁶ Available at: <https://www.ohchr.org/EN/AboutUs/Pages/WhoWeAre.aspx>.

⁴⁷ FCCC/SBI/2021/10.

⁴⁸ <https://unfccc.int/sites/default/files/resource/3rd%20CB%20Hub%20Report.pdf>.

⁴⁹ FCCC/SBI/2021/10.

⁵⁰ FCCC/SBI/2019/13.

⁵¹ PCCB Technical Paper on Capacity Gaps and Needs:

https://unfccc.int/sites/default/files/resource/PCCB_TP_capacity%20gaps%20and%20needs_NDCs_final.pdf.

39. Key emerging aspects include the importance of building capacity to mainstream climate policy in national development planning across sectors; the pivotal role of institutional arrangements and coordination mechanisms that support the integration of climate and development objectives across ministries and sectors at all levels; the opportunity to foster coherent implementation of NDCs by linking global agendas; the need to build capacity to access financial resources and to track, monitor, evaluate and report progress; and the need for a holistic capacity-building approach that considers both technical and institutional capacity-building and is based on continuity and ownership of capacity-building.⁵²

40. Specific capacity gaps and needs were identified in relation to adaptation in the areas of agriculture, coastal zone management, disaster risk reduction, energy, health, infrastructure and water resources, as well as mitigation in the areas of agriculture, energy, forestry, transport and waste. Common capacity gaps and needs persist on cross-cutting issues such as standardized data generation, collection and analysis; governance and coordination; development of endogenous capacity; access to climate finance; and gender-responsiveness. It was also found that addressing capacity gaps and needs at the national level must go hand-in-hand with addressing similar gaps and needs at the local level, both for public sector entities as well as for non-State actors such as the private sector, civil society, academia, media, religious leaders and young people.⁵¹

41. Within the context of implementing NDCs and national development plans in a coherent manner, the following barriers and challenges to capacity-building were identified⁵³:

(a) A lack of capacity to mainstream climate policy in national development planning across sectors and in partnership with the subnational level, including provinces, countries and local governments and municipal authorities;

(b) A lack of institutional arrangements and coordination mechanisms that support the integration of climate and development objectives across ministries and sectors at all levels;

(c) A lack of ways and means to maintain institutional capacity due to high staff turnover and short-term project-based support;

(d) A lack of capacity to access climate finance due to complicated application procedures and challenging reporting requirements;

(e) A lack of capacity to track, monitor, evaluate and report progress;

(f) A lack of capacity to engage the private sector in NDC implementation.

42. Within the context of building a transparency framework in line with Article 13 of the Paris Agreement, the following barriers and challenges to capacity-building were identified⁵⁴:

(a) Lack and maintenance of institutional arrangements that ensure a regular reliable flow of data, the availability of expertise, tools and systems to manage and report information;

(b) Recruitment, training and support of experts with knowledge of sectoral trends, projections and mitigation and adaptation solutions to collate and review the datasets and produce reports;

(c) Establishment of systems and tools to support experts with regular and continuously improving data gathering, analysis, quality management and reporting;

(d) Translation of data into actionable climate information and tools to inform decision-making and improvement of transparency frameworks;

⁵² FCCC/SBI/2021/10.

⁵³ Summary of group discussions at the PCCB Regional Capacity-building Knowledge to Action Day for the Latin America and Caribbean. Available at: https://unfccc.int/sites/default/files/resource/Summary%20of%20group%20discussions_LAC%20K2A%20Day.pdf.

⁵⁴ Outcome report on the Transparency Day of the 2nd Capacity-building Hub.

(e) Lack of capacity within research institutions and universities and their engagement in data generation and analysis.

43. Within the context of enhancing the science-policy interface, capacity needs were identified, for example, in the following areas⁵⁵:

- (a) Enhancing knowledge management and multi-stakeholder networking;
- (b) Fostering transdisciplinary, collaborative and inclusive research;
- (c) Improving targeting of communication of scientific findings;
- (d) Aligning scientific research with specific data needs for climate action at the local level;
- (e) Strengthening of intermediary actors, such as policy research institutions, to facilitate communication between science and policy.

