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**Subsidiary Body for Implementation**

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

**Capacity-building in developing countries**

**Third comprehensive review of the implementation of the framework  
for capacity-building under the Convention**

**Third comprehensive review of the implementation of the framework  
for capacity-building under the Kyoto Protocol**

**Capacity-building work of bodies established under the  
Convention and its Kyoto Protocol**

**Compilation and synthesis report by the secretariat**

*Summary*

This report was prepared to inform discussions during the 5<sup>th</sup> meeting of the Durban Forum for in-depth discussion on capacity-building. The report compiles and synthesizes information on capacity-building contained in reports published by relevant bodies established under the Convention and its Kyoto Protocol and by the operating entities of the Financial Mechanism and the Adaptation Fund Board from the 4<sup>th</sup> meeting of the Durban Forum to the end of December 2015. Parties may wish to consider the information contained in this report with a view to conducting relevant discussions during the 5<sup>th</sup> meeting of the Durban Forum and further enhancing the monitoring and review of the effectiveness of capacity-building.

## Contents

	<i>Paragraphs</i>	<i>Page</i>
I. Introduction .....	1–4	3
A. Mandate .....	1–3	3
B. Scope of the report.....	4	3
II. Capacity-building elements in the work of bodies established under the Convention.....	5–36	4
A. Capacity-building elements in the work of the Consultative Group of Experts .....	5–9	4
B. Capacity-building elements in the work of the Least Developed Countries Expert Group .....	10–15	5
C. Capacity-building elements in the work of the Adaptation Committee .....	16–18	6
D. Capacity-building elements in the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts .....	19–21	7
E. Capacity-building elements in the work of the Technology Executive Committee.....	22–26	7
F. Capacity-building elements in the work of the Climate Technology Centre and Network .....	27–32	8
G. Capacity-building elements in the work of the Standing Committee on Finance.....	33–36	9
III. Capacity-building elements in the reports of the operating entities of the Financial Mechanism and of the Adaptation Fund Board.....	37–44	10
A. Capacity-building elements in the report of the Green Climate Fund .....	37–39	10
B. Capacity-building elements in the report of the Global Environment Facility .....	40–43	11
C. Capacity-building elements in the report of the Adaptation Fund Board .....	44	12
IV. Capacity-building elements in the work of bodies established under the Kyoto Protocol: Executive Board of the clean development mechanism.....	45–48	12

## I. Introduction

### A. Mandate

1. The Conference of the Parties (COP), by decision 2/CP.17, paragraph 144, requested the Subsidiary Body for Implementation (SBI) to further enhance the monitoring and review of the effectiveness of capacity-building by organizing an annual in-session Durban Forum for in-depth discussion on capacity-building with the participation of Parties, representatives of the relevant bodies established under the Convention, and relevant experts and practitioners, with a view to sharing their experiences and exchanging ideas, best practices and lessons learned regarding the implementation of capacity-building activities. In paragraph 146 of the same decision, the COP requested the secretariat to compile and synthesize the reports prepared by the relevant bodies established under the Convention since the most recent meeting of the Durban Forum.

2. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol (CMP) decided, by decision 10/CMP.8, paragraph 1, that the Durban Forum is an appropriate arrangement for sharing experiences and exchanging ideas, best practices and lessons learned regarding the implementation of capacity-building activities related to the Kyoto Protocol with the participation of Parties, representatives of the relevant bodies established under the Convention and relevant experts and practitioners.

3. The 4<sup>th</sup> meeting of the Durban Forum took place in June 2015, during SBI 42. COP 21 and CMP 11 decided that the 5<sup>th</sup> meeting of the Durban Forum would be held during SBI 44.<sup>1</sup>

### B. Scope of the report

4. This report compiles and synthesizes information of relevance to capacity-building contained in reports submitted from the 4<sup>th</sup> meeting of the Durban Forum to 31 December 2015 by the following bodies: the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), the Least Developed Countries Expert Group (LEG), the Adaptation Committee (AC), the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts, the Technology Executive Committee (TEC), the Climate Technology Centre and Network (CTCN), the Standing Committee on Finance (SCF) and the Executive Board of the clean development mechanism (CDM), and by the operating entities of the Financial Mechanism (the Green Climate Fund (GCF) and the Global Environment Facility (GEF)) and the Adaptation Fund Board (AFB). The reports considered are as follows:

- (a) Progress report on the work of the CGE (FCCC/SBI/2015/18);
- (b) Report on the 28<sup>th</sup> meeting of the LEG (FCCC/SBI/2015/19);
- (c) Report of the AC (FCCC/SB/2015/2);
- (d) Report of the Executive Committee of the Warsaw International Mechanism (FCCC/SB/2015/3);
- (e) Joint annual report of the TEC and the CTCN for 2015 (FCCC/SB/2015/1);
- (f) Report of the SCF to the COP (FCCC/CP/2015/8);

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<sup>1</sup> Decisions 14/CP.21, paragraph 9, and 9/CMP.11, paragraph 2.

