United Nations

FCCC/TP/2016/1

Framework Convention on Climate Change

Distr.: General
13 May 2016

English only

Third comprehensive review of the implementation of the framework for capacity-building in developing countries

Technical paper by the secretariat

Summary

This technical paper has been prepared to support Parties in conducting at the forty-fourth session of the Subsidiary Body for Implementation the third comprehensive review of the implementation of the framework for capacity-building in developing countries by providing a synthesis and initial assessment of actions undertaken to implement the framework and of gaps and needs that have emerged in the course of its implementation. It covers capacity-building activities reported between January 2012, when the second comprehensive review of the implementation of the capacity-building framework was completed, and March 2016.

GE.16-07833(E)

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Contents

I. Introduction

A. Mandate

1. The Conference of the Parties (COP), at its twenty-first session, requested the secretariat to prepare a technical paper on the implementation of the framework for capacity-building in developing countries established under decision 2/CP.7 (hereinafter referred to as the capacity-building framework), as input to the third comprehensive review of the implementation of the capacity-building framework (hereinafter referred to as the third comprehensive review), to be conducted by the Subsidiary Body for Implementation (SBI) at its forty-fourth session.[1]

B. Context

2. This document was prepared on the basis of the information sources listed in the terms of reference for the third comprehensive review.[2] It includes observations on progress made in the implementation of the capacity-building framework and on gaps in the capacity-building support to developing countries.

3. The information analysed covers capacity-building activities that took place between January 2012, when the second comprehensive review of the implementation of the capacity-building framework was completed, and March 2016.

4. Information on capacity-building has become increasingly available every year since the second comprehensive review, a trend that can be attributed to the following:

(a) Parties included in Annex II to the Convention (Annex II Parties) reporting on their provision of capacity-building support to Parties not included in Annex I to the Convention (non-Annex I Parties) in their biennial reports (BRs);

(b) The increased efforts of non-Annex I Parties to report in their biennial update reports (BURs) information on capacity-building and technical support received from Annex II Parties and other Parties, the Global Environment Facility (GEF), the Green Climate Fund (GCF) and multilateral institutions;

(c) An overview of capacity-building activities being provided at the meetings of the Durban Forum on capacity-building;

(d) The capacity-building portal being annually updated with capacity-building projects and activities submitted by United Nations organizations and other relevant institutions;

(e) The inclusion of capacity-building in the workplans of new bodies established under the Convention;

(f) Non-state actors undertaking initiatives to support developing countries in planning and implementing low-carbon, climate-resilient development strategies.

5. Nevertheless, the review of information on capacity-building is made challenging by the cross-cutting nature of capacity-building. Information on capacity-building and the effectiveness of the implementation of the capacity-building framework is not easily aggregated, making it difficult to perform a quantitative and qualitative analysis and to draw general conclusions on enhancing the implementation of capacity-building.

[1] Decision 14/CP.21, paragraphs 2 and 3, and annex, paragraph 6.
[2] Decision 14/CP.21, annex, paragraph 5.

6. It should be noted that in relevant national reports capacity-building activities are not only reported in chapters and tables specific to capacity-building but also in other sections, for example those related to adaptation, mitigation or development and transfer of technology. Furthermore, as capacity-building is generally integrated in projects and programmes promoting low-carbon, climate-resilient development, isolating it for reporting purposes can prove difficult. Adopting a more streamlined approach to highlighting activities that contribute to capacity-building would further enhance the review of the implementation of the capacity-building framework.

II. Capacity-building programmes and activities and their key results and impacts

7. Capacity-building programmes and activities reported between January 2012 and March 2016 were undertaken at the institutional, systemic and individual levels and cover all of the 15 needs and priority areas[3] identified in the capacity-building framework. While in the past two years particular attention has been devoted to programmes and activities relating to the preparation of intended nationally determined contributions (INDCs), reported activities undertaken throughout the period considered in the third comprehensive review are mainly focused on the areas of mitigation, adaptation, enabling environments, and cross-cutting education, training and public awareness.

1. Capacity-building programmes related to mitigation

8. As regards mitigation, programmes and activities are focused on the provision of technical assistance and advisory services through bilateral and multilateral channels to promote low-emission development strategies in recipient countries. They cover institutional, systemic and individual capacity aimed at enabling the promotion of energy-efficiency policies and the transfer of renewable energy technologies.

9. The development of capacity for measuring and monitoring forest carbon is increasingly being promoted and supported by Annex II Parties, with a view to endorsing strategies, implementing policies and conducting technical research to reduce emissions from deforestation and forest degradation in developing countries.

2. Capacity-building programmes related to adaptation

10. Most programmes and activities relating to adaptation are geared towards building capacity to enhance the resilience of vulnerable communities to longer-term climate change impacts and they cut across related activities such as vulnerability assessment, disaster risk reduction, the development and transfer of adaptation technologies, and education, training and public-awareness programmes for rural communities, taking also into account gender considerations.

11. Initiatives created in the context of the national adaptation plan (NAP) process with the involvement of various development partners and non-governmental organizations (NGOs) have contributed to raising awareness, developing ideas and building capacity for adaptation planning.[4]

12. Other capacity-building initiatives related to adaptation involved training in the assessment of climate change impacts, vulnerabilities and risks, the establishment of national climate service centres and providing technical assistance to local planners in using climate-related data and information.

[3] Decision 2/CP.7, annex, paragraph 15.
[4] See document FCCC/SBI/2013/9.

3. Capacity-building programmes related to enabling environments

13. Support has been provided to developing countries to establish and strengthen enabling environments through the policies, regulations and infrastructure needed for the development and implementation of diverse climate change adaptation and mitigation projects. In addition to activities undertaken to build the capacity to facilitate access to financial resources, programmes oriented towards enhancing innovative financing approaches have also been pursued to enable developing countries to attract funding from private sources, given the key role that private investment can play in financing mitigation and adaptation projects.

14. Activities at the institutional, systemic and individual levels carried out to enhance the capacity to mitigate and adapt to climate change were reported by non-Annex I Parties in their national communications (NCs) and/or BURs, where they described efforts undertaken to enable the formulation, coordination and implementation of mitigation- and adaptation-related activities. Information on the involvement of non-Annex I Parties in regional and subregional initiatives funded through bilateral and multilateral channels is contained in submitted BURs in tables referring to technical and capacity-building needs. Projects, programmes and partnerships for technical assistance were noted in the context of South–South cooperation, in particular in the areas of the development and transfer of technology, training, knowledge-sharing and networking.

4. Key results and impacts of capacity-building

15. Non-Annex I Parties that submitted NCs and BURs between 2012 and 2015 reported on results in the area of institutional and systemic capacity-building. Domestic institutional arrangements benefited from the establishment of governmental bodies, divisions or committees and the appointment of climate change focal points and dedicated authorities as follows:

(a) Designated national authorities for the clean development mechanism (CDM);

(b) National designated entities for the Climate Technology Centre and Network;

(c) National designated authorities (NDAs) for the GCF;

(d) Designated authorities, national implementing entities (NIEs) and regional implementing entities (RIEs) for the Adaptation Fund.

16. The adoption of national climate change programmes and strategies by non-Annex I Parties, supported by the enactment of laws and regulations in line with their national priorities, has paved the way for low-carbon, climate-resilient development and economic growth. Most non-Annex I Parties highlighted their engagement in mainstreaming climate change issues in national planning and budgeting and enforcing environmental legislation at the national and local levels. That has also laid the basis for the implementation of climate change mitigation policies, measures and projects and the development of nationally appropriate mitigation actions (NAMAs), REDD-plus[5] and CDM projects.