44. As regards integrating human rights into climate action, some of the identified needs include the following:

- (a) Fostering a better understanding of the impacts of climate change from a human rights perspective;
- (b) Enhancing capacity of national human rights institutions to address linkages between climate change impacts and human rights;
- (c) Ensuring that human rights considerations inform the planning of climate policy and action and identifying and replicating good practices in this regard.

45. As regards youth engagement, some of the capacity barriers to capacity-building identified through the activities of the PCCB include the following⁵⁶:

- (a) Access to funding due to a lack of track-record or fiduciary requirements;
- (b) Access to the education system, including the development of youth-led projects or the engagement in existing projects to mainstream climate action;
- (c) Access to policy processes at the national, regional and international levels.

46. The PCCB is in the process of analyzing the results of a survey sent to ICG members on efforts to address capacity gaps and needs undertaken by bodies and entities and under processes represented in the ICG and by other stakeholders in relevant work areas. Besides seeking general information on efforts to address capacity gaps and needs, the PCCB also sought information on the effectiveness and sustainability of the efforts, their gender-responsiveness and inclusiveness, and good practices, including practices that could be applied by other bodies or entities or under processes represented in the ICG. In addition, ICG members were asked to share recommendations and lessons learned with regard to effectively addressing the capacity gaps and needs of developing countries and other stakeholders, as well as suggestions on how the PCCB could best support their efforts.⁵⁷

B. Barriers and challenges in assessing and reporting on progress in the implementation of capacity-building under the Paris Agreement

47. Assessing and reporting on progress in the implementation of capacity-building under the Paris Agreement requires a thorough understanding of capacity gaps and needs of developing countries. While the COP and CMA assigned the PCCB the priority area to

⁵⁵ PCCB Regional Capacity-building Knowledge to Action Days (2019-2020). Summary Report. Available at: https://unfccc.int/sites/default/files/resource/CBK2A_SummaryReport_0.pdf. and PCCB Follow-Up Webinar to the 10th Durban Forum. Event Summary. Available at: https://unfccc.int/sites/default/files/resource/Summary_PCCB%2010th%20Durban%20Forum%20Follow-up%20Webinar.pdf.

⁵⁶ PCCB Outcome Article on You(th) in Capacity-building. Available at: <https://unfccc.int/sites/default/files/resource/Outcome%20article%20PCCB%20side%20event%20at.%20APCW%20.pdf>

⁵⁷ FCCC/SBI/2021/10.

identify capacity gaps and needs and recommend ways to address them, the activities assigned by the COP and CMA under this priority area limit the scope of the work of the PCCB and do not allow for a comprehensive assessment of capacity gaps and needs of developing countries. Developing country Parties' needs regarding climate technology and finance are regularly and comprehensively assessed and analyzed through technology needs assessments (TNA)⁵⁸ and the determination of the needs of developing country Parties⁵⁹ respectively. Having a similar arrangement with dedicated resources in place for assessing capacity gaps and needs of developing country Parties to implement the Paris Agreement, would facilitate the assessment of progress in the implementation of capacity-building under the Paris Agreement

48. Another challenge in this regard is the absence of focal points on capacity-building at the national level. Parties have established national focal points for climate finance, dealing with the operating entities of the financial mechanism, and for the development and transfer of climate technologies. For example, national determined entities play an important role in the work of the Technology Mechanism, including with regard to the identification of technology gaps and needs through the TNA process and of ways to address those gaps and needs in cooperation with the Climate Technology Centre and Network. The establishment of comparable arrangements for capacity-building could similarly facilitate the reporting of developing countries' capacity gaps and needs and progress in implementing capacity-building at national level to the PCCB and other UNFCCC bodies and processes.