- (g) Report of the GCF to the COP (FCCC/CP/2015/3);
- (h) Report of the GEF to the COP (FCCC/CP/2015/4);
- (i) Report of the AFB to the CMP (FCCC/KP/CMP/2015/2);
- (j) Annual report of the CDM Executive Board to the CMP (FCCC/KP/CMP/2015/5).

## **II. Capacity-building elements in the work of bodies established under the Convention**

### **A. Capacity-building elements in the work of the Consultative Group of Experts**

5. The objective of the CGE is to improve the process of and preparation of national communications (NCs) and biennial update reports (BURs) by Parties not included in Annex I to the Convention (non-Annex I Parties) by providing technical advice and support to such Parties. The CGE held its 15<sup>th</sup> meeting during the reporting period.

6. In order to improve the capacity of national experts from non-Annex I Parties involved in the process of and preparation of NCs, the CGE conducted three regional hands-on training workshops on vulnerability and adaptation assessment for the Asia-Pacific and Eastern European States, the Latin American and Caribbean States and the African States. A total of 114 national experts representing 76 non-Annex I Parties were trained in these workshops.<sup>2</sup>

7. The CGE training materials on vulnerability and adaptation assessment were updated during the second half of 2015 to take into account the recent developments under the Convention as well as the latest science – in particular, the relevant findings of the Fifth Assessment Report of the Intergovernmental Panel on Climate Change, which became available in 2014. The updated training materials, which consist of 10 sections, are available on the UNFCCC website<sup>3</sup> and free for use by experts.

8. A variety of online tools were also employed to provide capacity-building support. As at 1 October 2015, 103 people from 49 countries had participated in the e-learning courses on the preparation of NCs of non-Annex I Parties. The CGE also conducted four thematic regional webinars on national greenhouse gas inventories and mitigation assessment, aimed at keeping up the momentum of its capacity-building initiatives. The webinars not only provided a platform for national experts and practitioners to interact with CGE members but also aimed at reaching out to a larger group of national experts and enabling them to enhance their knowledge in specific thematic areas. A total of 160 participants took part in these webinars.

9. The CGE developed and launched a training programme for the technical experts nominated to the UNFCCC roster of experts to undertake the technical analysis of BURs from non-Annex I Parties. Between June and December 2015 the CGE, with the assistance

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<sup>2</sup> Hands-on training workshop on vulnerability and adaptation assessments, held in Vientiane, Lao People's Democratic Republic, from 29 June to 3 July 2015 for the Asia-Pacific and Eastern European States; in Asunción, Paraguay, 27–31 July 2015 for the Latin American and Caribbean States; and in Marrakech, Morocco, from 28 September to 2 October 2015 for the African States. For further information see document FCCC/SBI/2015/20.

<sup>3</sup> <[http://unfccc.int/national\\_reports/non-annex\\_i\\_natcom/training\\_material/methodological\\_documents/items/349.php](http://unfccc.int/national_reports/non-annex_i_natcom/training_material/methodological_documents/items/349.php)>.

of the secretariat, conducted one round of the training programme for 148 technical experts nominated to the UNFCCC roster of experts. As at 31 December 2015, 43 experts from non-Annex I Parties had successfully completed different modules under the training programme. With a view to improving the accessibility of the training programme, the training materials were converted into an online web-based interactive product.

