

National-level pilot exercise on capacity gaps and needs related to the implementation of nationally determined contributions



Paris Committee on Capacity-building

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Technical Paper

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Executive summary

This technical paper is the result of a national-level pilot exercise on assessing capacity gaps and needs related to the implementation of nationally determined contributions (NDCs), undertaken voluntarily by six members of the Paris Committee on Capacity-building (PCCB) in their respective countries and regions. The participating PCCB members from Burundi, Dominican Republic, Georgia, Guatemala, Indonesia and Saint Lucia gathered information on the matter and submitted their findings to the UNFCCC secretariat. This technical paper compiles and collates these submissions and complements the national-level assessments of capacity gaps and needs 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 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. The paper concludes with recommendations for consideration by the PCCB based on the results of the national-level pilot exercise and the review of additional information sources.

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1. Introduction

1.1. Background and objectives

1. Capacity-building is fundamental to the implementation of NDCs. Its importance has been recognized in Article 11 of the Paris Agreement, as well as through the promotion of education, training, and public awareness (Article 12), and the establishment of the Capacity-building Initiative for Transparency¹ (CBIT) (Article 13).
2. The PCCB aims 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 UNFCCC.² The PCCB decided to focus its work on capacity-building activities supporting the implementation of NDCs between the years of 2017 to 2019.
3. In May 2018, at its second meeting, the PCCB decided to undertake within its rolling workplan for 2017–2019³ a national-level pilot exercise on assessing capacity gaps and needs related to the implementation of NDCs (hereinafter the “pilot exercise”). For this purpose, the PCCB invited its members, on a voluntary basis, to gather and share information on capacity gaps and needs related to NDC implementation in their respective countries. Six of the twelve PCCB members⁴ volunteered to undertake such work in their respective countries and regions, namely PCCB members from Burundi, the Dominican Republic, Georgia, Guatemala and Indonesia, as well as Saint Lucia on behalf of the members of the Organisation of Eastern Caribbean States.⁵
4. This technical paper compiles and collates the findings of the pilot exercise in order to inform the PCCB’s work in this area, and to serve as a basis for the possible development of recommendations by the PCCB to the Conference of the Parties (COP) on how to address the identified capacity gaps and needs and promote a comprehensive implementation of NDCs.⁶ The paper is prepared for consideration by the PCCB at its third meeting, which is to be held in Bonn, Germany from 20 to 22 June 2019 in conjunction with the 50th session of the Subsidiary Body for Implementation.

1.2. Scope and methodology

5. The technical paper includes information on capacity gaps and needs in countries of PCCB members participating in the pilot exercise as well as related good practices. In line with the concept note⁷ for the pilot exercise and subsequent discussions among PCCB members, it was agreed that PCCB members participating in the pilot exercise should reach out to key stakeholders involved in NDC implementation in their respective countries to gather comprehensive information on NDC-related capacity gaps and needs, including information on institutional, technical, relational and

¹ <http://www.thegef.org/topics/capacity-building-initiative-transparency-cbit>

² Decision 1/CP.21, paragraph 71.

³ https://unfccc.int/sites/default/files/pccb_rolling_workplan.pdf

⁴ The PCCB is composed of twelve members nominated by Parties and elected by the COP for a term of two years. Two members are nominated from each of the five United Nations regional groups, one member from the least developed countries, and one member from the small island developing States. All members serve in their personal capacity. See decision 2/CP.22, Annex, paragraphs 2, 4 and 5.

⁵ 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.

⁶ FCCC/SBI/2018/15, Annex II.

⁷ Ibid.

strategic capacity gaps and needs, as well as corresponding capacity-building needs. The PCCB further agreed to identify good practices and lessons learned with regard to addressing capacity gaps and needs as part of this pilot exercise.

6. This technical paper is based on the information contained in submissions prepared by PCCB members on the results of their national-level pilot exercises undertaken from September 2018 to March 2019, as well as on responses to semi-structured interviews conducted with those PCCB members in April 2019.⁸ The findings are supported by insights from the review and analysis of official documents from countries of participating PCCB members and other countries, including national communications, biennial update reports and other national documents as well as submissions to the PCCB, contributions to the Durban Forum on Capacity-building, and the entries pertaining to those countries on the UNFCCC capacity-building portal and in the NDC Partnership Good Practice Database. Information shared by bilateral and multilateral capacity-building providers has also been included in this paper.
7. The paper is divided into three chapters: (a) the introduction; (b) chapter 2 which presents the findings of the pilot exercise and the review of additional information sources; and (c) chapter 3 which sets out recommendations in respect of possible next steps for consideration by the PCCB. More specifically, chapter 2 provides an overview of each finding before outlining specific capacity gaps and needs identified in separate subchapters on adaptation, mitigation and cross-cutting issues. Good practices from the countries of PCCB members participating in the pilot exercise are also included at the end of each subchapter.