49. As regards assessing and reporting on progress on capacity-building under the Paris Agreement, in particular with regard to the implementation of its Article 11, there appears to be a gap in the current institutional arrangements. Under the Convention, progress on capacity-building is regularly assessed through the review of the implementation of the framework for capacity-building in developing countries established in 2001, which, *inter alia*, defines the scope of capacity-building under the Convention, the specific scope for capacity-building in least developed countries, as well as provisions on implementing the framework, and on financing and reviewing it.⁶⁰ Under the Paris Agreement no framework or similar arrangement was put in place when the initial arrangements for capacity-building were defined by the CMA in 2019.⁶¹ With regard to reporting on capacity-building by Parties, for example through national communications, biennial reports and biennial update reports, this process has so far not been aligned with the provisions on capacity-building in the Paris Agreement. Therefore, information on progress in implementing capacity-building under the Paris Agreement is not comprehensively available. Some information reported on capacity-building under the Convention can be used to make overall assessments on capacity-building under the Paris Agreement,⁶² but specific assessments on progress made regarding the different provisions on capacity-building included in Articles 11.1 to 11.5 of the Paris Agreement are not possible. In addition, there is no process in place to make such an assessment even if restricted to the information available through reporting on capacity-building under the Convention.

IV. Good practices, experiences and potential opportunities to enhance climate action

50. Identifying and sharing good practices, experiences and potential opportunities to enhance climate action through capacity-building is a key function of the PCCB across its three priority areas of work. One major channel for the PCCB to disseminate good practices is through its recommendations to the COP and the CMA as contained in its annual technical progress reports, including on:

⁵⁸ <https://unfccc.int/ttclear/tna>.

⁵⁹ <https://unfccc.int/topics/climate-finance/workstreams/needs-report>.

⁶⁰ Decision 2/CP.7, annex.

⁶¹ Decision 3/CMA.2.

⁶² See the capacity-building section of the forthcoming synthesis report on the information identified in decision 19/CMA.1, paragraph 36 (d), which also serves as input to the technical assessment component of the first global stocktake.

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- (a) Enhancing coherence and coordination of capacity-building and avoiding duplication of efforts;⁶³
 - (b) Potential areas of collaborative work on capacity-building under the Convention and the Paris Agreement;⁶⁴
 - (c) The use of information from the Durban Forum on capacity-building by bodies under and outside the Convention and the Paris Agreement;⁶⁵
 - (d) Capacity gaps and needs related to the implementation of NDCs;⁶⁶
 - (e) Strengthening and retaining capacity at the local and national level;⁶⁷
 - (f) Building capacity to integrate gender into climate action;⁶⁸
 - (g) Building capacity to integrate human rights into climate action;⁶⁹
 - (h) Enhancing the sharing of good practices, experiences and lessons learned related to capacity-building.⁷⁰

51. The PCCB has also identified and shared good practices, experiences and potential opportunities to enhance climate action through capacity-building through the analysis of submissions by Parties and non-Party stakeholders as well as through the identification of case studies as part of the development of knowledge products and events, including in the areas listed in paragraphs 54-57 below.

Integration of climate action into national and sectoral development plans

52. Examples of good practices, experiences and potential opportunities to enhance climate action through capacity-building for increasing coherence between the implementation of NDCs and other national development plans, include⁷¹:

- (a) Mainstreaming NDC targets into socio-economic development plans at the provincial level;⁷²
- (b) Climate-proofing national development plans;⁷³
- (c) Toolbox for aligning adaptation and mitigation actions with the SDGs;⁷⁴
- (d) Aligning NDCs with NAPs;⁷⁵
- (e) Good practice database on climate-resilient low-emission development;⁷⁶
- (f) NDC Funding and Initiatives Navigator for developing country Parties;⁷⁷
- (g) Climate Helpdesk providing technical assistance to developing country Parties;⁷⁸

⁶³ FCCC/SBI/2021/10, paras 73-75 and FCCC/SBI/2019/13, paras 55-56.

⁶⁴ FCCC/SBI/2021/10, paras 77-78.

⁶⁵ FCCC/SBI/2021/10, paras 79-81.

⁶⁶ FCCC/SBI/2019/13, paras 53-54.

⁶⁷ FCCC/SBI/2019/13, paras 57-58.

⁶⁸ FCCC/SBI/2019/13, paras 59-61.

⁶⁹ FCCC/SBI/2019/13, paras 62-64

⁷⁰ See paragraph 58.

⁷¹ Available at: https://unfccc.int/sites/default/files/resource/PCCB5_2021_5_synthesis_focus_area.pdf.

