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Capacity-building under the Convention

**Report on activities to implement the framework for capacity-building
under decision 2/CP.7**

Note by the secretariat*

Summary

This document presents information on activities by the secretariat to implement the capacity-building framework for developing countries annexed to decision 2/CP.7. Programmes of the Global Environment Facility are also covered. The Subsidiary Body for Implementation may wish to consider this report with a view to offering guidance on implementation of the capacity-building framework.

* This document has been submitted late for translation in order to include information on the latest progress in this work.

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I. Introduction

A. Mandate

1. The Conference of the Parties (COP), by its decision 2/CP.7, requested the secretariat to provide reports to the COP at each of its sessions on activities to implement the framework for capacity-building in developing countries.¹ The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, by its decision 29/CMP.1, requested the secretariat to take into account in its reports efforts made on capacity-building relating to the implementation of the Kyoto Protocol in developing countries. The Subsidiary Body for Implementation (SBI) reiterated this request to the secretariat at its twenty-third session.²

B. Scope of the note

2. This document reports on activities undertaken by the secretariat, primarily between 2003 and 2006, as well as activities and programmes being implemented by the Global Environment Facility (GEF). In some cases, activities since 2001 are reported. The COP, by its decision 2/CP.10, paragraph 5, invited relevant intergovernmental and non-governmental organizations, and in particular the United Nations Development Programme, the World Bank and the United Nations Environment Programme, to incorporate into their own work programmes, scope of needs identified in the capacity-building framework, taking into account the key factors identified in paragraph 1 of this decision, and to cooperate with each other, with the support and facilitation of the secretariat, in order to ensure efficient and coordinated support to capacity-building efforts by developing country Parties. The secretariat has taken steps to increase the collection and reporting of information on these activities, but more could be done (see section I.c and chapter III).

C. Possible action by the Subsidiary Body for Implementation

3. The SBI may wish to consider this report with a view to offering guidance on implementation of the capacity-building framework, especially with respect to the suggestions contained in chapter III aimed at facilitating future reporting on capacity-building, in particular from Parties, agencies, IGOs and NGOs.

II. Activities on capacity-building

A. Background

4. The framework for capacity-building for developing countries lists 15 needs and areas for capacity-building.³ These are being addressed by various programmes of the secretariat and, in some cases, are discussed under other agenda items.

5. Past reports on activities by the secretariat to implement this framework were prepared based on themes, including the following:

- (a) Activities in support of the preparation of national communications from Parties not included in Annex I to the Convention (non-Annex I Parties) were reported in documents FCCC/SBI/2001/INF.8 and FCCC/SBI/2002/INF.11;

¹ The framework is contained in the annex to decision 2/CP.7.

² FCCC/SBI/2005/23, paragraph 86 (a).

³ FCCC/CP/2001/13/Add.1, paragraph 15.

- (b) Activities in support of the preparation of national adaptation programmes of action (NAPAs) were highlighted in reports of the Least Developed Countries Expert Group (LEG) to the COP;⁴
- (c) Considerations of the capacity-building needs for technology transfer were included in reports of the Expert Group on Technology Transfer (EGTT) in documents FCCC/SBSTA/2006/INF.1 and FCCC/SBSTA/2006/INF.4;
- (d) Activities funded under enabling activity programmes of the GEF were reported in annual reports of the GEF to the COP, which included information on support for preparation of national communications, NAPAs and national capacity self-assessments (NCSAs), as well as activities implemented under the United Nations Development Programme (UNDP)/GEF Small Grants Programme.⁵

B. Activities by the secretariat

6. Activities implemented by the secretariat on capacity-building, in accordance with decision 2/CP.7 and subsequent decisions on capacity-building, are summarized in tables 1 to 3. Table 1 lists capacity-building activities to address special needs of least developed countries (LDCs); table 2 lists activities implemented to support adaptation; table 3 lists activities to support education, training and public awareness (Article 6 of the Convention); table 4 lists activities to support technology transfer; and table 5 lists activities in support of national communications from Parties not included in Annex I to the Convention.