17. Information on programmes and a wide range of activities related to adaptation is contained in documents related to the national adaptation programme of action (NAPA) and NAP processes. The NAPA process has played a pivotal role in enabling non-Annex I Parties to identify key vulnerabilities, to conduct impact assessments at the national, local and community levels, to use methods, tools and data sources to prepare vulnerability and adaptation assessments and to determine the capacity and resources needed to implement national adaptation strategies. As a result, communities living in areas affected by extreme weather variability now have a much higher awareness of climate change issues and can

[5] In decision 1/CP.16, paragraph 70, the Conference of the Parties encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks.

undertake measures to reduce their vulnerability. Studies on indigenous skills have enabled the integration of indigenous knowledge into adaptation policies, technologies and practices. The NAPA process has also helped the least developed countries (LDCs) to build national capacity within and across institutions and sectors and to increase awareness of the negative impacts of climate change. In particular, the creation of platforms for information sharing between different stakeholders, including non-governmental actors, has contributed to the development of individual capacity in different sectors.

18. Multi-stakeholder workshops organized at the regional level have laid the groundwork for the NAP process and contributed to a coherent, coordinated, efficient and mainstreamed way of delivering support for adaptation to climate change at the national and regional levels, including by:

(a) Building capacity for the overall coordination and leadership of the NAP process and for the identification and assessment of institutional arrangements, programmes and policies;

(b) Promoting national action on adaptation planning and regional cooperation on coastal adaptation;

(c) Contributing to and building upon existing development planning strategies to implement priority adaptation actions;

(d) Alleviating poverty and enhancing the resilience of rural households to the effects of climate change.[6]

19. In the area of technology development and transfer, project ideas prepared by Parties under the umbrella of technology action plans have facilitated the identification of technology transfer projects and the diffusion of prioritized technologies to mitigate greenhouse gas (GHG) emissions and adapt to the adverse impacts of climate change.

20. Many non-Annex I Parties have created institutions responsible for meteorological, hydrological and climatological services. Such research institutions have been set up to improve the national capacity to undertake systematic data collection and documentation. That, in turn, contributes to improving the understanding of the climate system and the impacts of climate change, which facilitates the development of appropriate adaptation responses and early warning systems. Recognizing the importance of scientific and technical cooperation on earth observations and sciences, Parties have increased networking, coordination and partnerships in climate research at the international level. Access to advanced technology and monitoring tools has promoted the generation of valuable and more accurate information.

21. Many Parties have invested great efforts in improving climate change information and networking. The creation of regional and international networks has contributed to enhancing cooperation and research in the area of climate observation. Those networks also provide targeted training in managing and operating new technologies. The creation of centralized data and information sharing centres, especially in the area of meteorology, has contributed to enhanced knowledge of scientific aspects of climate change. With growing public access to the Internet, online information portals on climate change are the most frequently reported tool used by non-Annex I Parties to facilitate knowledge-sharing and networking. The use of online services and the creation of dedicated websites are significantly contributing to the dissemination of information on climate change.

22. Table 1 contains examples of progress made in various capacity-building priority areas by way of establishing or strengthening relevant institutional arrangements. Such examples illustrate that the enhancement of institutional arrangements triggers a cascade effect with positive impacts in the long term in related areas.

[6] See document FCCC/SBI/2014/INF.25.

Table 1
Key results and impacts derived from newly established or strengthened institutional arrangements

Enabling environment	*National reporting*	*Greenhouse gas inventories*	*Adaptation*	*Mitigation*	*Clean development mechanism*	*Research and systematic observation*
Development of environmental protection policies and regulatory frameworks	Definition of regulatory and technical frameworks at the national level to facilitate the preparation of national communications (NCs), biennial update reports (BURs) and intended nationally determined contributions	Coordinated, collaborative and participatory approach to the preparation of greenhouse gas inventories, consisting of joint involvement of ministries, non-governmental organizations and the private sector	Formulation of adaptation strategies closely related to other development priorities such as poverty reduction and food security	Identification of country-specific mitigation options	Adoption of national clean development mechanism (CDM) policy guidelines to administer, manage, facilitate and control national CDM processes, including CDM programmes	Improvement of meteorological station networks and the quality of data collection
Adoption of national policies and strategies with embedded climate change components and sustainable development principles, including the United Nations Millennium Development Goals	Coordination of the work on specific chapters of reports, promoting synergies and avoiding duplication of efforts in the preparation of NCs and BURs	Adoption of institutional, legal and procedural measures to ensure the continuous and regular updating of national greenhouse gas inventories, the consistency of reported emission flows and the quality of results	Adoption of policies empowering local communities to effectively manage their natural resources	Development of baseline scenarios, long-term plans and nationally appropriate mitigation actions	Adoption of procedures enabling the evaluation and approval of submitted CDM projects	Participation in global and regional networks

Enabling environment	*National reporting*	*Greenhouse gas inventories*	*Adaptation*	*Mitigation*	*Clean development mechanism*	*Research and systematic observation*
Planning and implementation of policies and measures for climate change mitigation and adaptation at all levels of governmental jurisdiction (national, state or provincial and municipal)	Promotion of a transparent and participatory approach to the preparation of NCs based on collaboration among all stakeholders, including governmental and private institutions, academia and civil society	Correct application of methodologies of the Intergovernmental Panel on Climate Change and use of specific and localized model analysis and assessment tools	Implementation of the national adaptation programme of action and national adaptation plan processes	Launch of low-carbon development and REDD-plus[a] strategies	Introduction of technologies promoting low-carbon development at the national level	
Establishment of permanent systems for the measurement, reporting and verification of mitigation actions and other activities relating to the Convention		Development of a quality assurance/quality control plan	Assessment of climate change vulnerability and the risk of loss and damage associated with climate change impacts	Promotion of awareness-raising campaigns and dissemination of relevant information	Cooperation with international counterparts to carry out CDM projects	
Public expenditure to strengthen governance and delivery of climate finance in line with monitoring, reporting and verification requirements		Reduction of uncertainty and production of authoritative and reliable data	Sharing knowledge by means of tools such as technical guidelines, networks and databases		Involvement of non-governmental organizations as implementers and facilitators of CDM projects and of voluntary carbon projects involving local communities	

Enabling environment	*National reporting*	*Greenhouse gas inventories*	*Adaptation*	*Mitigation*	*Clean development mechanism*	*Research and systematic observation*
Improved coordination among key ministries involved in sectoral climate change plans and between central and local authorities, and the engagement of non-state actors			Inclusion of gender considerations in the design and implementation of adaptation projects			
Creation of platforms for the coordination of climate change responses at the national level and cooperation with regional organizations						
Application of the World Meteorological Organization guidelines in the area of research and systematic observation						

[a] In decision 1/CP.16, paragraph 70, the Conference of the Parties encouraged developing country Parties to contribute to mitigation actions in the forest sector by undertaking the following activities: reducing emissions from deforestation; reducing emissions from forest degradation; conservation of forest carbon stocks; sustainable management of forests; and enhancement of forest carbon stocks.

5. Information on capacity-building programmes and activities submitted by United Nations organizations and other institutions

23. Information submitted between 2012 and 2015 by United Nations organizations and other institutions, including the GEF, the GCF and the Adaptation Fund, on activities related to capacity-building provides indicative samples of the magnitude of activities undertaken in developing countries related to capacity-building and capacity development. Since the development of the capacity-building portal,[7] an online capacity-building database, the submitted information is available and retrievable according to various search criteria. Table 2 and figure 1 provide an overview of the types of activity submitted in relation to each of the 15 needs and priority areas identified in the capacity-building framework and the regional distribution of the submitted activities.

Table 2
Distribution by priority area of capacity-building activities submitted by United Nations organizations and other institutions in the period 2012–2015

	Year of submission			
Priority area	*2012*	*2013*	*2014*	*2015*
Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points	37	16	61	84
Enhancement and/or creation of an enabling environment	60	41	107	43
National communications	13	32	34	19
National climate change programmes	6	1	12	71
Greenhouse gas inventories, emission database management and systems for collecting, managing and utilizing activity data and emission factors	7	3	21	26
Vulnerability and adaptation assessment	13	12	24	24
Capacity-building for the implementation of adaptation measures	20	22	48	37
Assessment for the implementation of mitigation options	23	36	17	54
Research and systematic observation, including meteorological, hydrological and climatological services	18	20	31	30
Development and transfer of technology	53	36	75	47
Improved decision-making, including assistance for participation in international negotiations	25	13	17	33
Clean development mechanism	18	14	43	10
Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention	7	5	7	10
Education, training and public awareness	54	34	89	162
Information and networking, including the establishment of databases	26	16	36	31

[7] Available at <http://unfccc.int/capacitybuilding/core/activities.html>.

