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Item 11(a) and (b) of the provisional agenda

Capacity-building

Capacity-building under the Convention

Capacity-building under the Kyoto Protocol

Report on the workshop on potential ways to enhance capacity-building activities

Note by the secretariat

Summary

The workshop on potential ways to enhance capacity-building activities was held on 17 October 2015 in Bonn, Germany, back-to-back with the eleventh part of the second session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action. The meeting was attended by representatives of Parties, bodies established under the Convention, intergovernmental and non-governmental organizations and academia, who shared views and experiences on how the effectiveness of capacity-building efforts can be enhanced.

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Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Mandate.....	1	3
II. Proceedings	2–7	3
A. Preparatory work	2–3	3
B. Proceedings of the workshop	4–7	3
III. Summary of the discussions	8–25	4
A. Session 1: state of play in the delivery of capacity-building.....	8–9	4
B. Session 2: institutional arrangements for capacity-building	10–14	4
C. Discussions held at the breakout group sessions and final plenary session	15–25	8
 Annexes		
I. Programme of the workshop on potential ways to enhance capacity-building activities.....		10
II. Questions used to guide the breakout group discussions.....		12

I. Mandate

1. The Subsidiary Body for Implementation (SBI), at its forty-second session, requested the secretariat to organize a workshop back-to-back with a session of the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) to further discuss potential ways to enhance capacity-building activities.¹ The SBI also requested the secretariat to prepare a report on the workshop for consideration at SBI 43.²

II. Proceedings

A. Preparatory work

2. In order to gather views on capacity-building elements to be included in the preliminary agenda for the workshop, on key issues to be discussed and on modalities of work, the secretariat undertook two initiatives. The first initiative was to organize a webinar, facilitated by Mr. Matti Nummelin (Finland) and Mr. Richard Muyungi (United Republic of Tanzania), which took place on 28 August 2015. The webinar was open to a wide range of stakeholders, from Parties to observer organizations; it ran twice to enable participants in different time zones to take part. A total of 56 participants joined the webinar. Relevant material related to the webinar, including video recordings and presentation slides, was posted on the dedicated capacity-building webpage.³ The second initiative was to organize an informal meeting to consult Party representatives attending the tenth part of the second session of the ADP, held from 31 August to 4 September 2015. The meeting was facilitated by Ms. Lorena Gonzales (Mexico) and Mr. Nummelin.

3. Building on the inputs from the webinar and the informal meeting, a provisional agenda for the workshop was developed, the final version of which is contained in annex I.

B. Proceedings of the workshop

4. The workshop on potential ways to enhance capacity-building activities was held on 17 October 2015, in conjunction with the eleventh part of the second session of the ADP, in Bonn, Germany. The workshop was open to all Parties and observer organizations admitted to the ADP session. Mr. Kunihiko Shimada (Japan) and Mr. Bubu Pateh Jallow (Gambia), co-facilitators of the capacity-building agenda item at SBI 42, facilitated the workshop.

5. After a brief introduction by the co-facilitators and opening remarks by Mr. Amena Yauvoli, Chair of the SBI, the workshop started with session 1, which focused on the state of play in the delivery of capacity-building. Session 2 focused on institutional arrangements for capacity-building.

6. Subsequently, the workshop participants were divided into two breakout groups, each led by a Party representative serving as the discussion leader, supported by a rapporteur. The discussions focused on three different aspects of the delivery of capacity-building activities: (1) main gaps and needs; (2) coherence and coordination; and (3) institutional arrangements. Both groups discussed the same set of guiding questions prepared by the secretariat, in order to enable focused in-depth discussions.

¹ FCCC/SBI/2015/10, paragraph 88.

² FCCC/SBI/2015/10, paragraph 89.

³ <<http://unfccc.int/9162>>.

7. A final exchange of views took place in a plenary setting, after the rapporteurs had reported back on the discussions held in their respective groups. At the end of the workshop, concluding remarks were provided by the co-facilitators. The workshop programme, presentation slides and audio recordings of the workshop are available on the dedicated capacity-building webpage.