⁷² Available at: <https://ndcpartnership.org/news/vietnam%E2%80%99s-updated-ndc-comprehensive-and-unified-climate-action-pathway>.

⁷³ Available at: <https://www.lb.undp.org/content/lebanon/en/home/library/climate-proofing-lebanon-s-development-plans0.html>.

⁷⁴ Available at: <https://www.adaptationcommunity.net/wp-content/uploads/2020/01/A-New-Narrative-for-Resilient-and-Climate-Smart-Societies.pdf>.

⁷⁵ Available at: <https://napglobalnetwork.org/themes/ndc-nap-linkages>.

⁷⁶ Available at: https://ledsgp.org/knowledge-hub/good-practice-database/?loclang=en_gb.

⁷⁷ Available at: <https://ndcpartnership.org/initiatives-navigator#open-funds-and-initiatives>.

⁷⁸ Available at: https://ledsgp.org/climate-helpdesk/?loclang=en_gb.

- (h) Toolkit for designing transformative development interventions;⁷⁹
- (i) National capacity-building framework, road map, assessment methodology and assessment tools;⁸⁰
- (j) Practical guide for integrating air pollution planning in NDCs;⁸¹
- (k) Policy guide on enhancing NDCs through a transition to sustainable food systems;⁸²
- (l) Guide to formulating long-term climate-resilient development strategies in agriculture;⁸³
- (m) Guide to low-carbon and resilience strategies for the health sector;⁸⁴
- (n) Civil society engagement in the review of NDCs.⁸⁵

Assessing capacity-building gaps and needs

53. The PCCB Toolkit to Assess Capacity-building Gaps and Needs to Implement the Paris Agreement⁸⁶ offers a variety of good practices and experiences from developing country Parties' work in this area, including a:

- (a) Capacity assessment in a national strategy on climate change learning;
- (b) National level capacity-building assessment framework;
- (c) Assessment of reporting capacity to contribute to NDC implementation;
- (d) Assessment of public sector needs for climate finance;
- (e) National capacity self-assessment;
- (f) National mapping of institutional arrangements;
- (g) Integration of the technology needs assessment into the national development process.

Support for NDC preparation and implementation

54. The PCCB hosted a series of events in line with its annual focus areas related to NDCs as well as on cross-cutting issues, at which good practices and experiences with the provision of support for capacity-building for NDC preparation and implementation were presented, including the importance of:

- (a) National ownership, local-buy in, and continuous long-term and demand-driven in-country presence for sustainability of support activities;⁸⁷

⁷⁹ Available at: <https://www.sei.org/publications/designing-transformative-development-interventions>.

⁸⁰ Available at: <https://unfccc.int/sites/default/files/resource/Call%20for%20submissions%20-%20focus%20area%20form%20-%20Indonesia.pdf>.

⁸¹ Available at: <https://www.ccacoalition.org/en/resources/opportunities-increasing-ambition-nationally-determined-contributions-through-integrated>.

⁸² Available at: <https://www.ccacoalition.org/en/resources/enhancing-ndcs-food-systems-recommendations-decision-makers>.

⁸³ Available at: <https://africaledpartnership.org/2020/05/12/upcoming-webinar-formulating-long-term-climate-resilient-development-strategies-for-agriculture>.

⁸⁴ Available at: <https://www.ccacoalition.org/en/resources/climate-smart-healthcare-low-carbon-and-resilience-strategies-health-sector>.

⁸⁵ Available at: <https://www.slycantrust.org/knowledge-resources/policy-brief-civil-society-engagement-in-the-ndc-review-process>.

⁸⁶ Available at: <https://unfccc.int/process-and-meetings/bodies/constituted-bodies/paris-committee-on-capacity-building-pccb/areas-of-work/capacity-building-portal/pccb-toolkit-to-assess-capacity-building-gaps-and-needs>.