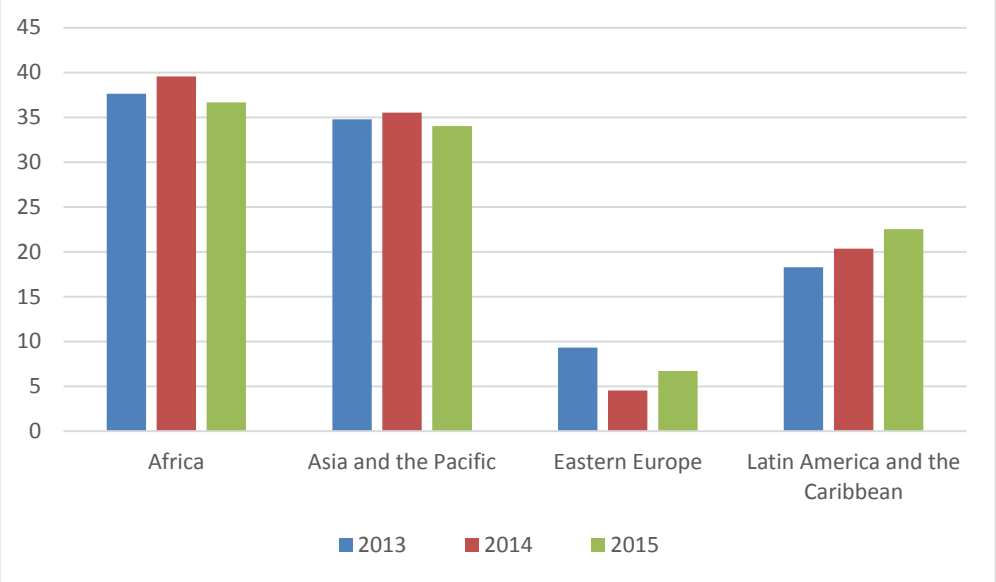
Priority area	*Year of submission*			
	2012	*2013*	*2014*	*2015*
Total	**380**	**301**	**625**	**681**

24. The number of activities reported in submissions from United Nations organizations and other institutions, as presented in table 1, progressively increased from 2012 to 2015. While 380 capacity-building activities were reported in 2012, in 2015 681 activities were reported, an increase of 79.2 per cent. There has been an overall increase in the number of activities reported for most priority areas, other than for activities related to the CDM and needs arising from the implementation of Article 4, paragraphs 8 and 9, of the Convention. The most marked increases in the number of activities reported are in the areas of national climate change programmes, GHG inventories, and education, training and public awareness.

25. The activities related to education, training and public awareness were reported mostly by the Climate Technology Centre and Network (35 activities), the GEF (29 activities), the Food and Agriculture Organization of the United Nations (27 activities) and the United Nations Environment Programme (21 activities).

26. As illustrated in figure 1, most activities reported by United Nations organizations took place in Africa (between 37 and 40 per cent), followed by Asia-Pacific (between 34 and 36 per cent) and lastly Latin America and the Caribbean (between 18 and 23 per cent), for which the information indicates a slight upward trend in the number of activities. The percentage of activities reported for Eastern Europe varies between 2013 and 2015 between 5 and 9 per cent.

Figure 1
Distribution by region of capacity-building activities submitted by United Nations organizations and other institutions in the period 2013–2015



III. Emerging capacity-building needs and gaps

27. NCs and BURs submitted by non-Annex I Parties between 2012 and 2015 contain information on specific capacity-building needs and gaps and priorities at the institutional, systemic and individual levels that are still to be addressed. At the institutional and systemic levels, for example, stable and permanent institutional arrangements are needed to define regulatory and technical frameworks at the national level for planning and implementing climate change strategies. In many instances, non-Annex I Parties highlighted that the ineffectiveness of capacity-building activities in developing countries is due to the ad hoc nature of capacity-building linked to time-bound projects, which is not sustainable in the long term.

28. The description of needs and gaps below takes into account the list of 15 priority areas for capacity-building contained in the capacity-building framework. The information has been aggregated over multiple areas to streamline the text, as gaps and needs at the institutional, systemic and individual levels cut across many areas.

1. Financial resources

29. Most non-Annex I Parties that submitted national reports in the course of the past three years indicated the lack of financial resources and the difficulty in accessing them as the most crucial barriers to planning and implementing capacity-building action, especially within the LDCs. Although these barriers are recurring in all 15 priority areas of the capacity-building framework, the lack of adequate financial support for the following activities impinges on national progress towards low-carbon and climate-resilient goals:

(a) The creation and/or maintenance of a robust institutional structure responsible for the design, planning and implementation of medium- and long-term climate change policies;

(b) The enhancement of the awareness of decision makers on climate change to facilitate the formulation of adequate regulatory frameworks and to mainstream environmental and climate change related issues in other sustainable development initiatives;

(c) The organization of training for managerial staff to facilitate the implementation of the above-mentioned frameworks, to strengthen collaboration between existing institutional arrangements and the private sector and to identify bilateral and multilateral agencies for cooperation and partnerships;

(d) The organization of training for national experts to enhance their sectoral scientific and technical knowledge.

30. A thorough analysis at the national level of what the difficulties are in accessing climate finance and/or managing it would contribute to building and enhancing the capacity to overcome them.

2. Institutional arrangements, including for national reports and greenhouse gas inventories

31. Establishing and strengthening institutional arrangements is still a challenge for developing countries. In particular, permanent institutional arrangements are needed to facilitate the preparation of NCs, BURs and INDCs. In this context, the preparation of BURs and INDCs has required efforts and capacities stronger than those needed for the preparation of NCs, and existing institutional arrangements are no longer appropriate and suitable to meet the new reporting requirements under the Convention and the newly adopted Paris Agreement.

32. Another critical issue is the absence of a permanent national institution responsible for the GHG inventory, which has a considerable effect on the quality of the reporting. The challenge in this case is creating a dedicated institution or team in charge of the preparation of the national GHG inventory, which can avail of adequate statistical data or reliable information and a standardized system for collecting and processing information. In some cases, the lack of disaggregated activity data and emission factors leads to incomplete estimates of sectoral GHG emissions.

33. Training is recognized to be critical in strengthening institutional coordination and in addressing high staff turnover. Parties highlighted the need for more integrated, rather than sectoral, training in order to strengthen the technical capacity of a broader range of staff to carry out specific data collection tasks. In some cases, the pool of experts trained to conduct the inventory is not large enough, resulting in the recruitment of international consultants.

34. The development and implementation of climate change policies and plans are hindered by limited technical expertise in climate change related domains. More targeted training of national experts is needed, especially in the areas of climate change models, research methodologies and data collection and management. Insufficient or obsolete technical equipment is a major concern reported, in particular by the LDCs.

35. Some non-Annex I Parties noted the need to disseminate the content of NCs at all levels in order to increase public understanding and awareness of climate change.

3. Enabling environments

36. Promoting an enabling environment for meeting national climate change goals is still a challenge for many developing country Parties, which report a lack of adequate policy frameworks necessary to support effective mitigation and adaptation actions. A capacity constraint in this area is the lack of national climate change policies and plans, including GHG inventory strategies, NAPs, technology action plans, NAMAs, systems for meteorological observation and analytical tools and models.