2. Capacity gaps and needs

2.1. Overall findings

8. The results of the pilot exercise undertaken by the six PCCB members reveal that despite overall progress on capacity-building related to climate action at the national level, all countries continue to face institutional, technical and financial capacity gaps and needs with respect to the implementation of the adaptation and mitigation components of their NDCs. However, there are significant differences between countries in terms of the scope and scale of those capacity gaps and needs. These differences are apparent from the outset of the NDC development process. 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.
9. 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

⁸ Five of the six PCCB members participating in the pilot exercise agreed to take part in a semi-structured interview in April 2019.

actors such as the private sector, civil society, academia, media, religious leaders and young people. Some PCCB members highlighted that further capacity gaps and needs for the implementation of their country's NDC could be identified, if more resources were available for this purpose.⁹

2.2. Specific findings

2.2.1. Adaptation

10. Specific capacity gaps and needs for implementing adaptation components of NDCs were highlighted in the areas of agriculture, coastal zone management, disaster risk reduction, energy, health, infrastructure and water resources, as detailed below:
11. Agriculture
 - Introducing irrigation technologies, including the development and improvement of irrigation systems through drip irrigation and rainwater harvesting;
 - Combating soil erosion, including through the stabilization of river banks and phytomelioration;
 - Processing and conserving agricultural products;
 - Researching and applying climate-resilient crop varieties and production methods.
12. Coastal zone management
 - Responding to the impacts of sea level rise by creating artificial underwater reefs and ensuring beach nourishment.
13. Disaster risk reduction
 - Fostering education, training and public awareness of climate risks and adaptation technologies;
 - Strengthening disaster preparedness programmes and early warning systems.
14. Energy
 - Developing climate-resilient energy systems.
15. Health
 - Strengthening the capacity of national health system institutions in responding to and managing long-term climate change-sensitive health risks.
16. Infrastructure
 - Climate-proofing infrastructure and housing.
17. Water resources
 - Designing and maintaining systems for increased and sustainable access to fresh water resources;
 - Enhancing knowledge on surface and groundwater management and water distribution and network efficiency.

⁹ The Green Climate Fund (GCF) will launch its revised Readiness and Preparatory Support Programme in June 2019, under which developing countries will be able to undertake capacity gaps and needs assessments at the national level as part of the preparation of a three-year readiness programme.

Good practices

The Transboundary Agro-ecosystem Management Project for the Kagera River Basin¹⁰ enables **Burundi**, Rwanda, Tanzania and Uganda to adopt an integrated ecosystem approach for the management of land resources and restoration of degraded lands, while improving agricultural production, rural livelihoods and food security. The project also informs policymaking, planning and budgetary allocations at the district and transboundary levels and established a baseline for more integrated landscape management approaches. A comparison of maps showing degradation and sustainable land management effectiveness allows decision makers to identify areas requiring interventions, select good practices that can be scaled up, and choose additional sustainable land management measures that are needed to address specific degradation problems.¹¹

The Green Forest Borders programme¹² is a community-based adaptation programme in **Guatemala** that provides training and resources to local communities so as to reduce their vulnerability to climate change. Under the programme, communities develop an action plan for forest restoration to reduce landslides, protect and stabilize water sources, and establish agro-forest regions. This includes, for example, the building of seedling tree nurseries for reforestation, organic compost facilities, soil conservation structures, and training in low-emission climate resilient agriculture.¹³

2.2.2. Mitigation

18. Specific capacity gaps and needs for implementing the mitigation components of NDCs were highlighted in the areas of agriculture, energy, forestry, transport and waste, as detailed below:

19. Agriculture

- Promoting the generation and use of biogas as a substitute for wood;
- Producing biofertilizer as a substitute for chemical fertilizers.

20. Energy

- Fostering an enabling environment for the development and use of renewable energy technologies and energy-efficient appliances, including local value chains;
- Building the capacity of the private sector in relation to energy efficiency;
- Developing the technical capacity to manufacture energy-efficient cook stoves;
- Introducing standards for energy-efficient buildings.

21. Forestry

- Expanding sustainable forest management and reforestation efforts;
- Reducing deforestation, including through building capacity for forest fire control;
- Strengthening degraded land rehabilitation and peat restoration;
- Designing and setting up a national REDD monitoring, reporting and verification mechanism.

22. Transport

- Developing a nationally appropriate mitigation action for the transport sector;
- Introducing more efficient vehicles and improving and expanding public transportation.

23. Waste

- Building capacity for waste collection, transportation and treatment.

