

**II. CAPACITY-BUILDING IN DEVELOPING COUNTRIES  
(NON-ANNEX I PARTIES)**  
(Agenda item 4 (d)(i))

**Draft decision -/CP.6<sup>3</sup>**

**Capacity-building in developing countries (non-Annex I Parties)**

*The Conference of the Parties,*

*Being guided by Article 4.1, 4.3, 4.4, 4.5 and 4.7, in the context of Article 3, and Articles 5 and 6 of the Convention,*

*Recalling the provisions related to capacity-building for developing countries contained in its decisions 11/CP.1, 10/CP.2, 11/CP.2, 9/CP.3, 2/CP.4, 4/CP.4, 5/CP.4, 6/CP.4, 7/CP.4, 12/CP.4 and 14/CP.4,*

*Noting Article 10 (c), (d) and (e), and Article 11 of the Kyoto Protocol,*

*Recalling also the paragraphs on capacity-building of Agenda 21 and the Programme for the Further Implementation of Agenda 21,*

*Reaffirming its decision 10/CP. 5,*

*Reaffirming also that capacity-building for developing countries is essential to enable them to participate fully in, and to implement effectively their commitments under the Convention,*

1. *Adopts the framework for capacity-building in developing countries annexed to this decision;*
2. *Decides that this framework should guide capacity-building activities related to the implementation of the Convention and effective participation in the Kyoto Protocol process;*
3. *Decides to give immediate effect to this framework in order to assist developing countries to implement the Convention and to effectively participate in the Kyoto Protocol process;*
4. *Notes that areas for capacity-building identified under the Convention are relevant to the preparation of developing country Parties for their effective participation in the Kyoto Protocol process;*

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<sup>3</sup> This text was given restricted distribution at the first part of the sixth session, under the symbol FCCC/SB/2000/CRP.16.

5. [Requests the Global Environment Facility, as an operating entity of the financial mechanism, to provide financing to implement the annexed framework and to further support, enhance and implement its capacity-building activities in accordance with this framework.]

6. [Also requests the Global Environment Facility, as an operating entity of the financial mechanism, to report on its progress in support of the implementation of this framework in its reports to the Conference of the Parties;]

7. [Urges the operating entity of the financial mechanism to adopt a streamlined and expedited approach in financing activities within this framework;]

8. Invites bilateral and multilateral agencies, and other intergovernmental organizations and institutions, to inform the Conference of the Parties, through the secretariat, of capacity-building activities conducted to assist developing country Parties with their implementation of the framework;

9. Encourages bilateral and multilateral agencies, and other intergovernmental organizations and institutions to consult with developing countries in formulating programmes and action plans to support capacity-building activities in accordance with the annexed framework;

10. Requests the secretariat, in accordance with this framework for capacity-building, and consistent with Article 8 of the Convention, to undertake the following tasks:

(a) To cooperate with the operating entity of the financial mechanism, its implementing agencies and other entities for capacity-building to facilitate the implementation of this framework;

(b) To collect, process, compile and disseminate, in both printed and electronic formats, the information needed by the Conference of the Parties or its subsidiary bodies to review the progress in the implementation of this framework for capacity-building, drawing in particular on information contained in:

(i) National communications of developing country Parties relating to capacity-building activities;

(ii) National communications of Parties included in Annex II on activities and programmes undertaken to facilitate capacity-building in developing countries related to the implementation of this framework;

(iii) Reports from the Global Environment Facility and other agencies;

(c) To provide reports to the Conference of the Parties at each of its sessions on activities to implement this framework;

11. Decides that the Subsidiary Body for Implementation will regularly monitor the progress of the implementation of this framework, taking into account the information provided under paragraph 10 (b) and (c) above and reporting to the Conference of the Parties at each of its sessions;

12. *Decides* to conduct a comprehensive review of the implementation of this framework at its ninth session of the Conference of the Parties and every five years thereafter;
13. *Invites* Parties to provide information through national communications and other reports to enable the Subsidiary Body for Implementation to monitor progress in the implementation of this framework;
14. *Recommends* that the Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, at its first session, adopt a decision containing a framework on capacity-building that reaffirms this framework with additional reference to priority areas for capacity-building relating to the implementation of the Kyoto Protocol.
15. [*Decides* to establish a special fund to support and promote effective implementation of this framework by the least developed countries.]