37. Some non-Annex I Parties are still working on putting regulatory frameworks in place to improve coordination among national bodies in their approach to addressing climate change. Notwithstanding climate change being mentioned in national legislation, there is still a need to adopt appropriate guidelines for long-term sustainable planning of environmental sectoral policies, strategies or action plans for green growth, a low-emission economy and resilience to climate change. Some Parties see a need to adopt a finance policy to ensure that financial and other resources are allocated to, and utilized for, climate change related activities.

38. The establishment of permanent systems for the monitoring, reporting and verification (MRV) of mitigation actions and other activities relating to the Convention is considered to be of key importance, which implies the need for training and technical assistance on quality control, documentation and archiving, among others.

4. National climate change programmes

39. A few Parties are yet to fully develop climate change programmes. For those Parties that have such programmes in place, the lack of financial resources is affecting their implementation. In a few cases, Parties highlighted that certain national priorities, such as economic growth, that conflict with climate change issues can slow down the process to develop a climate change strategy and/or plan.

40. A further barrier to the implementation of national plans is the lack of capacity for project management, including for monitoring and evaluation. This barrier could be overcome if more targeted training were provided.

41. A few non-Annex I Parties reported the difficulty of mainstreaming climate change considerations in national strategies for sustainable development, because of the insufficient interest of policymakers on climate change issues. In this context, it is necessary to organize awareness-raising courses and campaigns on the interlinkages between poverty, food security and climate change targeting policymakers and government officials.

5. Vulnerability and adaptation assessments

42. One component of conducting vulnerability and adaptation assessments is the identification of climate change risks. In this regard, Parties reported issues such as fragmentation of information, lack of, or limited access to, data to conduct assessments, and outdated climate and impact models hampering the work on key risks and impacts. The shortage of qualified and trained personnel, especially in monitoring and data processing technologies, needs to be addressed through the organization of training in order to assimilate assessment approaches and methodologies and to develop, update and downscale climate change scenarios as the basis for the assessment of climate change impacts.

43. Insufficient coordination between central governments and subnational authorities, experts and research institutions is another barrier identified by many non-Annex I Parties to the implementation of vulnerability and adaptation assessments. As vulnerability and adaptation assessments are often undertaken by means of a participatory multi-stakeholder process, the need for training courses emerges, with the objective of increasing the level of scientific and technical skills within government institutions, NGOs, local communities and the private sector.

6. Implementation of adaptation measures

44. As regards the implementation of adaptation measures, examples of relevant capacity-building needs include: the development of institutional arrangements, in particular of a multilevel governance approach embracing regional, national and local communities; the acquisition of scientific and technical skills; enlarging and expanding the network of meteorological and agrometeorological stations; and the preparation and distribution in local languages of information kits on adaptation.

45. Constraints identified in this priority area were stressed in particular by the LDCs, which reported the following issues: lack of national adaptation action plans and comprehensive adaptation strategies; insufficient capacity to employ the most advanced adaptation assessment models; insufficient basic data; and lack of capacity for disaster management.

46. Among the LDCs that submitted NAPAs, Equatorial Guinea was the only Party that submitted it after the second comprehensive review. The lack of awareness of the importance of climate change is one of the major challenges highlighted in the NAPAs. If general concepts like climate change risks, increased sustainability and enhanced resilience are still widely unknown, the need to sensitize interested groups and to introduce such topics in school curricula becomes urgent. The lack of coordination and communication between institutions (ministries, the private sector, etc.) limits the ability of the country to address the negative impacts of climate change. It is necessary to ensure the transfer of knowledge, including through innovative systems ensuring transparency, such as the creation of coordination platforms enabling the participation of stakeholders at all levels. There is a concern that lack of national funding may negatively affect the implementation of action in line with national priorities.

47. The growing importance of readiness to access adaptation finance has emerged within the area of NAPs. Readiness is considered to be an incremental process that enables developing countries to strengthen their capacity to receive and utilize climate financing as they adapt and build resilience to climate change. A number of developing countries have

demonstrated that they are ready to access several types and levels of funding, so they should be provided with the opportunity to start such processes following a learning-by-doing approach. Lack of the necessary information and databases to identify adaptation and related capacity-building is another challenge emphasized by non-Annex I Parties. The LDCs highlighted that technical and financial support needs become clearer when the NAP process starts.[8]

48. Furthermore, it is critical to ensure that all stakeholders involved in the development of adaptation plans clearly understand their roles in the process, that their capacity to perform such roles is adequately strengthened and that the necessary resources are made available. Regarding communication and outreach at the national level, the consensus is that efforts are not strong enough in sharing relevant outcomes and outputs of the process to formulate and implement NAPs with all national stakeholders. A solution in this case would be to apply commonly used approaches, such as the dissemination of information related to NCs.

49. The need to integrate climate change adaptation into strategic planning oriented towards sustainable development and poverty reduction is one of the most frequent recommendations provided by non-Annex I Parties. Other recommendations include: strengthening the capacity of national and local institutions to manage climate risks through the development of appropriate regulatory frameworks and effective climate information systems; developing and diffusing adaptation technologies and innovations; and enhancing communication on climate risk management and effective adaptation strategies among researchers, producers and policymakers.

7. Assessment of mitigation options

50. Parties face several obstacles with respect to the design and implementation of mitigation options. An example is the need to develop and implement an effective regulatory framework supplemented by trained and qualified personnel in the sectors where mitigation occurs. Parties also mentioned the need to build the capacity to establish an efficient data and information repository to house and store GHG inventories, mitigation assessments, information sources and methodologies.

51. Developing and implementing NAMAs is a challenge for some non-Annex I Parties, which ascribed the limited utilization of environmentally sound technologies to weak institutional arrangements and inadequate national and sectoral policies. The absence of MRV procedures and a system to track co-benefits in the wider context of sustainable development has in some cases impeded the development of NAMAs. While some non-Annex I Parties are working on the development, establishment and implementation of NAMA MRV systems, other Parties are reliant upon assistance from bilateral and multilateral agencies to build their capacity for the creation of an MRV system for domestically supported NAMAs. Training in systems analysis and computer simulation modelling, building institutional, administrative and regulatory frameworks and establishing other mechanisms for information collection, monitoring and sharing are among the capacity-building needs reported by several non-Annex I Parties in this area.

52. Other constraints mentioned by non-Annex I Parties in this area include: the scarcity of financial resources and the lack of awareness of policymakers, impinging on the adoption of specific legislation guiding mitigation action; the insufficient development of economy-wide and sectoral mitigation targets; and the absence of best available technologies for mitigation measures. More targeted and specific needs include: the enhancement of the knowledge and skills required to carry out intended climate change mitigation measures; the involvement of donors in the development and implementation of NAMAs, including with the support of the Financial Mechanism; and the development and

[8] See document FCCC/SBI/2015/INF.6.

application of emission projection and economic development models including climate change considerations.

8. Research and systematic observation

53. The most urgent need identified by developing country Parties in this priority area is the need to invest in human capital. Experts are needed and the individual skills of existing staff in the area of meteorological observation and climatology need to be expanded. Another challenge is the establishment, both quantitatively and qualitatively, of institutional arrangements in the area of systematic research and oceanography. This would help to introduce adequate knowledge-management procedures and ensure the central coordination of information sharing among involved structures.

54. Concerns related to systematic observation, data analysis and modelling include the need to upgrade information technologies installed in key institutions. There is also a need to upgrade conventional equipment or to replace it with the digital equivalent, to minimize the impact of insufficient records on overall data quality. Discontinuing the existing fragmented monitoring networks in favour of more appropriate monitoring of atmospheric, terrestrial and oceanographic values is another critical issue. It has been observed that the limited availability of climatological data is the result of the closure of many national weather stations.

55. Attention has been drawn also to the need to disseminate scientific data and information to policymakers and the public in an appropriate language.