III. Summary of the discussions

A. Session 1: state of play in the delivery of capacity-building

8. A scene-setting presentation was given by a representative of the Overseas Development Institute. After a brief overview of capacity-building support activities provided to developing countries under and outside the Convention, the representative of the Overseas Development Institute focused on good practices and lessons learned from such initiatives as well as on challenges faced. She emphasized that continuous political commitment at the international and national levels is key to enable sustained and enduring capacity-building support. The presentation also highlighted the increased attention given to the readiness programmes and initiatives, with regard to the Green Climate Fund in particular. Some snapshots of the activities of the Green Climate Fund related to readiness support are captured in box 1.

9. During the question and answer session which followed the presentation, topics raised included the need to invest in sustainable long-term capacity-building activities and not just on short-term single projects. It was noted that more effective tools are needed to enable a sustained capacity-building process, to track progress and to replicate good practices. It was suggested that national institutions, such as universities and other expert bodies providing continuous individual learning, be strengthened, including through the creation of partnerships with international institutions and other entities. The Global Climate Change Alliance supported by the European Union was one of the examples given. It was observed that the framework for capacity-building in developing countries (hereinafter referred to as the capacity-building framework) could be envisaged as the vehicle for coordination efforts at the international level. However, recipient countries should make sure that the support received aligns with national plans and priorities, seeking coordination across various capacity-building support initiatives.

B. Session 2: institutional arrangements for capacity-building

10. Session 2 considered the role of institutional arrangements, including of bodies established under the Convention, in enhancing the capacity of developing country Parties to plan, develop and implement adaptation, mitigation and technology development and transfer actions. Three panellists – a representative of Swaziland speaking on behalf of the African Group, a representative of Finland and a representative of the World Resources Institute – shared with the workshop participants their views on the role of institutional arrangements. Their analytical work and concrete experiences on the ground provided the basis for exploring how national and international institutional arrangements, as well as partnerships, can enhance the capacity of developing country Parties to address climate change related issues. The main elements of their interventions are provided below.

Box 1

Snapshots from the presentation delivered by the Overseas Development Institute

Green Climate Fund readiness priorities



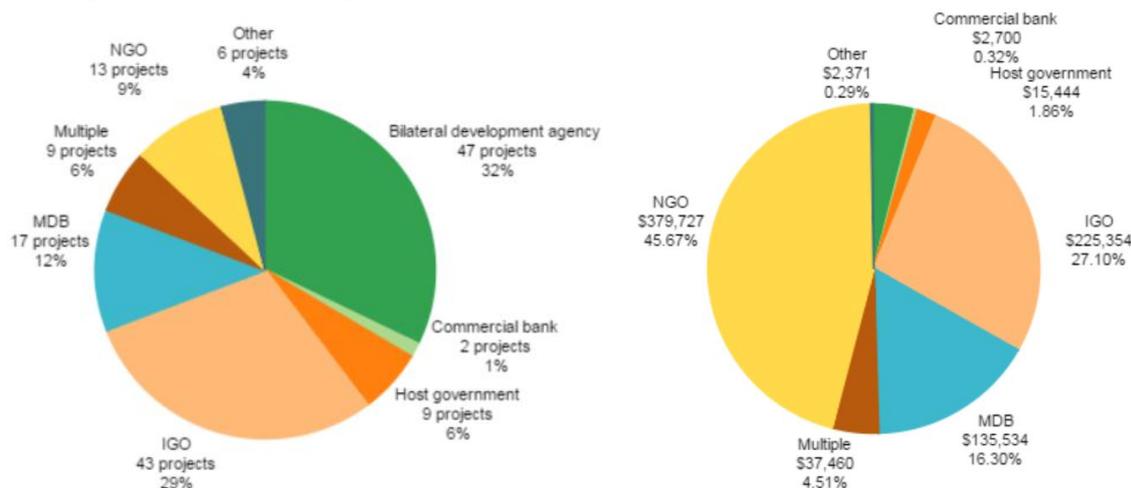
- The Green Climate Fund supports national designated authorities, who are often in the same agency as the UNFCCC focal points;
- Readiness support builds on existing national climate change strategies and plans to inform programming approaches and strategies;
- The Green Climate Fund is exploring options to support national adaptation plans, given strong the demand and need for such support.