⁸⁷ Available at: <https://unfccc.int/sites/default/files/resource/GIZ%20support%20on%20%28I%29NDCs%20and%20I%20essons%20learned.pdf> and

- (b) Integration of human rights, indigenous peoples' and traditional knowledge;⁸⁸
- (c) Internal capacity-building of support providers and development of country- and context-specific approaches for the effective provision of support;⁸⁹
- (d) Support for all national institutions that can operate transparency tools, including academia;⁹⁰
- (e) Coordination among support programmes on country selection and in-country activities;⁹¹
- (f) Global and regional activities as complements for national level support.⁹¹

Benefiting from stakeholder engagement

55. The PCCB, through the organization of the Capacity-building Hub and other events, also identified a number of good practices and experiences with regard to enhancing climate action through benefiting from stakeholder engagement, for example through:

- (a) Ensuring the inclusion of indigenous knowledge in the science-policy interface by gathering information from indigenous communities;⁹²
- (b) Fostering transdisciplinary participatory research;⁹³
- (c) Facilitating the engagement of academia into policy-making via online platforms;⁹³
- (d) Engaging sectoral experts and data providers for the development of a sustained transparency framework;⁹⁴
- (e) Mobilizing leaders from different stakeholder groups and at different levels to become advocates for climate actions within their constituent groups.⁹⁴

Recommendations for enhancing the sharing of good practices, experiences and lessons learned

56. The PCCB did not only identify and share good practices, experiences and lessons learned with regard to capacity-building, but also developed the following recommendations for Parties on enhancing the sharing of such good practices, experiences and lessons learned⁹⁵:

- (a) Support the sharing of experiences from the NDC enhancement process and related capacity-building efforts across different countries;
- (b) Support grass-roots communities and organizations in developing countries, women, youth and indigenous peoples in sharing their experience of tackling climate change with a view to learning from diverse community responses, building local leadership and enhancing collaboration;

<https://unfccc.int/sites/default/files/resource/Reflections%20on%20EU%20capacity%20building%20support.pdf>.

⁸⁸ PCCB/UNHCHR Technical Workshop on Building Capacity for Integrating Human Rights into Climate Action. Summary Report. Available at: https://unfccc.int/sites/default/files/resource/Report_PCCB-OHCHR%202019%20Technical%20Workshop.pdf.

⁸⁹ Available at: https://unfccc.int/sites/default/files/resource/afd_0.pdf.

⁹⁰ Available at:

<https://unfccc.int/sites/default/files/resource/Initiative%20for%20Climate%20Action%20Transparency.pdf>.

⁹¹ Available at:

<https://unfccc.int/sites/default/files/resource/GIZ%20support%20on%20%28I%29NDCs%20and%20lessons%20learned.pdf>.

⁹² Available at:

https://unfccc.int/sites/default/files/resource/Summary_PCCB%2010th%20Durban%20Forum%20Follow-up%20Webinar.pdf.

⁹³ Available at: https://unfccc.int/sites/default/files/resource/CBK2A_SummaryReport_0.pdf.

⁹⁴ Available at: https://unfccc.int/sites/default/files/resource/2nd_CB_Hub_SummaryReport_1.pdf.

⁹⁵ FCCC/SBI/2021/10.

(c) Ensure inclusiveness and innovation in communicating and experience-sharing in terms of both audience and means of communication, accounting for different needs, language barriers and the digital divide;

(d) Identify pioneers and champions and provide space for knowledge to be shared, including learning communities, to capture good practices and lessons learned, shorten learning processes and accelerate change;

(e) Continue participating in global forums for capacity-building, such as the Durban Forum and the Capacity-building Hub, and take part in shaping the dialogues, enriching the outcomes and transferring the information and knowledge for application in their own contexts;

(f) Share good practices, experience and lessons learned with the PCCB for its consideration and further dissemination, including by participating in the PCCB Network and other PCCB activities, responding to PCCB calls for submissions and submitting information via PCCB social media channels and the capacity-building portal.