## **Annex**

### **Framework for capacity-building in developing countries**

#### **A. Purposes**

1. This framework for capacity-building in developing countries sets out the scope and provides the basis for action on capacity-building related to the implementation of the Convention and preparation for the effective participation of developing countries in the Kyoto Protocol process that will in a coordinated manner assist them in promoting sustainable development while meeting the objective of the Convention. It should serve as a guide for the Global Environment Facility as an operating entity of the financial mechanism and be considered by multilateral and bilateral organizations in their capacity-building activities related to the implementation of the Convention and preparation for their effective participation in the Kyoto Protocol process.

#### **B. Guiding principles and approaches**

2. This framework for capacity-building in developing countries is guided and informed by, *inter alia*, Article 4.1, 4.3, 4.4, 4.5 and 4.7, in the context of Article 3, and Articles 5, 6 and 11.1 of the Convention, and relevant provisions contained in decisions 11/CP.1, 10/CP.2, 11/CP.2, 9/CP.3, 2/CP.4, 4/CP.4, 5/CP.4, 6/CP.4, 7/CP.4, 12/CP.4, 14/CP.4, and 10/CP.5,<sup>4</sup> and takes into account Articles 10 (c), 10 (d), 10 (e), and 11 of the Kyoto Protocol.

3. Capacity-building activities related to the implementation of the Convention by developing countries and to the preparation for their effective participation in the Kyoto Protocol process should build on work already undertaken by developing countries, as well as on the work undertaken with support from multilateral and bilateral organizations.

4. The capacity-building needs already identified in the various decisions of the Conference of the Parties should continue to be comprehensively and promptly addressed to promote sustainable development in developing countries through the effective implementation of the Convention and preparation for their effective participation in the Kyoto Protocol process.

5. There is no “one size fits all” formula for capacity-building. Capacity-building must be country-driven, addressing the specific needs and conditions of developing countries and reflecting their national sustainable development strategies, priorities and initiatives. It is primarily to be undertaken by and in developing countries in accordance with the provisions of the Convention.

6. Capacity-building is a continuous, progressive and iterative process, the implementation of which should be based on the priorities of developing countries.

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<sup>4</sup> For the full texts of decisions adopted by the Conference of the Parties at its first, second, third, fourth and fifth sessions, see documents FCCC/CP/1995/7/Add.1, FCCC/CP/1996/15/Add.1, FCCC/CP/1997/7/Add.1, FCCC/CP/1998/16/Add.1 and FCCC/CP/1999/6/Add.1, respectively.

7. Capacity-building activities should be undertaken in an effective, efficient, integrated and programmatic manner, taking into consideration the specific national circumstances of developing countries.
8. Capacity-building activities undertaken within this framework should maximize synergies between the Convention and other global environmental agreements, as appropriate.
9. Capacity-building is crucial to developing countries, especially those that are particularly vulnerable to the adverse effects of climate change. The special circumstances of least developed countries and small island developing States need to be taken into account in the implementation of this framework. They include:
  - (a) Fragile ecosystems;
  - (b) High population pressure and isolated geographical locations;
  - (c) Weak economies, low incomes, high levels of poverty and a lack of foreign investment;
  - (d) Land degradation, desertification;
  - (e) Undeveloped services, *inter alia*, meteorological and hydrological services and water resources management;
  - (f) Lack of early warning systems for natural disaster management;
  - (g) Inadequate food security.
10. Capacity-building involves “learning by doing”. Demonstration projects may be used in identifying and learning about the specific capacities that need to be further developed in developing countries.
11. Existing national institutions have an important role to play in supporting capacity-building activities in developing countries. Such centres can incorporate traditional skills, knowledge and practices, to provide appropriate services in developing countries and facilitate information sharing. Whenever possible and effective, therefore, capacity-building should mobilize these existing national, subregional and regional institutions and the private sector in developing countries and build on existing processes and endogenous capacities.
12. National coordinating mechanisms and focal points and national coordinating entities have an important role to play in ensuring coordination at the country and regional levels and may serve as the focal point for coordinating capacity-building activities.
13. Multilateral and bilateral bodies are encouraged to take account of this framework in their consultations with developing countries when supporting capacity-building activities related to the implementation of the Convention and the preparation for effective participation by developing countries in the Kyoto Protocol process.