Source: Overseas Development Institute, 2015.

Abbreviations: FPs = focal points, NDAs = national designated authorities.

Mapping of global readiness initiatives

Number of projects and funding by type of organization



Source: Green Climate Fund. Available at <<http://www.gcfund.org/operations/readiness/inventory.html>>.

Abbreviations: IGO = intergovernmental organization, MDB = multilateral development bank, NGO = non-governmental organization.

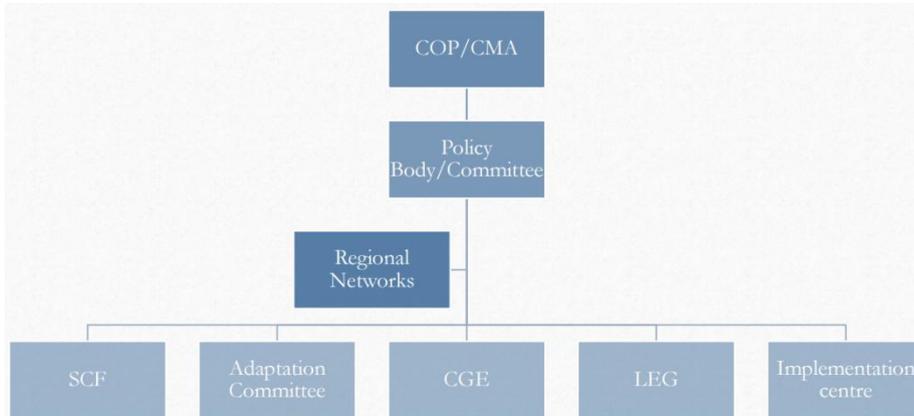
11. A representative of Swaziland on behalf of the African Group delivered a presentation on how institutional arrangements for capacity-building can enhance the capacity of developing country Parties. Institutional arrangements for capacity-building should involve policies, systems and structures to plan, track and manage the process of capacity-building in a holistic manner. Notwithstanding the various decisions from the Conference of the Parties (COP) on capacity-building, no specific follow-up on prioritizing actions to implement the decisions has been undertaken. This could be tasked to a dedicated institutional arrangement, since existing thematic bodies under the Convention do not

perform functions expressly focused on capacity-building. Snapshots of the presentation by the representative of Swaziland are provided in box 2.

Box 2

Snapshots from the presentation delivered by the representative of Swaziland

Suggestion for a new institutional arrangement for capacity-building (policy body/committee)



Source: Presentation made by the representative of Swaziland. Available at http://unfccc.int/files/cooperation_and_support/capacity_building/application/pdf/how_institutional_arrangements_can_enhance_the_capacity_of_developing_country_parties.pdf.

Abbreviations: CGE = Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, CMA = Conference of the Parties serving as the meeting of the Parties to the new Agreement, COP = Conference of the Parties, LEG = Least Developed Countries Expert Group, SCF = Standing Committee on Finance.

12. The presentation was followed by the intervention of the representative of Finland, who shared with the workshop participants Finland’s approach to ensuring the sustainability of capacity-building support to developing countries. As an example, he proposed the partnership established between the Government of Finland and Pacific island States aimed at building the capacity of national meteorological services to deliver effective weather, climate and early warning services. Some of the good practices that have emerged from this experience include: mainstreaming capacity-building in policy planning through adequate political support; coordinating the delivery of capacity-building support at the national and regional levels, and strengthening the network among the relevant stakeholders.