57. The PCCB will continue to identify and disseminate good practices, experiences and possible opportunities for enhancing climate action through a number of activities included in its 2021-2024 workplan, in particular with regard to views from Parties and non-Party stakeholders on the matter being sought through calls for submissions. In this regard, the PCCB already issued calls for submissions on “existing tools and methodologies for implementing capacity-building activities that enable countries to achieve the long-term goals of the Paris Agreement” as well as on “experience, good practices and lessons learned related to enhancing the ownership of developing countries of building and maintaining capacity”. Findings will be analyzed, synthesized and disseminated in 2022. In addition, the PCCB will issue a call for submissions in 2022 on “experience, best practices and lessons learned regarding improving coherence and coordination of capacity-building“, which will further enrich the PCCB’s insights.⁹⁵

V. Conclusions

58. Since its operationalization in 2017, the PCCB has made significant progress in carrying out its mandate as defined and refined by the COP in 2015 and 2019, respectively, and as extended by the CMA to also serve the implementation of the Paris Agreement in 2019. In line with its three priority areas, as outlined in paragraph 2 above, the PCCB has enhanced coherence and coordination of capacity-building, identified capacity gaps and needs and recommended ways to address them, and promoted awareness-raising, knowledge- and information-sharing and stakeholder engagement.

59. Coherence and coordination of capacity-building under the Convention and the Paris Agreement has been enhanced by moving from information sharing on capacity-building related activities by bodies and processes under and outside the Convention and Paris Agreement to efforts by these bodies and processes to coordinate their work through the ICG. Through its analytical work in line with its annual focus areas, the PCCB has identified both current and emerging capacity gaps and needs of developing countries and has made recommendations to the COP and the CMA in its annual technical progress reports on ways to comprehensively address these gaps and needs. The PCCB has also developed a toolkit to assess capacity-building gaps and needs in developing countries to further guide the work of Parties in this area. Key achievements of the PCCB also include the establishment of the Capacity-building Hub and the PCCB Network, which have made significant contributions to awareness-raising, knowledge- and information-sharing and stakeholder engagement on capacity-building for climate action in general as well as on a number of specific and cross-cutting issues, including human rights, gender, youth and indigenous peoples’ knowledge.

60. In terms of supporting the implementation of capacity-building under the Paris Agreement, the PCCB’s role currently remains limited. In 2019, the CMA adopted a decision on “initial institutional arrangements for capacity-building under the Paris Agreement”,⁹⁶

⁹⁶ Decision 3/CMA.2.

which reconfirmed the mandate, priority areas and activities assigned to the PCCB by the COP, but provided no further guidance as regards the Paris Agreement's provisions on capacity-building, including its Article 11.

61. The PCCB is well placed to support the implementation of the Paris Agreement on matters related to capacity-building, in particular provisions included in Article 11. Further guidance from the CMA on specific activities to be undertaken and prioritized by the PCCB in light of the broad scope of Article 11 and taking into account the PCCB's limited resources, would be desirable. This could greatly advance progress on capacity-building under the Paris Agreement at the global level. It could also enable the PCCB to provide a more comprehensive contribution to the technical assessment component of the second global stocktake in 2027 that may enable Parties to better take stock of progress on Articles 11.1-11.5 of the Paris Agreement and provide them with specific recommendation on how to address persisting challenges.

62. The achievements of institutional arrangements for climate finance and technology under the Paris Agreement have shown the importance of clear implementation arrangements, for example on technology through the technology framework, and the key role that national focal points play as interlinkages between those institutional arrangements under the Paris Agreement and the national level. Compared to institutional arrangements on finance and technology under the Paris Agreement, there is a notable absence of an implementation arrangement for capacity-building. Such an arrangement with complementary functions to the policy functions of the PCCB could help to expedite progress on capacity-building under the Paris Agreement, by supporting developing country efforts to address both policy and implementation aspects of climate capacity-building.

63. Establishing national focal points for capacity-building could also be a means to overcome barriers and challenges in advancing the implementation of capacity-building under the Paris Agreement and enhancing the assessment and reporting of progress. Such focal points could be instrumental in undertaking a comprehensive analysis of capacity gaps and needs and in identifying ways to address those gaps and needs at the national and local levels. Furthermore, the institutionalization of such focal points at the national level would allow the PCCB to systematically disseminate the findings of its work, including its annual recommendations to Parties on how to accelerate progress on capacity-building-related matters under the Convention and the Paris Agreement, to national level stakeholders.