¹⁰ <http://www.fao.org/in-action/kagera/home/en>

¹¹ <http://www.fao.org/3/a-i3817e.pdf>

¹² <http://www.adaptationlearning.net/project/cba-guatemala-adapting-climate-change-through-application-green-forest-borders-odich>

¹³ <http://ndcpartnership.org/content/cba-guatemala-adapting-climate-change-through-application-green-forest-borders>

Good practices

The **Dominican Republic** identified waste and cement as sectors in which substantial reductions in greenhouse gas (GHG) emissions could be achieved, in particular when suitable waste was used as an energy source for cement production. In cooperation with the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ), the Dominican Republic took a comprehensive approach towards realizing this potential by establishing a multi-stakeholder inter-institutional dialogue platform that led to the development and implementation of a legal framework and administrative procedures that cover the use of waste as an energy source in line with international standards. Models for inclusive supply chains of alternative fuels and raw materials to be used in the production of cement from municipal and industrial waste were developed and are being applied on a national and regional basis.¹⁴

Indonesia is partnering with GIZ to strengthen its sustainable forest management capacity, including on forest fire control, to reduce GHG emissions from the forestry sector and better the livelihoods and capacities of people living in and around forests. The project includes the development of a national and subnational policy framework, the establishment and development of a dedicated forest management unit and capacity-building activities at the national and subnational levels.¹⁵

2.2.3. Cross-cutting issues

Standardized data generation, collection and analysis

24. The pilot exercise revealed that despite progress made in some areas, overall all countries continue to face capacity gaps and needs regarding the generation, collection, analysis and standardization of quality data related to both climate change adaptation and mitigation. This prevents the creation of a solid knowledge base for determining appropriate and targeted adaptation and mitigation actions. It also hinders comprehensive measuring, reporting and verification of the impacts of such actions as well as of the financial, technology and capacity-building support received from developed countries through bilateral or multilateral channels. Having the capacity to generate, collect and analyse standardized data is a prerequisite for devising and, if needed, adjusting specific policies and actions to achieve the adaptation and mitigation components of a country's NDC, as well as for accessing and efficiently and effectively using support from international sources.
25. In some countries, this seems to mainly apply to capacity gaps in generating or collecting data on GHG emissions from the forestry, energy and transport sectors, in particular with regard to sectorial ministries that are not in charge of climate change issues. In other countries, capacity gaps were also highlighted in respect of generating or analysing the data on climate-related impacts required for developing and interpreting the climate scenarios and making informed decisions about climate risks, vulnerability, and resilience.
26. Capacity gaps in these areas persist at the systemic, institutional and individual levels. At the systemic level, there is often a lack of legal frameworks ensure the coordination and standardization of data generation and collection among different stakeholders across different sectors both at and between the national and local levels. At the institutional level, there is a frequent absence of formal methods for the regular and standardized collection and storage of data as well as technical means, such as software applications, for using available data for monitoring and forecasting purposes. And at the individual level, technical capacity gaps with regard to data recording and analysis were highlighted. While on the one hand these challenges are exacerbated through increased responsibilities and reporting requirements under the Paris Agreement, on the other hand the regular update of NDCs every five years can become a driver for change in this area that the often still erratic preparation of national communications and biennial update report could not unleash.

¹⁴ <https://www.giz.de/en/worldwide/37022.html>

¹⁵ <https://www.giz.de/en/worldwide/16728.html>

Good practices

Antigua and Barbuda is utilizing CBIT¹⁶ to move away from climate change data collection, monitoring, reporting and verification on a project-by-project basis through the establishment of a permanent national registry that will support the monitoring of NDC implementation and tracking of climate change impacts as well as institutionalize the national transparency framework across sectors. This includes the development of regulations, procedures and guidelines for monitoring, reporting and verifying climate change data as well as training for government agencies, the private sector and civil society on appropriate and efficient data contribution.¹⁷ The Dominican Republic is undertaking a similar CBIT project to strengthen its institutional arrangements and technical and technological capacities of line Ministries for mitigation data collection, monitoring, reporting and verification. This will include the development of a legal instrument to coordinate NDC information flows for tracking implementation progress; a long-term capacity-building strategy through institutional arrangements with academia; training on and equipment for standardized data collection, monitoring, reporting and verification; and public consultations on clarifying NDC information and tracking implementation progress.¹⁸

Guatemala created the **National Information System on Climate Change**, which requires all public and private entities to provide climate change related information, in particular with regard to GHG emissions, vulnerability and adaptation actions, directly to the ministry responsible for climate change. To support this process, the Ministry of Economy and the National Norms Commission adopted the ISO 14064 standards to provide the public and private sector with standardized tools for developing their GHG inventories. Furthermore, **Guatemala** established a **National System for Climate Change Science**, which includes a consortium of universities, research institutions, and government agencies that works together to analyze current trends in climate action planning and in generating country-specific climate data and science that can feed into broader policy actions.