13. The representative of Finland also shared his views on the relevance of institutional arrangements for capacity-building. He highlighted the various ongoing activities related to capacity-building under the Convention, including the Durban Forum on capacity-building, the thematic bodies established under the Convention whose workplans already feature capacity-building elements, and above all, the capacity-building framework, which is the backbone of any approach to capacity-building under the Convention. In line with the above, any discussion on new institutional arrangements for capacity-building should be built upon the already existing institutional arrangements.

14. A representative of the World Resources Institute presented the results of a study based on consultations with Parties targeting institutional options for more effective capacity-building in the post-2020 regime. The study acknowledges the multiple efforts being undertaken to enhance capacity-building activities, as well as the gaps emerging within the architecture of existing institutional arrangements supporting capacity-building under the Convention, such as the lack of coordination and monitoring of efforts and the effectiveness of capacity-building activities. She also proposed a new institutional model with the option of either strengthening the mandates of existing thematic bodies or creating a dedicated coordinating/monitoring body. This model could bring about a robust and

concrete review and more systematic measurement, reporting and verification (MRV) of capacity-building support, which would be useful in preparing draft recommendations for the governing body. Some snapshots of her presentation are provided in box 3.

Box 3

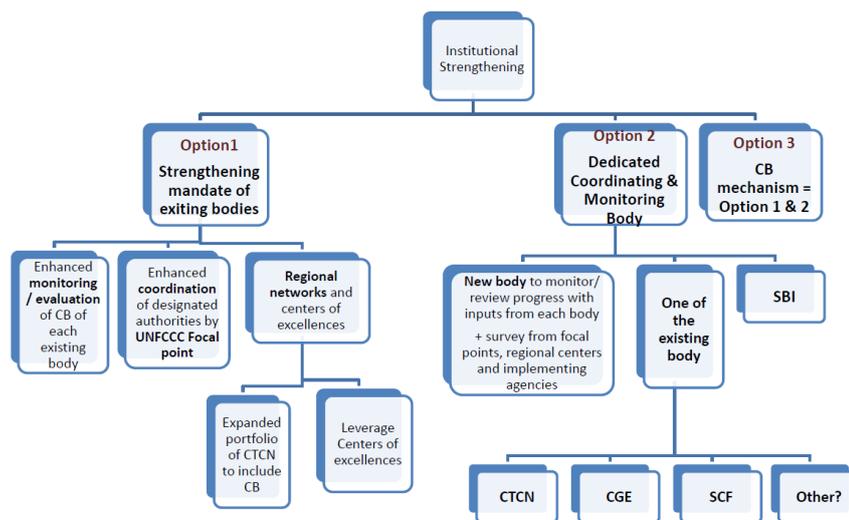
Snapshots from the presentation delivered by the representative of the World Resources Institute

Existing arrangements on capacity-building

Frameworks/ Work Programme	<ul style="list-style-type: none"> • Frameworks for Capacity Building • Doha work programme on Art6 of the Convention
Lesson sharing	<ul style="list-style-type: none"> • Durban Forum
Dissemination of information	<ul style="list-style-type: none"> • Capacity Building Portal • Synthesis reports
Review	<ul style="list-style-type: none"> • SBI (considering the 3rd one)
Institutions	<ul style="list-style-type: none"> • CGE, CTCN, TEC, AC, LEG, EB-CDM, L&D EXCOM, SCF • Convention & KP funds, other multilateral and bilateral sources

Source: World Resource Institute, 2015.

Options for enhancing the international institutional framework



Source: World Resource Institute, 2015.

Abbreviations: AC = Adaptation Committee, CB = capacity-building, CGE = Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, CTCN = Climate Technology Centre and Network, EB-CDM = Executive Board of the clean development mechanism, L&D EXCOM = Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, LEG = Least Developed Countries Expert Group, KP = Kyoto Protocol, SBI = Subsidiary Body for Implementation, SCF = Standing Committee on Finance, TEC = Technology Executive Committee.