## B. Capacity-building elements in the work of the Least Developed Countries Expert Group

10. The mandate of the LEG for its 2011–2015 term includes the provision of support to the least developed countries (LDCs) in the preparation and implementation of national adaptation programmes of action (NAPAs), the implementation of the LDC work programme and the provision of technical guidance and support to the process to formulate and implement national adaptation plans (NAPs).<sup>4</sup> The LEG held its 28<sup>th</sup> meeting during the reporting period.<sup>5</sup>

11. With regard to NAPAs, the LEG realized that there was a need for raising awareness of the success of NAPAs in, inter alia, the way they have developed and/or strengthened the capacity of the LDCs in addressing adaptation. It was then decided to develop an outreach product to this end.<sup>6</sup>

12. Regarding the process to formulate and implement NAPs, the LEG conducted four regional training workshops on NAPs during the reporting period,<sup>7</sup> attracting a total of 142 participants. The design of the workshops followed a sample process to formulate and implement NAPs.<sup>8</sup>

13. Furthermore, the LEG finalized *Best Practices and Lessons Learned in Addressing Adaptation in Least Developed Countries, Volume 3*,<sup>9</sup> which focuses on the initial experiences in the process to formulate and implement NAPs. Capacity gaps and needs in the NAP process are one of the focus areas considered.<sup>10</sup> The LEG also finalized the following publications: *Regional Synergy in Addressing Adaptation through the National Adaptation Programmes of Action and the Process to Formulate and Implement National Adaptation Plans in the Least Developed Countries*; *Information Paper on How the Process to Formulate and Implement National Adaptation Plans can be Supported in Least Developed Countries*; and *Strengthening Gender Considerations in Adaptation Planning and Implementation in the Least Developed Countries*.<sup>11</sup> Collectively, these publications are

<sup>4</sup> Decisions 6/CP.16, paragraph 2, and 5/CP.17, paragraphs 13–17.

<sup>5</sup> The 28<sup>th</sup> meeting of the LEG was held in Antananarivo, Madagascar, from 12 to 16 September 2015.

<sup>6</sup> See document FCCC/SBI/2015/19, paragraphs 38 and 39.

<sup>7</sup> Workshops for: anglophone Northern and Western African countries, held in Cairo, Egypt, from 27 to 31 July 2015; the Asian region, held in Yangon, Myanmar, from 10 to 14 August 2015; African lusophone and island States, held in Antananarivo from 7 to 11 September 2015; and African francophone developing countries, held in Niamey, Niger, from 28 September to 2 October 2015. For further information see <<http://unfccc.int/6989.php#NAPs>> and document FCCC/SBI/2015/INF.14.

<sup>8</sup> See document FCCC/SBI/2015/INF.11 for more information on the design of the workshops.

<sup>9</sup> Available at <<http://unfccc.int/6110>>.

<sup>10</sup> FCCC/SBI/2015/19, paragraph 45(h).

<sup>11</sup> Available at

<[http://www4.unfccc.int/nap/Documents/2015%20Publications/UNFCCC%20LDC\\_synergy\\_9%20121.pdf](http://www4.unfccc.int/nap/Documents/2015%20Publications/UNFCCC%20LDC_synergy_9%20121.pdf)>,

<[http://www4.unfccc.int/nap/Documents/2015%20Publications/UNFCCC%20LDC\\_Support\\_9%20124.pdf](http://www4.unfccc.int/nap/Documents/2015%20Publications/UNFCCC%20LDC_Support_9%20124.pdf)> and

<[http://unfccc.int/files/adaptation/application/pdf/21673\\_unfccc\\_leg\\_gender\\_low\\_v5.pdf](http://unfccc.int/files/adaptation/application/pdf/21673_unfccc_leg_gender_low_v5.pdf)>.

aimed at providing technical guidance to the LDCs on the respective topics as a way to enhance their capacity in addressing adaptation.

14. In addition, the LEG engaged representatives of the LDCs throughout 2015 to introduce them to NAP Central country portals. Some countries have already started uploading the outputs/outcomes of their work on NAPs.<sup>12</sup>

15. The LEG also discussed the progress made in the implementation of its work programme over the mandate period 2011–2015. Overall, the LEG concluded that good progress had been maintained in the implementation of its work programme, recognizing, inter alia, that the regional training workshops referred to in paragraph 12 above had built a critical mass of capacity in the LDCs.<sup>13</sup>

### C. Capacity-building elements in the work of the Adaptation Committee

16. The AC was established by the COP to promote the implementation of enhanced action on adaptation in a coherent manner under the Convention through, inter alia: providing technical support and guidance to Parties; strengthening, consolidating and enhancing the sharing of relevant information, knowledge, experience and good practices; promoting synergy and strengthening engagement with national, regional and international organizations, centres and networks; and providing information and recommendations for consideration by the COP when providing guidance on means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building.<sup>14</sup>