Indonesia designed its **One Data policy**¹⁹ to improve internal government data governance practices by providing a regulatory framework concerning organizational structure, including the roles, tasks, and responsibilities of each key stakeholder. The policy also specifies mechanisms to ensure the preparation, collection, and/or processing of data that meets data standards, the application of metadata according to the standard format, and dissemination of data according to the principles of data interoperability. **Indonesia** also developed the **National Registry System for Climate Change**²⁰ as a central web-based platform for collecting data on climate action and resources received and used in this regard at the local and national level from both public and private sector entities. The data collected through the registry is validated and verified and feeds into the preparation of National Communications and Biennial Update Reports. The registry also aims to foster public access to information on climate action by making its data sets openly available and easily searchable by type of action, sector and geographic area.

Governance and coordination

27. The implementation of a NDC requires entails its integration into various sectoral policies, programmes and budgeting, and therefore requires strong coordination efforts between and within relevant ministries and other government entities at both the national and local levels. Most of the countries do not have the systemic and institutional capacities to fully address this challenge. Only one of the countries of the PCCB members participating in this pilot exercise has the systemic capacity in terms of laws and regulations and a permanent institution led by the Head of State in place that effectively ensures interministerial coordination across all sectors. Some of the other countries have also adopted climate change laws and regulations and have

¹⁶ With the adoption of the Paris Agreement in 2015, the COP established the CBIT to build institutional and technical capacity, both pre- and post-2020 that will support developing country Parties, upon request, to meet enhanced transparency requirements under the Paris Agreement in a timely manner. At the same time, the COP requested the Global Environment Facility (GEF) to make arrangements to support the establishment and operation of the CBIT. See Decision 1/CP.21, paragraphs 84 to 86.

¹⁷ https://www.thegef.org/sites/default/files/project_documents/CBIT_Antigua_and_Barbuda_PIF_07March18.pdf

¹⁸ https://www.thegef.org/sites/default/files/project_documents/CBIT_DOMINICAN_REP_PIF_21May2018.pdf

¹⁹ <https://data.go.id>

²⁰ <http://ditjenppi.menlhk.go.id/srn>

interministerial committees of different kinds, some operating on an ad hoc basis, others being tied to specific projects (e.g. the development of a low-emission development strategy), but none of them being coordinated at the highest political level. In most cases the ministry in charge of climate change lacks the capacity to coordinate various relevant government entities and to facilitate the integration of the NDCs across different sectors. This challenge also exists in most cases with regard to coordination between the national and subnational levels.

Good practices

In 2008, the **Dominican Republic** established its **National Council for Climate Change** and Clean Development Mechanism under the leadership of its President with the objective of streamlining efforts across ministries and other government entities dealing with climate change. The Council also serves as a link between the public and the private sectors and civil society, with the responsibility to formulate, design and develop adaptation and mitigation policies. This decade-long successful experience with a centralized body coordinating climate action offers an insightful approach to national-level climate governance. The Dominican Republic has also exchanged experiences on centralized governance approaches for NDC mainstreaming, for example with Honduras through a peer-to-peer learning exercise facilitated by the NDC Partnership. The exercise contributed to the setting up of the Honduras Presidential Office for Climate Change.²¹

In 2011, **Grenada** brought its government agencies together to create a Strategic Programme for Climate Resilience,²² which is the country's first institutional framework that helps to mainstream climate change, and coordinate and communicate information and efforts in several focus areas: disaster vulnerability and climate risk reduction; water resource assessment and management; coastal management; forest rehabilitation; and improvement in data usage. Buy-in was ensured through the extensive participatory stakeholder consultations held over several years on all three islands to first develop smaller projects that subsequently fed into the programme. These consultations involved representatives from government, statutory bodies, the private sector, academic institutions, youth and student groups, farmers' organizations and the general public. The programme is coordinated by a specialized project coordination unit within the Ministry of Finance, Planning, Economy, Energy and Cooperatives that is responsible for implementation, monitoring and reporting. The unit is advised by the National Climate Change Committee and supported by the Ministry of Environment, Foreign Trade and Export Development, as well as several other ministries with technical expertise in relevant sectors, such as the National Water and Sewage Authority and the Ministries of Works, Education, Health and Physical Planning.²³

Development of endogenous capacity

28. Putting in place and retaining sufficient systemic, institutional and individual capacities to ensure the successful implementation of a NDC requires the development of endogenous capacity, namely capacity that is locally or nationally owned and independent from international support. Most countries lack strategic approaches or national strategies on holistic and long-term capacity-building. However, at the project level, some PCCB members observed a positive trend towards a reduced reliance on international consultants or a more strategic use of international expertise through working arrangements where international experts work as peers with their local counterparts.²⁴

²¹ http://www.ndcpartnership.report/wp-content/uploads/2018/12/PiA_2018_MOBILIZING-CLIMATE-ACTION.pdf

²² <http://ndcpartnership.org/content/strengthening-climate-resilience-case-grenada>

²³ https://cdkn.org/wp-content/uploads/2012/06/Grenada-Inside_Story_6pp_final_low-res1.pdf

²⁴ Multilateral capacity-building providers, such as the GCF and the United Nations Development Programme (UNDP) are limiting the use of international consultants in their projects and have made efforts to ensure that such consultants are from within the respective geographic region or include requirements for such consultants to work in partnership with local consultants.