C. Discussions held at the breakout group sessions and final plenary session

1. Main gaps and needs in the delivery of capacity-building activities

15. Gaps and needs were observed at the institutional, systemic and individual levels. At the institutional level, many participants pointed out the lack of coordination among agents planning and delivering capacity-building, caused by the absence or the inadequacy of processes aligning global and local systems. At the systemic level, participants highlighted the need to develop and implement regulatory frameworks, and create enabling environments which can be applied in the long term. The monitoring of such processes would enable good practices to be captured and lessons learned to be replicated. The question of whether such an approach could be encompassed within the MRV context was also raised.

16. With regard to the individual level, participants noted the need to broaden the spectrum of actors, including with respect to gender, engaged in the planning and delivery of capacity-building. This could be reached through an increased awareness-raising action to reach out to stakeholders, including the private sector, and the identification of capacity-building champions determined to raise the profile of capacity-building at both the international and national levels. Many participants observed that the lack of technical knowledge on climate change related issues in developing countries is also due to the recruitment of international consultants, and noted the difficulty of putting in place appropriate measures to retain knowledge and manpower at the national level, which is due to the lack of financial resources.

17. A few proposals were put forward to overcome these challenges, such as bringing back the ex-trainee as a trainer; archiving the training materials to be used as reference materials for others; having a time-bound agreement to retain the position for a fixed amount of time, and the continuation of partnering and networking.

2. Coherence and coordination in the delivery of capacity-building activities

18. Participants noted the importance of improving the coherence and coordination of capacity-building activities, at both the international and national levels, so as to track progress and enhance efficiency. However, various opinions were voiced on how to reach these goals.

19. Some participants were of the opinion that capacity-building coherence and coordination should come from the country itself, and not from a dedicated body. Others argued that coherence and coordination is already provided by the capacity-building framework. Numerous participants expressed the need for a specific institution to be responsible for capacity-building coherence and coordination.

20. It was also mentioned that generating better quality information, including through the MRV of capacity-building support, could be an entry point to enhancing the coherence and coordination of capacity-building efforts. A more accurate analysis to enable capacity-building coordination was suggested, so as to enable issues to be mapped and appropriate actions to be recommended.

3. Institutional arrangements for capacity-building

21. Diverging views were expressed by participants on the subject of institutional arrangements for capacity-building. While some strongly supported the need for new institutional arrangements, others saw capacity-building as a cross-cutting issue across

different thematic areas, and raised questions on the added value of new institutional arrangements.

22. During this discussion, some participants suggested that a new body could be composed of members from existing thematic bodies, with balanced representation between developed and developing countries. This body could take stock of ongoing capacity-building activities, identify gaps and generate recommendations for the COP. They also suggested that external stakeholders, including operating entities of the Financial Mechanism, could have a role in this regard, by providing first-hand insights on the progress made on the ground. In the context of a bottom-up approach and transparency, one participant suggested as an example the approach of the Montreal Protocol on Substances that Deplete the Ozone Layer with regard to capacity-building arrangements. Some participants, while acknowledging the usefulness of the Durban Forum and the information contained in its summary reports,⁴ noted that its modalities need to be improved, as currently there is no clarity on potential recommendations emerging from the Forum.

23. Participants generally agreed that better information on the delivery of capacity-building activities, that is, the state of play, would be useful; this could include lessons learned and the identification of gaps and ways to overcome the challenges.

24. In this context, participants noted the importance of the MRV of support for capacity-building. In fact, some participants mentioned that there is lack of implementation of capacity-building on the ground, but other participants argued that there is a lack of awareness of actions on the ground.

4. Closure of the workshop

25. At the end of the workshop, the co-facilitators summarized the key messages that had emerged during the discussions as follows:

(a) Different views were expressed on institutional arrangements for capacity-building. On the one hand it was emphasized that there is no need to start from scratch in establishing institutional arrangements, while on the other there was a call for a dedicated institution which could enhance the provision of capacity-building and its coordination;

(b) The generation of high-quality information, including through the MRV of capacity-building support, could be an entry point to enhancing the coherence and coordination of capacity-building efforts;

(c) It is important to foster a sustained and long-term approach to capacity-building;

(d) The identification of capacity-building champions under and outside the Convention can be instrumental in raising the profile of capacity-building and catalysing the necessary enhanced action around it;

(e) Gender sensitivity and responsiveness should be incorporated into capacity-building planning and implementation.