17. The AC held its 8<sup>th</sup> regular meeting<sup>15</sup> during the reporting period, in the course of which it agreed its 2016–2018 workplan. Among other things, activities in the workplan are aimed at ensuring that Parties have the capacity-building means to enhance the implementation of adaptation action.<sup>16</sup> The AC also held an expert meeting<sup>17</sup> on promoting livelihoods and economic diversification to build resilience in the context of planning, prioritizing and implementing adaptation actions. The expert meeting was attended by 44 experts and informed by a variety of case studies.<sup>18</sup>

18. Furthermore, during a side event organized at COP 21, the AC introduced its reports *Enhancing Coherent Action on Adaptation 2012–2015: 2015 Overview Report*<sup>19</sup> and *Navigating the Landscape of Support for the Process to Formulate and Implement National Adaptation Plans: 2015 Overview for Developing Countries*.<sup>20</sup> Both reports include capacity-building elements.<sup>21</sup> The event focused on presenting technical challenges and best practices in the experience of developing countries in accessing means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building, and other ways to enable climate-resilient development and reduce vulnerability.<sup>22</sup>

<sup>12</sup> See document FCCC/SBI/2015/19, paragraph 30(a).

<sup>13</sup> FCCC/SBI/2015/19, paragraphs 65 and 66.

<sup>14</sup> Decision 1/CP.16, paragraph 20.

<sup>15</sup> The 8<sup>th</sup> meeting of the AC was held in Bonn, Germany, from 9 to 12 September 2015. Further information is available at <unfccc.int/9029>.

<sup>16</sup> The workplan is available at <unfccc.int/7517>.

<sup>17</sup> The expert meeting on promoting livelihoods and economic diversification took place in Bonn on 7 and 8 September 2015. Further information is available at <unfccc.int/9030>.

<sup>18</sup> See document FCCC/SB/2015/2, paragraph 36.

<sup>19</sup> Available at <http://unfccc.int/files/adaptation/application/pdf/or\_lowres.pdf>.

<sup>20</sup> Available at <http://unfccc.int/files/adaptation/application/pdf/nap\_lowres.pdf>.

<sup>21</sup> The side event took place on 1 December 2015. Further information is available at <unfccc.int/9350>.

<sup>22</sup> See document FCCC/SB/2015/2, paragraphs 63 and 64.

#### **D. Capacity-building elements in the work of the Executive Committee of the Warsaw International Mechanism for Loss and Damage associated with Climate Change Impacts**

19. The Warsaw International Mechanism, established at COP 19 to address loss and damage in developing countries that are particularly vulnerable to the adverse effects of climate change, has the following functions: enhancing knowledge and understanding of comprehensive risk management approaches; strengthening dialogue, coordination, coherence and synergies among relevant stakeholders; and enhancing action and support, including finance, technology and capacity-building.<sup>23</sup> The Executive Committee of the Warsaw International Mechanism guides the implementation of these functions.<sup>24</sup>

20. During the reporting period, the Executive Committee held its 1<sup>st</sup> meeting<sup>25</sup> and began implementing its initial two-year workplan, which includes activities related to the enhancement of understanding and knowledge of, and data on, several issues related to loss and damage.<sup>26</sup>

21. The Executive Committee launched intersessional work related to awareness-raising on non-economic losses. Furthermore, a stocktaking of organizations that are working on slow onset events and the scope of their current efforts has been carried out. A database containing results of the mapping of over 150 such organizations has been made available on the UNFCCC website.<sup>27</sup>

#### **E. Capacity-building elements in the work of the Technology Executive Committee**

22. As the policy component of the Technology Mechanism, the TEC analyses technology policy issues and provides policy recommendations to countries in order to support them in enhancing technology development and transfer to accelerate action on mitigation and adaptation. The TEC also facilitates collaboration between, and seeks cooperation from, technology stakeholders and promotes coherence across technology activities. The TEC is also mandated to further implement the framework for meaningful and effective actions to enhance the implementation of Article 4, paragraph 5, of the Convention, which includes a capacity-building component.

23. The TEC held its 11<sup>th</sup> meeting during the reporting period.<sup>28</sup> With regard to technology needs assessments (TNAs), the TEC carried out work to provide guidance on how the results of the TNAs can be developed into projects that can ultimately be implemented, the results of which are captured in the interim report by the TEC.<sup>29</sup> The guidance would be made available in early 2016 to developing country Parties for use in

<sup>23</sup> Decision 2/CP.19, paragraph 5.