9. Development and transfer of technology

56. Parties drew attention to specific policy, institutional, systemic, scientific and technical barriers to technology transfer. The need to create an enabling environment for the transfer of technologies and practices was highlighted in NCs and technology needs assessments,[9] which necessitates strengthening environmental policy and regulatory frameworks, enhancing the legal system, defining clear roles and responsibilities for the institutions and organizations concerned and designating a focal point in charge of coordinating the sectoral activities undertaken by various governmental institutions. One barrier is the lack of information on the benefits of new technologies. There is a need to prioritize the strengthening of educational modules and technical skills to overcome gaps in knowledge and technical capacity.

57. There is also a need to establish national institutions tasked with overseeing the development of new technologies. Specific training has to be organized for policymakers, representatives of financing institutions and technology users and operators, including at the community level, for them to absorb or enhance the technical knowledge and skills necessary to promote and implement mitigation and adaptation projects. The adoption of information and awareness programmes to promote the use of specific technologies was also mentioned as an enabling factor for technology transfer, including the creation of databases of environmentally sound technologies and access to financial resources to purchase intellectual property rights.

10. Improved decision-making

58. While acknowledging progress made in building the capacity of policymakers to address climate change issues in key sectors and thematic areas, non-Annex I Parties recognize the need for continuous capacity-building efforts to improve the decision-making and policymaking processes, including through awareness-raising initiatives in order to enhance the knowledge of policymakers on the linkages between climate change and issues

[9] See document FCCC/SBSTA/2013/INF.7.

related to sustainable development such as poverty reduction and food security and to strengthen their capacity to effectively participate in international negotiations.

59. Many developing country Parties underscored the need to enhance the analytical capacity of experts, policymakers and decision makers to acquire a deeper understanding of the links between technical and political issues related to climate change and of the UNFCCC process in general. Several Parties noted the urgent need to increase the involvement in the decision-making process of stakeholders operating at the community level, which implies the need for additional training and education programmes focused on climate change.

11. Clean development mechanism

60. Although there has been progress made in this area, several constraints to participation in the CDM were noted. Some Parties reported that their designated national authorities are not yet operational and that regulations to guide the formulation of CDM projects have not yet been adopted. This is because of severe capacity constraints, including the lack of an institutional structure with knowledgeable staff able to set up appropriate regulations and guidelines for processing CDM projects.

61. Training programmes were identified as a priority need to efficiently address this issue. Training should cover: strengthening the capacity of local authorities to understand complex CDM procedures, so as to enable the more effective formulation and design of CDM project activities; enhancing decision makers' limited knowledge of the financial and environmental benefits of the CDM; and establishing outreach programmes to attract CDM project developers. Some Parties noted that capacity-building for technology development and transfer in the CDM context is more successful when a subsidiary of a company from a developed country is involved.

12. Education, training and public awareness

62. Some Parties have not yet adopted a national strategy for environmental education or developed appropriate teaching materials and training courses on climate change. In some cases, the topic of climate change is almost absent from formal education, from primary schools to university. The scarcity of environmental and climate change educational materials for use by governmental institutions, civil society, private businesses and NGOs results in weak action on climate change and hampers the success of public awareness-raising campaigns and initiatives.

63. Adequate support is needed to translate information and key documents on climate change into local languages and to organize specific training programmes for the media. Many Parties stressed the need for a monitoring scheme and the development of indicators to measure the effectiveness of education, training and public-awareness programmes.

64. The participants in the Dialogue on Article 6 of the Convention noted the need for targeted training for various stakeholder groups, taking into account traditional practices and indigenous knowledge as well as the role of indigenous women as depositories of such knowledge.

13. Information and networking

65. Many Parties advocated the need to develop data and information management systems that allow information sharing and integrated analysis and synthesis at the local, regional and international levels. Furthermore, an expanded network of research institutions enabling the exchange of information between scientists and experts would enhance knowledge on emerging climate change issues.

66. Non-Annex I Parties highlighted the lack of cooperation and coordination among institutions in sharing information and data and emphasized the importance of building the

capacity to manage national databanks and archives and to develop a comprehensive system of data storage, in particular for systematic observation.

IV. Stakeholders involved in and benefiting from capacity-building activities

67. Many capacity-building programmes and activities are undertaken using a participatory multi-stakeholder approach in the context of international cooperation. In their INDCs, many developing country Parties highlighted their interest in engaging in multi-stakeholder partnerships and cooperation to facilitate the provision of financial, technology and capacity-building support for implementing INDCs, achieving climate change goals and addressing related challenges.

68. Information sources highlight internal (national) and external (international) stakeholders, acting at the international, subregional, regional, national, local and community levels, that are involved in and/or benefiting from capacity-building activities. The complexity of the climate change challenge necessitates the involvement of many levels of stakeholders at a given time.

69. Identified stakeholders, linked by cross-boundary and interdisciplinary interests and commitments, are as follows: governmental institutions, policymakers, lawmakers and government officials; NGOs; community-based organizations and rural households; the research community; civil society; indigenous peoples; the private sector and the business community; youth and children; women; the media; donors and bilateral agencies; intergovernmental organizations; multilateral agencies; and professional associations and professionals.

70. While, in many instances, the recipients and providers of capacity-building are quite clear, there is a path along which recipients become providers, such as when recipients of support become repositories for lessons learned, good practices and success stories once they have received training and hands-on experience.

71. Much attention has been given to building the capacity of policymakers because of their involvement in a wide range of political, strategic, technical and scientific issues of relevance to climate change. Training for policymakers has covered the following topics:

(a) Managerial competence;

(b) Mitigation and adaptation, including related sectors;

(c) Scientific and socioeconomic aspects of climate change;

(d) International climate change negotiations, including facilitation skills and communication techniques.

72. Training for negotiators and government officials has also frequented occurred. Ad hoc training sessions with members of the scientific community have enabled government representatives to absorb the scientific basis of climate change. Hundreds of developing country negotiators have received training to strengthen their familiarity with the UNFCCC process, which has resulted in their active contribution to developing common negotiating positions among Parties.

73. Training opportunities in climate negotiations have also been created specifically for female delegates. Training in facilitation skills and communication techniques has enabled female delegates to define an appropriate approach to consultations with key stakeholders, including resource managers, local authorities and representatives of community villages.

74. Non-state actors, including national NGOs and research and educational institutions, play an increasingly crucial role in enhancing public awareness of the importance of the

planning and implementation of adaptation and mitigation actions. The role of NGOs in building such capacity within local and grass-roots communities and community-based organizations is recognized as being significant.

75. Civil society and local and grass-roots communities were generally mentioned in the context of awareness-raising activities on several topics related to climate change, its threats and the importance of adaptation and mitigation practices. The enforcement of environmental legislation has played an important role in awareness-raising campaigns for those groups. Several multi-stakeholder initiatives with the participation of NGOs, community-based organizations and policymakers have been undertaken to organize training on climate-related disaster prevention measures, including self-monitoring of early warning systems at the community and neighbourhood levels. With the increasing insurgence of extreme weather events and the related negative impacts, which in some regions trigger migration and displacement, the need for focused training and awareness-raising campaigns that build the resilience of the more vulnerable groups, including local communities, women, rural households, youth and children, becomes crucial. The development of training programmes targeting local communities should be enhanced, as they can be empowered to effectively manage their natural resources.

76. Many developing country Parties emphasized the benefits gained through bilateral and multilateral cooperation to build capacity for undertaking adaptation actions. Training programmes, including training of trainers, have been conducted to enhance the professional expertise of national experts, including members of professional associations and academia, required for the integration of climate-resilient development concepts into national and municipal strategies and plans.

77. Building on indigenous knowledge is an area where recipients and providers of capacity-building belong to the same group. The transfer of the knowledge of elders, religious leaders and individuals with different roles, taking into account gender equality, should be enhanced, with a view to increasing ownership of both adaptation and mitigation plans and implementation projects.