Good practices

In 2012, the Vice-President of the **Dominican Republic** launched the **National Strategy to Strengthen Human Resources and Skills to Advance Green, Low-Emission and Climate Resilient Development**²⁵, developed with support from the One UN Climate Change Learning Partnership (UN CC:Learn), to create an education system and implement public policies that generate institutional capacities and human resources to address the challenges of climate change adaptation and mitigation. The strategy is directly linked to the country's national development strategy and integrates climate change issues into the education and training programmes for the agriculture, energy, forestry, tourism and water sectors. The strategy is implemented through a national implementation platform, which facilitates the mobilization of resources, coordinates the implementation of priority actions, and fosters the regular dissemination of information and learning materials among key partners.

Indonesia also developed a **National Climate Change Learning Strategy**²⁶ in partnership with UN CC:Learn that was launched by the President of Indonesia's Special Envoy for Climate Change in 2013. The strategy focuses on three major fields of activity: building personal and institutional capacity to address climate change; integrating climate change into the national education system; and improving awareness and knowledge of climate change. The strategy is also part of the policies and programmes of sectors and institutions relevant to the priority areas in the National Action Plan on Climate Change Adaptation and the National Action Plan on GHG Emission Reduction.

Access to climate finance

29. Some PCCB members highlighted in their findings from the pilot exercise that there continues to be capacity gaps at the institutional and individual levels regarding the development of project proposals for accessing different sources of climate finance, in particular adaptation finance.

Good practice

In 2017, the **Organisation of Eastern Caribbean States Commission and Saint Lucia** established the **NDC Finance Initiative for the Caribbean**²⁷ with the support of UNFCCC, under the auspices of the NDC Partnership, and with initial funding from the GIZ. The initiative aims to catalyse NDC implementation by unlocking low-emission climate-resilient investment opportunities through a regional approach that combines projects to create economies of scale. Countries jointly decided on focus areas based on the commonalities of their NDCs and then mapped out key capacity needs through dedicated working groups on energy, water and critical infrastructure. The initiative also serves as a regional mechanism that helps to address capacity gaps of individual countries regarding project proposal development and project management by pooling existing capacities of the region through, for example, the engagement of the Finance Catalyst of GET.invest,²⁸ and training for the preparation and management of climate change projects through the online platform SOURCE.²⁹

Gender-responsiveness

30. Most of the countries of PCCB members participating in the pilot exercise highlighted in their NDCs the importance of gender equality and gender-responsive policies and programmes for effective climate action. In some countries, specific capacity gaps and needs were identified with regard to ensuring that NDCs were implemented and updated in a way that is gender-responsive.

²⁵ https://www.unclearn.org/sites/default/files/estrategia_nacional_para_fortalecer_los_recursos_humanos_republica_dominicana_08_2012.pdf. See also "Guidance Note For Developing a National Climate Change Learning Strategy", available at: https://www.unclearn.org/sites/default/files/inventory/guidance_note_-_eng.pdf.

²⁶ https://www.unclearn.org/sites/default/files/national_cc_learning_strategy_indonesia_aug_2013.pdf

²⁷ The website of the Caribbean NDC Finance Initiative was under development at the time of preparing this technical paper.

²⁸ www.get-invest.eu/finance-catalyst

²⁹ www.sif-source.org

Good practice

Cambodia has shown how gender-responsive actions implemented in a project can be systematically translated into sub-national and national planning processes and policymaking. For the development of its National Adaptation Programme of Action, Cambodia received support from UNDP, including on the identification of specific gender concerns and gender mainstreaming entry points, capacity-building workshops on the concepts of gender and gender mainstreaming, and the preparation of gender action plans.³⁰ Once the results were visible, Cambodia systematically integrated the lessons and approaches from the project into local policy planning through capacity-building of 1,489 local authorities and villagers on climate risks, including the linkage between gender and climate change and by involving them in gender-sensitive vulnerability reduction assessments. The newly built capacities of local authorities then played a significant role in mainstreaming gender at district and provincial levels. By raising awareness on gender and climate change through documenting and sharing lessons learned and good practices from those sub-national levels, gender-responsive approaches then became part of Cambodia's national climate change strategy and action plan.³¹

Guatemala is working with the UNDP NDC Support Programme³² to ensure a gender-responsive NDC implementation that fosters gender equality, including through improving institutional coordination among the 13 government agencies involved in delivering the country's environment and gender policy. A gender and climate change diploma course was held in 2018 for officials involved in climate change to contribute to capacity-building efforts in this context. Next steps include a gender analysis of policies, strategies and plans relevant for the implementation of the NDC, followed by the identification of concrete actions to address gaps and needs in this context.