<sup>24</sup> Decision 2/CP.19, paragraph 2.

<sup>25</sup> The 1<sup>st</sup> meeting of the Executive Committee was held in Bonn from 24 to 26 September 2015. Further information is available at <[unfccc.int/9283.php](http://unfccc.int/9283.php)>.

<sup>26</sup> FCCC/SB/2015/3, paragraph 14. The initial two-year workplan is available at <[unfccc.int/8805.php](http://unfccc.int/8805.php)>.

<sup>27</sup> FCCC/SB/2015/3, paragraphs 23 and 27. The database is available at <<http://www4.unfccc.int/sites/NWP/Pages/soe.aspx>>.

<sup>28</sup> The 11<sup>th</sup> meeting of the TEC took place in Bonn from 7 to 11 September 2015. Further information is available at <[http://unfccc.int/tclear/templates/render cms\\_page?TEC\\_meetings](http://unfccc.int/tclear/templates/render cms_page?TEC_meetings)>.

<sup>29</sup> FCCC/SB/2015/INF.3.

informing the TNA process. The TEC also agreed on and disseminated a final paper on good practices of TNAs.<sup>30</sup>

24. The TEC continued working on the issue of enabling environments and barriers to climate technology development and transfer, including the preparation of a policy brief (TEC Brief) on national systems of innovation launched in November 2015.<sup>31</sup> In that brief, the TEC highlights that effective national systems of innovation are essential for enhancing developing countries' capacity to absorb, distribute, diffuse and deploy climate technologies, adapt these technologies to their needs and implement and maintain them.<sup>32</sup>

25. Climate change financing is the topic of another TEC Brief launched in November 2015, which contains policy recommendations on enhancing access to climate technology financing.<sup>33</sup> One of the related key messages of the TEC is that capacity-building and the support for national champions at each stage of the technology project cycle are important for effective climate technology financing and technology transfer.<sup>34</sup>

26. The third TEC Brief prepared in the reporting period and launched in November 2015 also addresses capacity-building elements. The brief provides policymakers and stakeholders with policy recommendations to facilitate the deployment of distributed renewable electricity generation technologies, using the outcomes of the thematic dialogue held in March 2015 in Bonn, Germany, on this matter.<sup>35</sup> One of the related TEC recommendations to the COP is to encourage Parties to build and strengthen in-country capacity in the form of human and institutional capabilities, including through national systems of innovation, in order to fully enable countries to develop, transfer, deploy and operate nationally distributed renewable systems.<sup>36</sup>

## **F. Capacity-building elements in the work of the Climate Technology Centre and Network**

27. The COP established the CTCN to stimulate technology cooperation and enhance the development and transfer of technologies.<sup>37</sup> During the reporting period, the CTCN continued to carry out work related to its three core services:

(a) To provide technical assistance at the request of developing countries to accelerate the transfer of climate technologies;

<sup>30</sup> FCCC/SB/2015/1, paragraph 27. The paper is available at <[http://unfccc.int/ttclear/misc\\_/StaticFiles/gnwoerk\\_static/TEC\\_documents/ff2506265909481299786ef1e703bb99/01e45b9f64524bdda2185b65b04542fb.pdf](http://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/TEC_documents/ff2506265909481299786ef1e703bb99/01e45b9f64524bdda2185b65b04542fb.pdf)>.

<sup>31</sup> FCCC/SB/2015/1, paragraph 37. The TEC Brief on strengthening national systems of innovation to enhance action on climate change is available at <[http://unfccc.int/ttclear/misc\\_/StaticFiles/gnwoerk\\_static/TEC\\_documents/fbce5a8dac5f41a48d883c7338ba2281/cdfc733ee9334f09a74c54f9bac257a6.pdf](http://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/TEC_documents/fbce5a8dac5f41a48d883c7338ba2281/cdfc733ee9334f09a74c54f9bac257a6.pdf)>.

<sup>32</sup> FCCC/SB/2015/1, paragraph 60(b).

<sup>33</sup> FCCC/SB/2015/1, paragraph 34. The TEC Brief on enhancing access to climate technology financing is available at <[http://unfccc.int/ttclear/misc\\_/StaticFiles/gnwoerk\\_static/TEC\\_documents/204f400573e647299c1a7971feec7ace/ea65db0ca9264cdbaefeb272dd30b34c.pdf](http://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/TEC_documents/204f400573e647299c1a7971feec7ace/ea65db0ca9264cdbaefeb272dd30b34c.pdf)>.