78. As regards stakeholders involved in capacity-building for mitigation, efforts have mainly been directed towards building public- and private-sector capacity for the design and implementation of low-emission development strategies, MRV tools, NAMAs, REDD-plus activities and CDM projects in the context of national sustainable development needs. The wide spectrum of stakeholders participating in such projects and networks includes actors from: the public sector (national governments, public institutions, cities and municipalities, intergovernmental organizations, bilateral development partners and academic institutions); the private sector (owners, suppliers, buyers and financial players); and civil society (NGOs and community groups).

79. Annex II Parties are increasingly supporting a wide spectrum of multi-stakeholder cooperation projects and network initiatives at the national, regional and subregional levels, involving actors from the public and private sectors and civil society. Such joint efforts are considered instrumental in building the capacity to integrate the regulatory reforms that are necessary for the adoption of green policies and innovative development strategies into the existing policy, systemic and institutional environments of developing countries. Some Annex II Parties reported an increased number of examples of public–private partnerships, in line with their efforts invested in building the capacity to enable developing countries to attract private investment to fund projects and activities with mutual environmental goals.

80. Annex II Parties and other Parties are promoting initiatives targeting local institutions and the private sector aimed at increasing their capacity to understand and address climate finance issues and to help mitigate the risks of climate-related investment opportunities in developing countries. Such initiatives aim also to develop ambitious and effective strategies for large-scale mitigation and adaptation linked to enhanced public- and

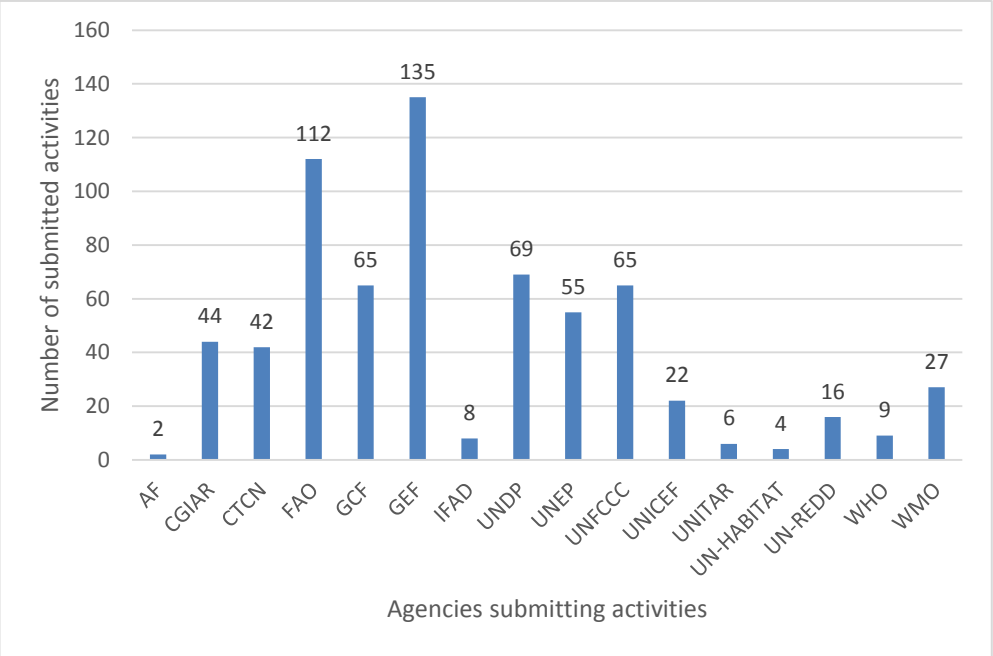
private-sector financing, to remove barriers to increased private-sector involvement and to increase their capacity to access and use climate finance.

81. Another example of a participatory multi-stakeholder approach to capacity-building includes designing, managing and monitoring projects with the close cooperation of bilateral agencies and local partners (e.g. national institutions and focal points, the local private sector, civil society, research institutes and technical support services, grass-roots organizations and bilateral, multilateral and private-sector entities). This serves the dual purpose of ensuring that capacity-building activities meet the needs and requirements of the partner country, while at the same time safeguarding and extending the positive impact of the capacity development activities.

82. South–South cooperation is increasingly providing opportunities for the exchange of good practices and lessons learned through the organization of exchanges of experience, workshops and training courses.

83. The 15 capacity-building needs and priority areas identified in the capacity-building framework are being addressed by various United Nations organizations and other institutions. In 2016, 16 international organizations reported on 681 capacity-building activities undertaken in 2015 in all relevant priority areas. Most of the capacity-building activities were reported by the GEF (135), the Food and Agriculture Organization of the United Nations (112) and the United Nations Development Programme (69), as indicated in figure 2. The UNFCCC submitted information on 65 activities. However, it should be noted that the information provided does not include the scale, duration or impact of capacity-building activities.

Figure 2
Number of capacity-building activities undertaken by United Nations organizations and other institutions in 2015



Abbreviations: AF = Adaptation Fund, CGIAR = Consultative Group on International Agricultural Research, FAO = Food and Agriculture Organization of the United Nations, GCF = Green Climate Fund, GEF = Global Environment Facility, IFAD = International Fund for Agricultural Development, UNDP = United Nations Development Programme, UNEP = United Nations Environment Programme, UNICEF = United Nations International Children's Emergency Fund, UNITAR = United Nations Institute for Training and Research, UN-Habitat = United Nations Human Settlements Programme, UN-REDD = United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries, WHO = World Health Organization, WMO = World Meteorological Organization.

V. Availability of and access to resources and effectiveness of their deployment

1. Provision of financial resources for capacity-building by Annex II Parties

84. Support provided by Annex II Parties has been targeted at enhancing institutional, systemic and individual capacity at the local, national, regional and subregional levels. When formulating their support for mitigation and adaptation activities, most Parties emphasized taking a country-driven, bottom-up approach based on national priorities and needs. They also stated that capacity-building is a joint learning process, owned and operated nationally but supported by partnerships.

85. In the sixth NCs and first BRs submitted by 31 March 2014, Annex II Parties provided quantitative and qualitative information on support provided for capacity-building activities for adaptation and mitigation. Table 4 shows that funding increased from USD 15.57 million in 2005–2010 to USD 1,633.55 million in 2009–2015 and that, over the same period, support for capacity-building for mitigation-related activities increased from USD 15.75 million to USD 321.16 million.

86. With respect to capacity-building for adaptation, relevant support activities include: support for the formulation of appropriate adaptation strategies and plans; the identification of priority adaptation measures; the provision of access to meteorological services as well as to data on weather and climate change impacts; capacity-building to assess and respond to risks associated with climate change and associated vulnerabilities; increasing understanding and awareness of the impacts of, and vulnerability to, climate change, including, for example, knowledge-sharing, South–South learning processes and the formation of strategic partnerships and alliances; the strengthening of the private sector to take into account business risks and opportunities; and promoting and establishing cooperative activities with the private sector and academia in partner countries.

87. Most Annex II Parties specifically included in their reports information on support provided for forest-related activities, including REDD-plus activities, such as: the advancement of global awareness and knowledge-sharing; the improvement of developing countries' ability to overcome barriers to the advancement of REDD-plus; the encouragement of increased public and private investment in sustainable forestry and agriculture, including the facilitation of a dialogue on leveraging finance with the private sector; the provision of technical support; and increasing the understanding of drivers of deforestation. Other issues raised by some Parties include the importance of a participatory approach to forestry and the importance of partnerships between indigenous communities, civil society organizations, government agencies and donors.

88. A number of capacity-building activities supported were not specific to adaptation or mitigation but were more cross-cutting in nature. Many Annex II Parties reported on a wide range of measures taken to encourage private-sector investment, including: the promotion of business-to-business partnerships in relation to environmentally sound technologies; capacity-building activities to enhance countries' private financial enabling environments, including improving understanding of private finance; and efforts to develop harmonized regulatory practices.

89. Some Annex II Parties provided information on steps taken to: access climate finance; support developing countries in preparing national plans; apply strategic planning in line with partner countries' needs; establish public–private and development partnerships; consult with partner countries during the project planning stage; and facilitate the participation of developing country representatives in the decision-making processes of multilateral institutions.