3. Recommendations

31. The following recommendations were prepared for consideration by the PCCB as potential input for recommendations to the COP based on the findings of this technical paper and taking into account the relevant key messages from previous meetings of the Durban Forum on Capacity-building.
 - a. The COP may wish to consider inviting Parties in a position to do so, intergovernmental and non-governmental organizations as well as the operating entities of the Financial Mechanism and the Technology Mechanism to support developing countries in undertaking the assessment of their capacity gaps and needs with regard to the full implementation of their current NDCs and the development of new or updated NDCs by 2020.
 - b. The COP may wish to request the PCCB to:
 - i. Continue its work on collecting and sharing experiences, good practices and lessons learned from a national level assessment of capacity gaps and needs related to climate action;
 - ii. Develop a toolkit to guide a national level assessment of capacity gaps and needs relating to the implementation of the Paris Agreement, taking into account lessons learned from national capacity needs assessments conducted

³⁰ UNDP has developed a capacity-building package to support policy-makers with the promotion gender equality across all levels of climate change policy and programming and to provide them with the necessary tools to do so, available at: <https://www.undp.org/content/dam/undp/library/gender/Gender%20and%20Environment/Mainstreaming%20Gender%20in%20Mitigation%20FNL2.pdf>.

³¹ Further information on Cambodia's work in this area is included as a case study in the UNDP capacity-building package referred to in footnote 30.

³² <https://www.ndcs.undp.org/content/ndc-support-programme/en/home.html>

- with support from the GEF,³³ activities under the Readiness and Preparatory Support Programme of the GCF,³⁴ and other relevant initiatives;³⁵
- iii. Prepare and regularly update an overview of existing capacity-building programmes and other sources of support to developing countries in building their capacity for the implementation of the Paris Agreement, as well as to collect and share experiences and lessons learned of developing countries that have made use of the aforementioned support;
 - iv. Analyse the governance and coordination structures for the development and implementation of NDCs and national adaptation plans in place in all developing countries and identify good practices in this regard, including detailed information on the associated processes of building systemic, institutional and individual capacities that led to the good practice, as practical references for all developing countries;
32. Furthermore, the PCCB may wish to take into account the draft toolkit for the assessment of capacity gaps and needs provided by the PCCB member from Indonesia in the context of the pilot exercise as included in Annex I to this paper when considering possible next steps on the development of a toolkit to guide a national level assessment of capacity gaps and needs relating to the implementation of the Paris Agreement.

³³ From 2003 to 2009, national capacity needs assessments funded by the GEF were undertaken in 146 developing countries. See “National Capacity Self-Assessments Results and Lessons Learned for Global Environmental Sustainability” available at: https://www.thegef.org/sites/default/files/publications/NCSA-SR-web-100913_2.pdf. See also the “Resource Kit” developed in the context of these national capacity self-assessments available at: <https://www.cbd.int/doc/pa/tools/National%20Capacity%20Self%20Assessment.pdf>

³⁴ <https://www.greenclimate.fund/gcf101/empowering-countries/readiness-support>

³⁵ See the draft toolkit for the assessment of capacity gaps and needs proposed by the PCCB member from Indonesia, as contained in Annex I to this document. Further useful references in this context include, the UNDP framework for a capacity needs assessment with regard to the development of low-emission development strategies, nationally appropriate mitigation actions and GHG inventories developed with the Government of Bhutan and the more generic UNDP template for the assessment of capacities of relevant institutions and ministries to take forward policy outcomes, available at: http://www.undpcc.org/docs/Project%20Documents/Capacity%20assessment%20and%20learning%20template/Capacity%20Assessment%20template_english.pdf.

Annex I: Draft toolkit for the assessment of capacity gaps and needs

In the concept note for the pilot exercise³⁶ the PCCB agreed that information deriving from this exercise could feed into the development of a toolkit for the assessment of capacity gaps and needs. A draft logical framework and methodology for as well as the potential scope of work of such a toolkit were proposed by the PCCB member from Indonesia, in the context of the pilot exercise, and are included here for easy reference and potential further consideration by the PCCB.