7. In addition, the Executive Board of the clean development mechanism (CDM), in its role as regulatory body, has undertaken measures to enhance the understanding and participation of different actors involved in the CDM. Activities have included:

- (a) A CDM Executive Board question-and-answer session at each session of the subsidiary bodies;
- (b) A meeting of the CDM Executive Board with stakeholders during each meeting of the Board;
- (c) A forum for CDM designated national authorities (DNAs).⁶

C. Activities by the Global Environment Facility

8. The GEF Capacity Development Initiative (CDI) was launched in January 2000 to address capacity-building in a holistic manner. It consisted of a strategic partnership between the GEF secretariat and the UNDP, and facilitated a consultative process focussed on addressing biodiversity, climate change and land degradation. The aims were, first, to assess capacity development needs of developing countries and countries with economies in transition; second, to take stock of earlier and ongoing efforts to assist national capacity-building; and, third, to develop a strategy and action plans for the GEF to meet the identified needs.

9. In response to the results from the CDI, the GEF launched the National Capacity Self Assessment Programme⁷ in collaboration with implementing and executing agencies, the Strategic

⁴ <<http://www.unfccc.int ldc>>.

⁵ FCCC/CP/2005/3 and Corr.1, FCCC/CP/2004/6, FCCC/CP/2003/3.

⁶ An informal meeting of the DNA forum was held on May 2006 in Bonn, Germany, and its first formal meeting was to be held on 27–28 October 2006 in Bonn.

⁷ <http://www.undp.org/gef/undp-gef_grant_opportunities/sub_enabling_activities.html>.

Approach to Enhance Capacity-building⁸ and the Global Support Programme.⁹ The NCSA Programme provides funding for countries to prepare self-assessments of their capacity needs and priorities to manage global environmental issues. As of 2003, about 50 countries had launched NCSA projects.¹⁰ In addition, more than 100 countries had expressed an interest in conducting an NCSA.

10. The Strategic Approach to Enhance Capacity Building covers NCSAs, and pays special attention to capacity-building in regular GEF projects, targeted capacity-building within focal areas and cross-cutting capacity-building, including country programmes for LDCs and small island developing States. As at September 2005, 153 countries were engaged in this programme (Pathway I).¹¹

11. The Global Support Programme,¹² which started in February 2005, is managed jointly by UNDP and the United Nations Environment Programme (UNEP) and provides technical backstopping to countries, ensuring timely completion of NCSAs. It is currently organizing 10 regional and subregional "training and exchange" workshops.¹³

12. A follow-up programme to the GEF's NCSA Programme was launched to address the capacity needs identified in NCSAs. Under this programme, countries are encouraged to prepare a plan of action.

13. The GEF is also encouraging greater involvement of NGOs in capacity-building through its Small Grants Programme, which by the end of August 2005 had provided USD 4.59 million to NGOs and community-based organizations, in the form of 174 grants, and a further USD 4.61 million in co-financing.¹⁴

14. Under enabling activities, the GEF provides support for the preparation of national communications from non-Annex I Parties through its national communications support programme managed by the UNDP and UNEP, the preparation of NAPAs and technology needs assessments.

15. Capacity-building for climate change research was supported through the Assessments of Impacts and Adaptations to Climate Change (AIACC)¹⁵ project, a global initiative developed in collaboration with the Intergovernmental Panel on Climate Change and funded by the GEF to advance scientific understanding of climate change vulnerabilities and adaptation options in developing countries. By funding collaborative research, training and technical support, AIACC has aimed to enhance the scientific capacity of developing countries to assess climate change vulnerabilities and adaptations, and generate and communicate information useful for adaptation planning and action. AIACC is implemented by the UNEP and executed jointly by the global change system for analysis, research and training¹⁶ and the Third World Academy of Sciences.

III. Suggestions on future reporting

16. The SBI may wish to consider the following recommendations for facilitating future reporting on activities implemented pursuant to the capacity-building framework:

⁸ <http://thegef.org/Documents/Enabling_Activity_Projects/CDI/documents/Strategic_Approach_to_Enhance_Capacity_Building_FINAL.doc>.

⁹ <http://dgef.unep.org/capacity_building/NCSAs/>.

¹⁰ <http://www.gefweb.org/Documents/Enabling_Activity_Projects/CDI/documents/Strategic_Approach_to_Enhance_Capacity_Building_FINAL.doc>.

¹¹ FCCC/CP/2005/3 and Corr.1.

¹² <http://dgef.unep.org/capacity_building/NCSAs/>.

¹³ FCCC/CP/2005/3, page 25.

¹⁴ FCCC/CP/2005/3, page 26.

¹⁵ <<http://www.aiaccproject.org>>.

¹⁶ Known by its acronym START. <<http://www.start.org>>.