90. A few Annex II Parties included information in their reports on the effectiveness of climate finance. Several issues were deemed essential by Parties in addressing the effectiveness of climate finance, including: the importance of the tracking and reporting of climate finance, including its effects; the critical role of partner countries in promoting and ensuring the effectiveness of climate finance; and the importance of the establishment of a mechanism that ensures the effective use of public financing, including new and innovative schemes such as standby loans for disaster recovery and preferential terms for concessional loans.

Table 4
Information retrieved from Annex II Parties' national communications on bilateral funding for capacity-building[a]

	2005–2010	*2009–2012*
Funding for mitigation	USD 15.75 million	USD 321.16 million
Funding for adaptation	USD 155.57 million	USD 1 633.55 million

[a] Great care must be taken when considering the amounts reported in this table, given the number of discrepancies that emerged in aggregating the amounts provided by Annex II Parties in their sixth national communications (NCs) and first biennial reports (BRs). Such discrepancies are due, among other factors, to the different reporting requirements for NCs and BRs and the different approaches with regard to the submission of information in both reports.

2. Provision of financial resources for capacity-building by the Global Environment Facility

91. Capacity-building is a key theme for the GEF and is embedded in the design of its projects. The GEF has provided targeted funding for country-driven capacity-building activities following the guidance of the COP and the consistent demand from developing countries for tangible capacity development actions. The GEF portfolio supports stand-alone and multifocal projects with various capacity-building components.

92. GEF projects cut across up to 11 priority areas for capacity-building. The majority of the climate change mitigation projects address institutional capacity-building (including the strengthening or establishment of national climate change secretariats or national focal points), the development of national reports such as NCs and BURs, the enhancement and transfer of technology and the enhancement of an enabling environment, among others.

93. As regards climate change adaptation, projects include institutional capacity-building, capacity-building for vulnerability and adaptation assessments, development of national climate change programmes, implementation of adaptation measures, research and systematic observation through climate information systems, and education, training and public awareness programmes.

94. According to the information contained in its annual submission on capacity-building activities undertaken to support the implementation of the capacity-building framework, in 2014 the GEF supported capacity-building activities in developing countries with USD 396.4 million. Of that amount, 64 per cent or USD 254.8 million was allocated to climate change mitigation activities and 36 per cent or USD 141.6 million was allocated to climate change adaptation activities. In 2015, the support amounted to USD 189.0 million. Of that amount, 63 per cent or USD 118.9 million was allocated to climate change mitigation activities and 37 per cent or USD 70.2 million was allocated to climate change adaptation activities. Table 5 contains information submitted by the GEF between 2014 and 2015 on capacity-building activities supported in developing countries.

Table 5
Information submitted by the Global Environment Facility on capacity-building activities supported in developing countries between 2014 and 2015[a]

	2014	*2015*
Total number of projects that received capacity-building support	136	85
Number of climate change mitigation projects	91	55
Number of climate change adaptation projects	45	30
Total capacity-building support provided	USD 396.4 million	USD 189.0 million
Resources allocated to climate change mitigation capacity-building activities	USD 254.8 million	USD 118.9 million
Resources allocated to climate change adaptation capacity-building activities	USD 141.6 million	USD 70.2 million

[a] Covers projects that were endorsed by the Chief Executive Officer (for full-sized projects) or approved by the Chief Executive Officer (for medium-sized projects) between 1 January 2015 and 31 December 2015.

3. Provision of financial resources for capacity-building by the Green Climate Fund

95. The GCF has developed and put in place a readiness programme to build developing countries' capacity to access the GCF by preparing them to plan for, manage, disburse and monitor climate financing. To that end, institutional, systemic and individual capacity has been built to enable developing countries to engage with the fund, including the following actions:

(a) NDAs have been established or strengthened, have received training on the operations of the GCF and are expected:

(i) To have increased capacity to recommend funding proposals to the Board of the GCF in the context of national climate change strategies and plans;

(ii) To assess the country's priorities in line with the principles of the GCF, identified through stakeholder consultations;

(iii) To have increased options for access to the GCF through the identification of appropriate accredited entities;

(iv) To align GCF programming with the country's priorities and interests through assessments, workshops and studies;

(v) To establish and strengthen coordination mechanisms, including databases and operating protocols, that will improve climate interventions across sectors, agencies and levels of governance;

(b) Strategic frameworks have been developed, building on existing strategies and plans, with a view to:

(i) Developing country programmes on the basis of the country's institutional and policy framework for climate change and relevant plans and strategies;

(ii) Scaling up the country coordination mechanism for GCF-related activities to implement prioritized programmes;

(iii) Identifying opportunities to involve the private sector;

(iv) Clarifying the roles of prospective public- and private-sector entities.

96. The NDA will be the direct beneficiary of readiness support funding and/or will select delivery partners, including international organizations and other international, regional, national and subnational, public or private institutions already knowledgeable on readiness activities. Information submitted by the GCF on capacity-building activities planned and undertaken in developing countries in 2015 is contained in table 6.

Table 6
Information submitted by the Green Climate Fund on capacity-building activities supported in developing countries in 2015

	2015
Number of reported activities that received capacity-building support	65
Number of priority areas identified that received capacity-building support	3
Resources allocated to priority areas:	
Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points	USD 4 752 million
National climate change programmes	USD 4.35 million
Education, training and public awareness	USD 603 084.05
Resources allocated to capacity-building support	USD 9.705 million

4. Provision of financial resources for capacity-building by the Adaptation Fund

97. In 2014, the Adaptation Fund kicked off its Readiness Programme for Climate Finance, which aims to strengthen the capacity of national and regional entities to receive and manage climate financing to build resilience to the impacts of climate change negatively affecting a variety of sectors. The two main objectives of the programme are to increase the number of accredited NIEs and RIEs and to strengthen their overall capacity to receive and manage climate financing, particularly through the fund's direct access modality. Expected results are an increased number of developing countries that can access climate finance from the fund and the development and implementation of quality projects and programmes by NIEs and RIEs.

98. A series of capacity-building events have taken place, including regional workshops, seminars, webinars and an open dialogue for accredited NIEs and RIEs, aimed at reaching the above-mentioned objectives. Experience and knowledge were shared on various topics, including: awareness-raising on programming climate finance at the national and subnational levels; modalities for direct access to climate finance, including comprehensive, participatory and gender-responsive stakeholder involvement; communication skills for community engagement and stakeholder consultation for climate adaptation projects and programmes; and gender-responsive project development.

99. The Adaptation Fund Board approved funding for six technical assistance grants to support capacity-building for NIEs in environmental and social risk assessment and risk management in the development and implementation of adaptation projects and programmes and for five South–South cooperation grants to support the accreditation process.

100. In partnership with the Climate and Development Knowledge Network, the Adaptation Fund is supporting "Climate Finance Ready", a website that provides an online platform for information on climate finance readiness.[10] The site aims to provide

[10] Available at <https://climatefinanceready.org/tag/gcf/>.

practitioners and other actors with best practices, news articles, links to resources and opportunities for sharing experience and to foster ongoing dialogue and collaboration on climate finance readiness. Information submitted by the Adaptation Fund on capacity-building activities supported in developing countries in 2014 and 2015 is included in table 7.

Table 7
Information submitted by the Adaptation Fund on capacity-building activities supported in developing countries in 2014 and 2015

	2014	*2015*
Number of projects that received capacity-building support	2	2
Number of priority areas identified that received capacity-building support	2	2
Resources allocated to priority areas:		
Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points	USD 970 000	USD 545 000
Capacity-building for the implementation of adaptation measures	Not applicable	USD 223 000
Resources allocated to capacity-building activities	USD 970 000	USD 768 000

5. Information provided by non-Annex I Parties on the availability of financial resources for capacity-building

101. All non-Annex I Parties that submitted national reports in the course of the past three years underlined lack of financial resources as the most crucial barrier to the implementation of capacity-building action. It has impeded actions: to create and/or maintain a robust institutional structure responsible for the design, planning and implementation of climate change policies and regulatory frameworks; to train managerial staff to facilitate the implementation of such frameworks and identify bilateral and multilateral agencies for cooperation and partnerships; and to train national experts to enhance their sectoral scientific and technical knowledge.