Logical framework

The proposed logical framework for a capacity gaps and needs assessment is outlined below and shown in Figure 1:

- Issues on mitigation and adaptation capacity and implementation of capacity-building activities within pre-2020 national commitment were identified through the implementation of the National Action Plan for Greenhouse Gas Reduction and the National Action Plan for Climate Change Adaptation.
- Indonesia's first NDC as a post-2020 national commitment provides the foundation to construct capacity-building issues in the context of NDC implementation.
- National circumstances, priorities, and institutional arrangements become the basis to formulate country-driven issues, in order to ensure that capacity-building activities will be appropriate to Indonesia's conditions and needs.
- Capacity gaps are identified by comparing the expected capacity with the existing capacity. The expected capacity is derived from challenges and targets of

Figure 1-Logical framework for a capacity gaps and needs assessment

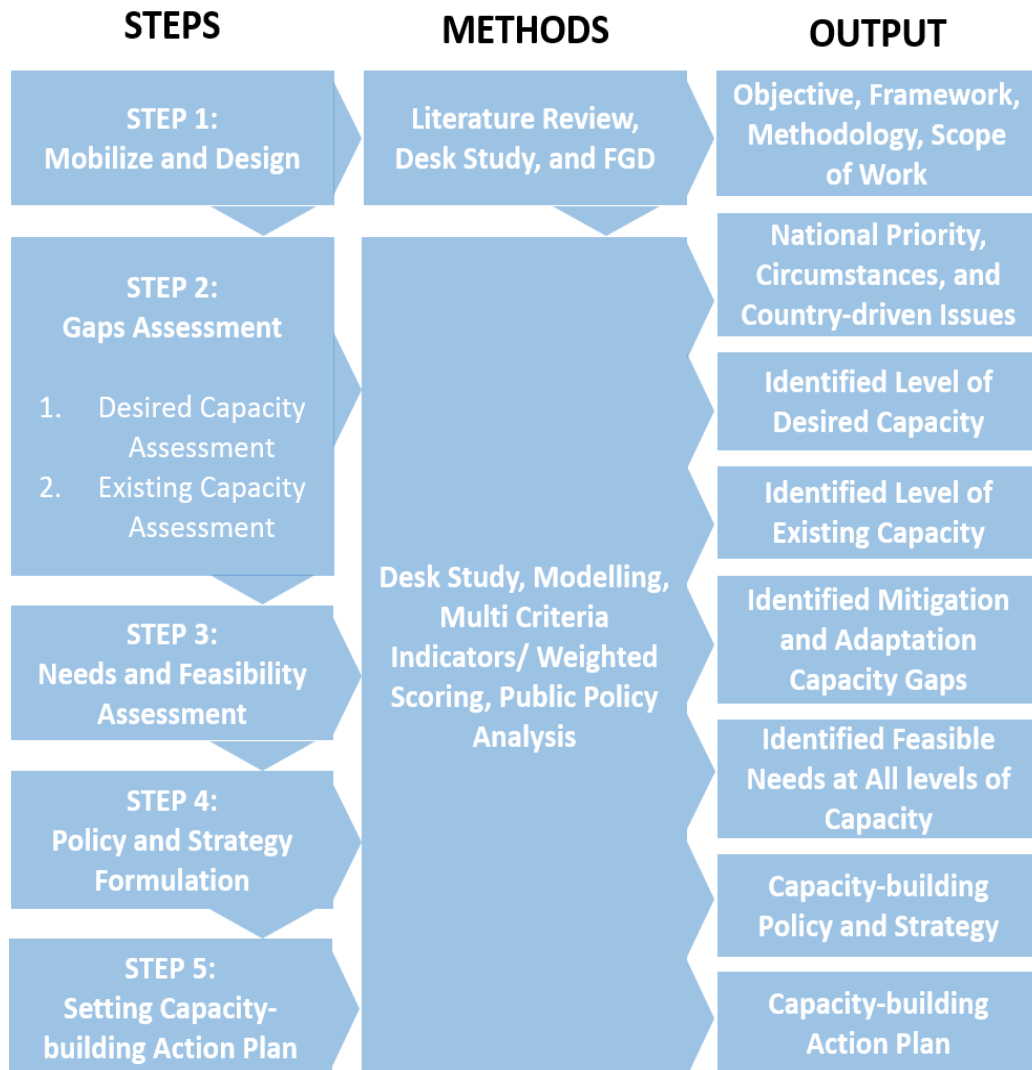


³⁶ FCCC/SBI/2018/15, Annex II, paragraph 6.

mitigation and adaptation, while the existing capacity is identified from mitigation and adaptation implementation.

- e. The capacity gaps provide the basis to analyze the capacity-building needs, including technology needs.
- f. The feasibility of meeting capacity-building and technology needs should be considered as part of the assessment.
- g. The result of the gaps and needs assessment should be taken as a basis to formulate capacity-building policies and strategies, and finally to develop a capacity-building action plan.

Figure 2-Methodology for a capacity gaps and needs assessment



Methodology

The capacity gaps and needs assessment is to be undertaken in five stages:

- 1) Resource mobilization and assessment design: Mobilizing resources, such as funding and expertise and developing an assessment design in form of a work plan that covers objectives, framework, methodology, and the scope of work.
- 2) Capacity gaps assessment: Identifying the capacity gaps by comparing existing with required capacities in the context of national development priorities and local circumstances.