- (a) A structured reporting format based on the format in tables 1–5 of this document could be used to guide compilation of information from various organizations involved in capacity-building;
- (b) Information could be requested from Parties, IGOs and NGOs every year on their capacity-building efforts, to cover those activities not included in national communications;
- (c) The secretariat could prepare a web-based form for Parties and other organizations to use to submit information on their activities on capacity-building;
- (d) The secretariat could take into account work by the GEF on performance indicators for capacity-building, in revising the structured format referred to in sub-paragraph (a) above.

Table 1. Capacity-building to address special needs of least developed countries (LDCs)

Activity	Purpose/target of activity	Date and location	Agencies involved	Activity report or web link for further information
Workshop on Capacity-building for the preparation of national adaptation programmes of action (NAPAs) by LDCs	Official global launch of the NAPA programme and capacity-building for non-climate entities from LDC Parties	18–21 September 2002 Dhaka, Bangladesh	UNFCCC secretariat, LDC Expert Group (LEG), Global Environment Facility (GEF), United Nations Development Programme (UNDP), United Nations Environment Programme (UNEP), United Nations Institute for Training and Research (UNITAR)	
LEG Small Island Developing States (SIDS) regional NAPA workshop	Regional training workshop on NAPA preparation for all SIDS LDCs (attended by: Kiribati, Samoa, Solomon Islands, Tuvalu and Vanuatu)	5–7 March 2003 Apia, Samoa	UNFCCC secretariat, LEG, GEF, UNDP, UNEP, UNITAR	http://www.unitar.org/ccp/samoa/index.htm
LEG African anglophone regional workshop on NAPA	Regional training workshop on NAPA preparation for all African anglophone LDCs (attended by: Ethiopia, Gambia, Lesotho, Liberia, Malawi, Mozambique, Sierra Leone, Uganda, United Republic of Tanzania Yemen and Zambia)	25–27 June 2003 Addis Ababa, Ethiopia	UNFCCC secretariat, LEG, GEF, UNDP, UNEP, UNITAR	http://www.unitar.org/ccp/Addis/index.htm
LEG Asian regional workshop on NAPA	Regional training workshop on NAPA preparation for Asian LDCs (attended by: Afghanistan, Bangladesh, Bhutan, Cambodia, Lao People's Democratic Republic, Maldives, Myanmar and Nepal)	9–11 September 2003 Thimphu, Bhutan	UNFCCC secretariat, LEG, GEF, UNDP, UNEP, UNITAR	http://www.unitar.org/ccp/bhutan/index.htm
LEG regional workshop on NAPA for francophone LDCs	Regional training workshop on NAPA preparation for all African francophone LDCs (attended by: Angola, Benin, Burkina Faso, Burundi, Cape Verde, Central African Republic, Chad, Comoros, Central African Republic, Democratic Republic of the Congo, Djibouti, Guinea, Guinea-Bissau, Equatorial Guinea , Haiti, Mali, Madagascar, Mauritania, Niger, São Tomé and Príncipe, Senegal, and Togo)	28–31 October 2003 Ouagadougou, Burkina Faso	UNFCCC secretariat, LEG, GEF, UNDP, UNEP, UNITAR	http://www.unitar.org/ccp/burkina/index.htm
LEG guidelines and papers	Annotated guidelines on preparation of NAPAs, and technical papers on relevant topics	2001 to 2006	UNFCCC secretariat, LEG, UNITAR	- LEG technical papers at http://www.unfccc.int/ldc - NAPA Primer at http://www.napaprimer.org - Handbook of exercises on NAPA preparation on the UNITAR website at http://www.unitar.org/cc