### **C. Objective and scope of capacity-building**

#### *Objective*

14. Capacity-building should assist developing countries to build, develop, strengthen, enhance, and improve their capabilities to achieve the objective of the Convention through the implementation of the provisions of the Convention and the preparation for their effective participation in the Kyoto Protocol process.

#### *Scope*

15. The following is the initial scope of needs and areas for capacity-building in developing countries as broadly identified in the annex to decision 10/CP.5, in the compilation and synthesis document prepared by the secretariat<sup>5</sup> and in submissions by Parties<sup>6</sup>:

- (a) Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points;
- (b) Enhancement and/or creation of an enabling environment;
- (c) National communications;
- (d) National climate change programmes;
- (e) Greenhouse gas inventories, emission database management, and systems for collecting, managing and utilizing activity data and emission factors;
- (f) Vulnerability and adaptation assessment;
- (g) [[Strengthening capacity relating to the] [implementation of] adaptation [response] measures];
- (h) Assessment [and implementation] of mitigation options;
- (i) Research and systematic observation, including meteorological, hydrological and climatological services;
- (j) Development and transfer of technology;
- (k) Improved decision-making, including assistance for participation in international negotiations;
- (l) Clean development mechanism;
- (m) Needs arising out of the implementation of Article 4.8 and 4.9 of the Convention;
- (n) Education, training and public awareness;
- (o) Information and networking, including the establishment of databases.

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<sup>5</sup> FCCC/SB/2000/INF.1.

<sup>6</sup> FCCC/SB/2000/INF.5.

16. Other capacity-building needs and possible responses are being identified by the Parties in their discussions of other issues. The decisions resulting from these discussions, as well as other activities related to the implementation of the Convention and preparation for their effective participation in the Kyoto Protocol process, should continue to inform the scope and implementation of this framework.

*Specific scope for capacity-building in least developed countries*

17. The least developed countries, and small island developing States amongst them, are among the most vulnerable to extreme weather events and the adverse effects of climate change. They also have the least capacity to cope with and adapt to the adverse effects of climate change. The following is the initial assessment of needs and priority areas for capacity-building in these countries:

- (a) Strengthening existing and, where needed, establishing national climate change secretariats or focal points to enable the effective implementation of the Convention and effective participation in the Kyoto Protocol process, including preparation of national communications;
- (b) Developing an integrated implementation programme which takes into account the role of research and training in capacity-building;
- (c) Developing and enhancing technical capacities and skills to carry out and effectively integrate vulnerability and adaptation assessments into sustainable development programmes [and develop national adaptation programmes of action;]
- (d) Strengthening existing and, where needed, establishing national research and training institutions in order to ensure the sustainability of the capacity-building programmes;
- (e) Strengthening the capacity of meteorological and hydrological services to collect, analyse, interpret and disseminate weather and climate information [to support implementation of national adaptation programmes of action;]
- (f) Enhancing public awareness (level of understanding and human capacity development).

**D. Implementation**

*Actions to enhance the implementation of this framework, taking into account the initial scope outlined in paragraphs 15 to 17*

18. All Parties should improve the coordination and effectiveness of capacity-building efforts through dialogue between and among Annex II Parties, developing country Parties, and bilateral and multilateral institutions. All Parties should promote conditions conducive to the sustainability and effectiveness of capacity-building activities.