⁴ Summary reports of the Durban Forum on Capacity-building are available at <<http://unfccc.int/7486>>.

Programme of the workshop on potential ways to enhance capacity-building activities

Time	Focus	Duration	
1–1.15 p.m. Opening	Welcoming the participants and opening the workshop	15 minutes	<p>Welcoming remarks Mr. Amena Yauvoli – Chair of the Subsidiary Body for Implementation</p> <p>Overview of the objectives, scope and the organization of the workshop Mr. Bubu Pateh Jallow (Gambia) – Co-facilitator Mr. Kunihiko Shimada (Japan) – Co-facilitator</p>
1.15–1.50 p.m. Session 1: State of play in the delivery of capacity- building	Overview of efforts to build the capacity of developing country Parties and of the relevant gaps and needs in the delivery of capacity-building activities	35 minutes	<p>Scene-setting presentation: ▶ Ms. Smita Nakhoda (Overseas Development Institute): Overview of capacity-building activities undertaken by the operating entities and thematic bodies under the Convention, multilateral and bilateral agencies and international organizations to support the implementation of the Convention and its Kyoto Protocol (15 minutes)</p> <p>Open discussion (20 minutes)</p>
1.50–2.50 p.m. Session 2: Institutional arrangements for capacity-building	How can institutional arrangements, including bodies established under the Convention, enhance the capacity of developing country Parties to plan, develop and implement adaptation, mitigation and technology development and transfer actions?	60 minutes	<p>Scene-setting presentations: ▶ Ms. Hlobisile Sikhosana (Swaziland) (10 minutes) ▶ Mr. Matti Nummelin (Finland) (10 minutes) ▶ Ms. Yamide Dagnet (World Resources Institute) (10 minutes)</p> <p>Open discussion (30 minutes)</p>
2.50–4.30 p.m. Breakout group discussions	<u>Question 1:</u> What are the main gaps and needs in the delivery of capacity-building activities which require immediate attention by actors providing capacity-building under and outside the Convention?	100 minutes	<p>▶ Breakout group 1 Discussion leader 1: Ms. Penda Kante (Senegal) Rapporteur 1: Mr. Andrew Rakestraw (United States of America)</p>

Time	Focus	Duration	
	<p><u>Question 2:</u> How is coherence and coordination in the delivery of capacity-building activities ensured so that developing country Parties can plan, develop and implement adaptation, mitigation and technology development and transfer actions?</p> <p><u>Question 3:</u> How can institutional arrangements for capacity-building address the gaps and needs identified in session 1?</p>		<p>► Breakout group 2 Discussion leader 2: Mr. Makoto Kato (Japan) Rapporteur 2: Ms. Smita Nakhooda (Overseas Development Institute)</p>
4.30–4.45 p.m.	COFFEE BREAK		
4.45–5.30 p.m. Reporting back from breakout groups		45 minutes	<p>► Reporting by rapporteurs ► Questions and answers</p>
5.30–5.45 p.m. Synthesis		15 minutes	Final plenary
5.45–6 p.m. Concluding session	Workshop facilitators to outline key messages from the workshop and next steps	15 minutes	<p>Mr. Bubu Pateh Jallow (Gambia) and Mr. Kunihiko Shimada (Japan) Workshop co-facilitators</p>

Annex II

Questions used to guide the breakout group discussions

1. Question 1: What are the main gaps and needs in the delivery of capacity-building activities which require immediate attention by actors providing capacity-building under and outside the Convention?
 2. Question 2: How is coherence and coordination in the delivery of capacity-building activities ensured so that developing country Parties can plan, develop and implement adaptation, mitigation and technology development and transfer actions?
 3. Question 3: How can institutional arrangements for capacity-building address the gaps and needs identified in session 1?
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