Table 2. Capacity-building activities in support of adaptation

Activity	Scope of the activity in line with decision 2/CP.7, paragraph 15	Purpose/target of activity	Date and location	Agencies involved	Activity report or web link for further information
Regional adaptation workshops/expert meetings mandated by decision 1/CP.10	<ul style="list-style-type: none"> - Vulnerability and adaptation assessment - Capacity-building for implementation of adaptation measures - Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention - Information and networking, including the establishment of databases 	Facilitation of information exchange and integrated assessments to assist Parties in identifying specific adaptation needs and concerns	<ul style="list-style-type: none"> - African workshop, Accra, Ghana, 21–23 September 2006 - Latin and Central American workshop, Lima, Peru, 18–20 April 2006 Expert meetings for small island developing States (SIDS) and Asian workshop will take place in 2007 	UNFCCC secretariat United Nations Environment Programme Regional Office for Latin America	http://unfccc.int/adaptation/adverse_effects_and_response_measures_art_48/items/2535.php
Database on local coping strategies	<ul style="list-style-type: none"> - Capacity-building for implementation of adaptation measures - Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention - Information and networking, including the establishment of databases 	Dissemination of information and best practices	August 2005, periodic updates	UNFCCC secretariat	http://maindb.unfccc.int/public/adaptation/
Compendium on methods and tools to evaluate impacts of, vulnerability and adaptation to, climate change	<ul style="list-style-type: none"> - Vulnerability and adaptation assessment - Information and networking, including the establishment of databases 	Dissemination of information and best practices	Latest revised version February 2005, periodic updates	UNFCCC secretariat	http://unfccc.int/adaptation/methodologies_for/vulnerability_and_adaptation/items/2674.php
List of organizations active in the field of adaptation	<ul style="list-style-type: none"> - Vulnerability and adaptation assessment - Information and networking, including the establishment of databases 	Dissemination of information	Latest version May 2006	UNFCCC secretariat	http://unfccc.int/adaptation/items/3633.php
In session workshops on impacts of, and vulnerability and adaptation to, climate change	<ul style="list-style-type: none"> - Vulnerability and adaptation assessment 	Exchange of information, identification of best practices	<ul style="list-style-type: none"> - Application of methods and tools and linkages with sustainable development, 8 December 2004, Buenos Aires, Argentina - Vulnerability and Risk, Sustainable Development, Opportunities and Solutions, 18 June 2004, Bonn, Germany 		http://unfccc.int/meetings/cop_10/in_session_workshops/adaptation/items/3316.php http://unfccc.int/meetings/workshops/other_meetings/items/2950.php

Activity	Scope of the activity in line with decision 2/CP.7, paragraph 15	Purpose/target of activity	Date and location	Agencies involved	Activity report or web link for further information
Expert meetings on the implementation of response measures mandated by decision 1/CP.10	<ul style="list-style-type: none"> - Enhancement and/or creation of an enabling environment - Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention 	<ul style="list-style-type: none"> - Exchange of information on tools and methodologies to achieve resilience to possible impacts of response measures - Exchange of information on economic diversification in the context of the implementation of response measures 	<ul style="list-style-type: none"> - First meeting, Montreal, Canada, 23–24 November 2005 - Second meeting, Bonn, Germany, 16–17 May 2006 	UNFCCC secretariat	http://unfccc.int/meetings/items/3593.php http://unfccc.int/meetings/workshops/other_meetings/items/3639.php

Table 3. Capacity-building through education, training and public awareness

Activity	Scope of the activity in line with decision 2/CP.7, paragraph 15	Purpose/target of activity	Date and location	Agencies involved	Activity report or web link for further information
Regional workshops on Article 6 of the convention, mandated by decision 11/CP.8	<ul style="list-style-type: none"> - Education, training and public awareness - Information and networking, including the establishment of databases 	Advancing the work on assessing needs, identifying priorities, sharing experience and exchanging information on related activities	<ul style="list-style-type: none"> - European regional workshop, 6–8 May 2003 - African regional workshop, 28–30 January 2004 - Latin America and the Caribbean regional workshop, 30 March to 1 April 2005 - Asian regional workshop and participation at the 15th Asia–Pacific Seminar on Climate Change, 11–15 September 2005 	UNFCCC secretariat, United Nations Environment Programme	http://unfccc.int/cooperation_and_support/education_and_outreach/items/3143.php
Development and maintenance of the Information Network Clearing House on Article 6 of the Convention (CC:iNet)	<ul style="list-style-type: none"> - Education, training and public awareness - Information and networking, including the establishment of databases 	Facilitating access to information sources on public information, education and training in the field of climate change. Assisting governments, organizations and individuals gain rapid and easy access to ideas, strategies, contacts, experts and materials that can be used to motivate and empower people to take effective action on climate change	<ul style="list-style-type: none"> - Proposal for an information network clearing house - June 2003 - Options presented for development - December 2004 - Prototype launched - December 2005 - Evaluation - November 2007 - Full-scale clearing house - 2008 	UNFCCC secretariat	http://unfccc.int/ccinet