- 3) Capacity-building needs assessment and feasibility of capacity-building: Assessing capacity-building needs based on identified capacity gaps, including technology needs, as well as undertaking a feasibility study regarding capacity-building required.
- 4) Capacity-building and technology policies and strategies formulation: Formulating capacity-building and technology policies and strategies for mitigation and adaptation at national level, including respective capacity-building programs.
- 5) Capacity-building and technology action plan: Developing a national capacity-building and technology action plan that covers capacity-building activities on mitigation and adaptation that will be undertaken to build and retain the required capacity.

The capacity gaps and needs assessment follows the below methodology as outlined in Figure 2:

- Resource mobilization and assessment design: literature review, desk study, and focus group discussion (FGD). Output: Work plan which covers objective, framework, methodology, and scope of work.
- Capacity gaps assessment: desk study, FGD, and relevant modelling for climate change mitigation and adaptation. Output: Analysis of existing and expected gaps in mitigation and adaptation.
- Capacity-building needs assessment and feasibility of capacity-building: desk study, FGD, multi criteria indicators, and weighted scoring. Output: needs for capacity-building, including feasible technology needs.
- Capacity-building and technology policies and strategies formulation: desk study, FGD, and policy analysis. Output: Policies and strategies that contain key programmes for capacity-building on mitigation and adaptation.
- Capacity-building and technology action plan: Output: A detailed action plan for identified key programmes for capacity-building on mitigation and adaptation.

Scope of work

- The scope of work for the capacity gaps and needs assessment is proposed as follows:
 - Identify national development priorities and conditions;
 - Identify policies, strategies and institutional arrangements for capacity-building on mitigation and adaptation at national level and NDC sector areas;
 - Analyze implementation of national commitment on mitigation and adaptation pre-2020;
 - Analyze implementation of NDC strategies;
 - Analyze implementation of capacity-building and country driven issues that relate to required capacity for mitigation and adaptation;
 - Analyze GHG emission mitigation efforts and challenges;
 - Analyze adaptation efforts and challenges;
 - Analyze capacity gaps on mitigation and adaptation at national level and NDC sector areas;
 - Analyze and formulate capacity-building needs at the systemic, institutional, individual levels as well as with regard to technology needs;
 - Formulate capacity-building policies and strategies on climate change mitigation and adaptation;
 - Prepare a capacity-building action plan at the national level and for NDC sector areas.

Annex II: Lists of interviewees and reviewed information sources

List of Interviewees

PCCB members

- Renilde Ndayishimiye, PCCB member from Burundi
- Jeniffer Hanna, PCCB member from Dominican Republic
- Rita Mishaan, PCCB member from Guatemala
- Mahawan Karuniasa, PCCB member from Indonesia
- Crispin d’Auvergne, PCCB member from Saint Lucia

Bilateral and multilateral capacity-building support providers

- GCF
- GEF
- GIZ
- NDC Partnership
- UNDP
- UNEP DTU Partnership

List of reviewed information sources

- Biennial update reports of countries of PCCB members participating in the pilot exercise
- Capacity-building elements of NDC Partnership plans and requests for support
- Concept note on the national-level pilot exercise of the Paris Committee on Capacity-building on capacity gaps and needs related to the implementation of nationally determined contributions
- Draft capacity gaps and needs assessment toolkit by the PCCB member from Indonesia
- GCF Readiness Proposals
- GEF Progress Report on the Capacity-building Initiative for Transparency June 2018
- GEF Progress Report on the Capacity-building Initiative for Transparency December 2018
- GEF National Capacity Self-Assessments for Global Environmental Management
- GEF/UNDP/UNEP National Capacity Self-Assessment Resource Kit
- National Communications of countries of PCCB members participating in the pilot exercise
- NDC Partnership Good Practice Database
- Reports of the Durban Forum on Capacity-building
- Reports of the PCCB
- Reports of events held at the Capacity-building Hub
- Submission on the results of the pilot exercise by the PCCB member from Burundi
- Submission on the results of the pilot exercise by the PCCB member from Dominican Republic
- Submission on the results of the pilot exercise by the PCCB member from Georgia

- Submission on the results of the pilot exercise by the PCCB member from Guatemala
- Submission on the results of the pilot exercise by the PCCB member from Indonesia
- Submission on the results of the pilot exercise by the PCCB member from Saint Lucia on behalf of the Organisation of Eastern Caribbean States
- Submissions to the PCCB prior to the pilot exercise
- Submissions to the Talanoa Dialogue
- UNFCCC Capacity-building Portal
- UNFCCC Synthesis Report on the Aggregated Effects of NDCs
- Work of the LEG on analysis of capacity needs and gaps and possible strategies to address them in the context of the NAP process



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Paris Committee on Capacity-building

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