19. In implementing this framework, developing country Parties should:

- (a) Continue to identify their specific needs, options and priorities for capacity-building on a country-driven basis, taking into account existing capacities and past and current activities;
- (b) Promote South-South cooperation by utilizing the services of institutions in developing countries that can support capacity-building activities at the national, subregional and regional levels, wherever possible and effective;
- (c) Promote the participation of a wide range of stakeholders, including governments at all levels, national and international organizations, civil society and the private sector, as appropriate;
- (d) Promote the coordination and sustainability of activities undertaken within this framework, including the efforts of national coordinating mechanisms, focal points, and national coordinating entities;
- (e) Facilitate the dissemination and sharing of information on capacity-building activities conducted by developing countries for better coordination and South-South cooperation.

20. In implementing this framework, Annex II Parties should:

- (a) [Provide [additional] financial and technical resources to assist developing countries, in particular the least developed countries and small island developing States amongst them, in the implementation of this framework, [as appropriate], including promptly available financial and technical resources to enable them to undertake country-level needs assessments and to develop specific capacity-building activities consistent with this framework;]
- (b) Respond to the capacity-building needs and priorities of developing countries, in particular the least developed countries and small island developing States amongst them, in a coordinated and timely manner, and support activities implemented at the national and, as appropriate, subregional and regional levels;
- (c) Give particular attention to the needs of least developed countries and small island developing States amongst them.

#### *Financing and operation*

21. [Financial and technical resources should be made available, through an operating entity of the financial mechanism [and, as appropriate,] multilateral and bilateral agencies and the private sector, [as appropriate] [as needed by] [to assist] developing countries, in particular the least developed countries and small island developing States amongst them, in the implementation of this framework].
22. In response to this framework, the operating entity of the financial mechanism should elaborate a country-driven strategy for its capacity-building activities.
23. [All Parties], [financial institutions], multilateral and bilateral agencies are encouraged to take constructive action to support capacity-building activities in this framework through streamlined and coordinated approaches and in a timely manner.



24. Financial and other assistance is to be made available to developing countries, in particular to the least developed countries and small island developing States amongst them, to enable them to continue to determine, assess and prioritize their needs for capacity-building in a simple, timely manner and to assist them in strengthening existing institutions and, when needed, to establish the institutional arrangements to implement effective capacity-building activities.
25. The capacity-building activities undertaken within this framework are to be country-driven and implemented primarily at the country level.
26. In order to facilitate the exchange of information and cooperation, developing countries, in collaboration with relevant institutions, should identify regional, subregional and sectoral activities that can effectively and efficiently address common capacity-building needs.
27. The results of activities conducted by the Global Environment Facility as a multilateral financial institution, including the Capacity Development Initiative, as well as activities undertaken by multilateral, bilateral and private sector entities, may be considered in further developing capacity-building activities within this framework at the regional and subregional levels.

#### *Time-frame*

28. This framework for capacity-building should be implemented promptly, taking into account the immediate, medium- and long-term priority needs identified by developing countries.
29. Developing countries which have already identified their capacity-building priorities through ongoing work aimed at the implementation of the Convention, should be able to promptly implement capacity-building activities under this framework.
30. The immediate priority needs of developing countries, in particular the least developed countries and small island developing States amongst them, should be addressed urgently in the implementation of this framework.

#### *Review of progress*

31. The Conference of the Parties, through the Subsidiary Body for Implementation, shall regularly monitor and review the progress in the implementation of this framework.
32. The Global Environment Facility, as an operating entity of the financial mechanism, is requested to report on its progress in support of the implementation of this framework in its reports to the Conference of the Parties.

#### *Role of the secretariat*

33. In accordance with this framework for capacity-building, the secretariat is requested, consistent with Article 8 of the Convention, to undertake the following tasks:
- (a) To cooperate with the operating entity of the financial mechanism, its implementing agencies and other entities for capacity-building to facilitate the implementation of this framework;

(b) To collect, process, compile and disseminate the information needed by the Conference of the Parties or its subsidiary bodies to review the progress in the implementation of this framework for capacity-building.