Table 4. Capacity-building in support of technology transfer

Activity	Purpose/target of activity	Date and location	Agencies involved	Activity report or web link for further information
Technical paper on capacity-building in the development and transfer of technologies	To support development and transfer of environmentally sound technologies and know-how, as well as contribute towards first comprehensive review of the capacity-building frameworks for developing countries and countries with economies in transition	2003	UNFCCC secretariat, Expert Group on Technology Transfer (EGTT)	FCCC/TP/2003/1
Handbook titled <i>Conducting Technology Needs Assessments for Climate Change</i>	To provide guidance on approaches, methods and tools that can be used to conduct a TNA	2004	UNFCCC secretariat, Global Environment Facility, United Nations Development Programme	http://ttclear.unfccc.int/ttclear/jsp/ or http://www.undp.org/cc
Meeting on technology needs assessments	Meeting of representatives from governments, experts drawn from the UNFCCC roster of experts, and representatives from relevant international organizations, to identify methodologies needed to undertake TNAs	April 2002	UNFCCC secretariat, EGTT	FCCC/SBSTA/2002/INF.7
Regional workshops on technology transfer needs assessment methods	To field-test and further develop the TNA handbook	- September 2002 in Beijing, China, for Asia and Pacific region - December 2002 in Dakar, Senegal, for the Africa region - October 2003 in Trinidad, Trinidad and Tobago, for the Latin America and Caribbean region	UNFCCC secretariat, Climate Technology Initiative, United Nations Environment Programme	
Workshop on innovative options for financing results of technology needs assessments (TNAs)	To identify innovative financing opportunities and strategies to reach financial closure of project financing proposals	October 2005	UNFCCC secretariat, EGTT	FCCC/SBSTA/2003/3

Table 5. Capacity-building in support of national communications from Parties not included in Annex I to the Convention, 2004–2006

Activity	Purpose/target of activity	Date and location	Agencies involved	Activity report or web link for further information
Consultative Group of Experts on National Communication from Parties not included in Annex I to the Convention (CGE) hands-on training workshop on national greenhouse gas inventories	To facilitate the use of new methodologies and guidelines for the preparation of national GHG inventories, such as the <i>IPCC Good Practice Guidance and Uncertainty Management in National Greenhouse Gas Inventories and the Good Practice Guidance for Land Use, Land-Use Change and Forestry</i> , and to provide a forum for exchange of experience among experts within the region	<ul style="list-style-type: none"> - October 2004 in Panama City, Panama, for the Latin America and the Caribbean region - February 2005 in Shanghai, China, for the Asia region - Pretoria, South Africa, September 2006 for the Africa region 	UNFCCC secretariat, CGE	FCCC/SBI/2005/7 FCCC/SBI/2005/7
CGE hands-on workshop on vulnerability and adaptation assessments	To assist experts from Parties not included in Annex I to the Convention (non-Annex I Parties) in conducting vulnerability and adaptation (V&A) assessments when preparing their national communications by introducing them to a wide range of V&A assessment approaches, methods and tools and their relative strengths and weaknesses	<ul style="list-style-type: none"> - April 2005 in Maputo, Mozambique, for the Africa region - March 2006 in Jakarta, Indonesia, for the Asia region - August 2006 in Asuncion, Paraguay, for the Latin America and Caribbean region 	UNFCCC secretariat, CGE, National Communications Support Programme of the Global Environment Facility/United Nations Development Programme/United Nations Environment Programme (GEF/UNDP/UNEP), International Strategy for Disaster Reduction, International Federation of the Red Cross, United Kingdom Meteorological Office - Hadley Centre	FCCC/SBI/2005/22 FCCC/SBI/2006/8
CGE global workshop on mitigation assessments	To provide technical advice and support to non-Annex I Parties on mitigation assessments	September 2005 in Seoul, Republic of Korea	UNFCCC secretariat, CGE, Korea Energy Economics Institute	FCCC/SBI/2005/22
CGE global workshop on guidelines	To inform non-Annex I Parties on the use of the UNFCCC guidelines and user manual for the preparation of their national communications; to facilitate exchange of information on financial and technical support, including information on the procedures for accessing financial resources from the GEF and the support to be provided by its implementing agencies; to facilitate the development of project proposals for the preparation of national communications; and to identify other specific needs and concerns relating to the preparation of national communications and recommend ways to meet them	April 2004 in Manila, Philippines	UNFCCC secretariat	FCCC/SBI/2004/INF.6