102. A number of key challenges were reiterated by a number of developing country Parties in their national reports, including that:

(a) Financial resources currently provided are not sufficient to implement the capacity-building framework, particularly in the LDCs;

(b) Attracting funding, including from private investors, is still a challenge for many developing countries;

(c) Lack of national financial policies supporting the planning and implementation of climate change related activities can endanger efforts undertaken by bilateral and multilateral agencies to build the capacity to facilitate access to financial resources.

VI. Further implementation of the capacity-building framework

103. The capacity-building framework is the cornerstone that directs the implementation of capacity-building actions under the Convention. It provides the principles, scope, guidance for implementation and actors involved in building the capacity of developing country Parties to implement the Convention.

104. Both the first and second comprehensive reviews confirmed the continued relevance of the scope of the needs and priority areas identified in the capacity-building framework as a guide for the implementation of capacity-building activities in developing countries. The reviews also identified ways and means to further enhance the implementation of capacity-building.

105. The evolving nature of climate science and policy has led to the emergence of new capacity-building needs. Those areas, although linked to the overarching themes considered in the capacity-building framework, are not included in the list of 15 priority areas and needs agreed in 2001. Many capacity-building programmes and activities being implemented are in new areas, such as REDD-plus, loss and damage associated with climate change impacts, readiness for and access to climate finance, NAMAs, nationally determined contributions and transparency.

VII. Baselines and performance indicators for capacity-building

106. Monitoring, measuring and reviewing the impact of capacity-building activities under the Convention have been a challenge over the last decade. Major efforts were undertaken to address this issue in the period between the first and second comprehensive reviews, including the organization of two workshops and the production of corresponding reports,[11] the submission of information by Parties and the preparation of a technical paper[12] and a synthesis report[13] covering various aspects of approaches to and methodologies for monitoring and evaluation and of the design and use of performance indicators for capacity-building.[14] Parties were unable to agree on a common approach to the development of baselines and performance indicators for capacity-building.

107. Efforts were also made by other expert groups to develop performance indicators. The Expert Group on Technology Transfer, for instance, developed and tested a set of performance indicators for use by the SBI to monitor and evaluate the effectiveness of the implementation of the technology transfer framework. The work resulted in the identification by the group of a set of 40 performance indicators, including on capacity-building, an overview of the selection and testing process and an indication of the resources involved in gathering the data required for each indicator.[15] No follow-up work was undertaken in the context of capacity-building.

108. The 1st meeting of the Durban Forum, which took place in May 2012 at SBI 36, considered the topic of performance indicators. At that meeting, a representative of the Organisation for Economic Co-operation and Development delivered a presentation on lessons learned from the use of indicators on capacity-building for adaptation. According to its experience, the identification and use of quantitative indicators needs to be complemented by the identification and use of qualitative indicators to verify the effectiveness of a programme. A representative of the United Nations Development Programme highlighted the challenges involved in measuring capacity development, which

[11] Information and reports available at <http://unfccc.int/4080.php> and <http://unfccc.int/4493.php>.
[12] FCCC/TP/2008/5.
[13] FCCC/SBI/2009/5.
[14] See the information box on page 13 of document FCCC/SBI/2009/5.
[15] See document FCCC/SB/2009/4.

include the long-term nature of capacity-building, the need to report on short-term activities and the lack of a general framework, structure or mechanism to capture and communicate results. Its approach is to promote a more demand-driven model, where each country owns the process and the results.

109. The Durban Forum participants also confirmed the following obstacles to the use of indicators to measure the performance of capacity-building:

(a) Lack of indicators to measure the effectiveness and efficiency of capacity-building in the long term;

(b) Lack of systems enabling reporting over the long term;

(c) Lack of global or standard indicators for the measurement of the performance of capacity-building.

VIII. Conclusions

110. The terms of reference of the Paris Committee on Capacity-building and the workplan on capacity-building for the period 2016–2020, both agreed by decision 1/CP.21, address most of the issues included in the scope of the third comprehensive review. The committee will play a major role in further enhancing the implementation of capacity-building activities at the national, regional and global levels, including with regard to coherence and coordination in capacity-building activities under the Convention.

111. The information currently available provides an understanding on progress in the implementation of capacity-building at the national, regional and global levels. The availability of information and progress on capacity-building has increased at a faster pace since the introduction of BRs and BURs and relevant reporting guidelines and tools, the establishment of the Durban Forum and of other bodies under the Convention including capacity-building under their workplans, and the development of the capacity-building portal.

112. Nevertheless, national reports and other information sources do not allow for a complete overview of progress and of assessment of the effectiveness of the implementation of the capacity-building framework for the following main reasons:

(a) Information on capacity-building is also contained in areas beyond the sections dedicated to reporting on capacity-building;

(b) The lack of global or standard approaches and indicators makes it difficult to measure, monitor and review the impact of capacity-building support and action and their effectiveness. In this context, information on capacity needs, gaps and priorities at the institutional, systemic and individual levels contained in NCs and BURs submitted by non-Annex I Parties between 2012 and 2015 should be subject to further assessment to identify causes and potential solutions;

(c) Parties do not report along the lines of the capacity-building framework. National reports themselves do not indicate that the framework influences decisions to provide capacity-building support or needs reported by developing countries.

113. Current information sources also reveal areas of capacity-building that are currently not fully covered by the framework, such as REDD-plus, loss and damage associated with climate change impacts, readiness for and access to climate finance, NAMAs, and NDCs.

114. Similarly, information on good practices and lessons learned is not often shared by Parties. Reports considered in this document do not provide information on how lessons learned are fed back into project cycles to enhance the implementation of capacity-building activities. Although the mandate of the Durban Forum mentions monitoring and reviewing the effectiveness of capacity-building activities through an exchange of good practices and

lessons learned, there is no clear process for drawing on these to enhance the effectiveness of capacity-building, either at the national level or otherwise. An institutionalized process should be put in place to ensure appropriate follow-up of lessons learned and good practices.

115. As highlighted by non-Annex I Parties, capacity-building is less effective when it is undertaken on an ad hoc basis, when it is tied to projects within a limited period of time and to the organization of workshops. A structured and country-driven approach is needed to create and maintain stable institutions, secure and foster in-house knowledge across stakeholders, and to retain trained personnel and experts with a view to ensuring continuity in addressing the challenge of climate change.

116. Annex II Parties provided information on capacity-building efforts to enable non-Annex I Parties to develop national climate change plans, to access climate finance, to enhance their enabling environments, to enhance understanding of private-sector involvement and to develop strategies for mitigation and adaptation projects.

117. From the analysis of the information provided by Annex II Parties and annually submitted by the GEF and its implementing agencies, United Nations organizations and the GCF, it emerges that support has been provided and key results have been achieved mainly in the areas of institutional and systemic capacity-building. Newly established or strengthened institutional arrangements in developing countries have generated positive impacts, particularly in the areas of enabling environments, preparation of national reports, GHG inventories, mitigation, adaptation, the CDM, and research and systematic observation.

118. The analysis of available information has revealed a wide spectrum of stakeholders participating in networks and in projects with capacity-building components. This includes actors from the public sector (national governments, public institutions, cities and municipalities, intergovernmental organizations, bilateral development partners and academic institutions); the private sector (owners, suppliers, buyers and financial players); and civil society (non-governmental organizations and local community groups). Public–private partnerships with mutual environmental goals have been instrumental in building the capacity to integrate regulatory reforms and innovative development strategies into the existing policy, systemic and institutional frameworks of developing countries.