<sup>34</sup> FCCC/SB/2015/1, paragraph 58(b).

<sup>35</sup> FCCC/SB/2015/1, paragraph 42. The TEC Brief on facilitating the deployment of distributed renewable electricity generation technologies is available at <[http://unfccc.int/ttclear/misc\\_/StaticFiles/gnwoerk\\_static/TEC\\_documents/6d62b12d1a87483da716d80e77d5349b/b4539aaf699b459e9998606868dd49bd.pdf](http://unfccc.int/ttclear/misc_/StaticFiles/gnwoerk_static/TEC_documents/6d62b12d1a87483da716d80e77d5349b/b4539aaf699b459e9998606868dd49bd.pdf)>.

<sup>36</sup> FCCC/SB/2015/1, paragraph 64(a).

<sup>37</sup> Decision 2/CP.17, annex VII, paragraph 1.

- (b) To create access to information and knowledge on climate technologies;
- (c) To foster collaboration among climate technology stakeholders via its network of experts.

28. Through these services, the CTCN facilitates the provision of information, training and support to build the capacity of developing countries to identify technology options, make technology choices and operate, maintain and adapt technology.

29. Regarding requests from developing countries for technical assistance, the CTCN had engaged with 54 non-Annex I Parties<sup>38</sup> on a total of more than 80 requests and response plans as at 12 February 2016.<sup>39</sup> The requests are related to adaptation (27 per cent), mitigation (44 per cent) and both adaptation and mitigation (29 per cent).

30. The CTCN also continued to develop its knowledge management system<sup>40</sup> through which it supported the delivery of its core functions to developing country national designated entities, government decision makers and other climate technology practitioners. As at 12 October 2015, more than 78,000 users in 200 different countries had visited the online platform in 2015.<sup>41</sup> Additionally, the CTCN continued its series of webinars through which it aims to build the capacity of national designated entities and other stakeholders in relation to climate technologies. Participants in the webinars discussed the main gaps and barriers to technology development and transfer and learned about concrete examples of successful policies that can be replicated in other regions.<sup>42</sup>

31. As at 12 February 2016, the CTCN had held five regional forums with the objective of helping national designated entities to identify and access funding for follow-up actions to requests or for other climate technology activities.<sup>43</sup> Nearly 60 countries and representatives of the GCF, multilateral development banks, CTCN consortium partners and network members participated in the forums.

32. The CTCN also continued to provide support through its request incubator programme for the LDCs. The programme aims to enhance the capacity of the LDCs to develop high-quality requests for technical assistance, strengthen their institutional capacity related to climate technologies and reinforce national efforts on technology transfer in line with their national development objectives.<sup>44</sup> As at 12 February 2016, more than 10 LDCs were participating in the programme.<sup>45</sup>

## **G. Capacity-building elements in the work of the Standing Committee on Finance**

33. The SCF is mandated to assist the COP in exercising its functions with respect to the Financial Mechanism of the Convention in terms of improving coherence and coordination in the delivery of climate change financing, rationalization of the Financial Mechanism, mobilization of financial resources and the measurement, reporting and verification of

<sup>38</sup> Information obtained through correspondence with the CTCN secretariat.

<sup>39</sup> See <<https://www.ctc-n.org/technical-assistance/technical-assistance-dashboard>>.

<sup>40</sup> See <[ctc-n.org](http://ctc-n.org)>.

<sup>41</sup> FCCC/SB/2015/1, paragraph 84.

<sup>42</sup> FCCC/SB/2015/1, paragraph 93.

<sup>43</sup> See <<https://www.ctc-n.org/capacity-building/regional-fora>>.

<sup>44</sup> FCCC/SB/2015/1, paragraph 91.

<sup>45</sup> See <<https://www.ctc-n.org/capacity-building/request-incubator>>.

support provided to developing country Parties.<sup>46</sup> The SCF met twice during the reporting period.<sup>47</sup>

34. One of the mandated activities of the SCF is to organize a forum for the communication and continued exchange of information among bodies and entities dealing with climate change finance in order to promote linkages and coherence.<sup>48</sup>

35. The third SCF forum<sup>49</sup> focused on the issue of coherence and coordination from the perspective of financing for forests. Six SCF members and 180 participants representing Parties, forest and financial institutions, the private sector and civil society attended the forum.<sup>50</sup>

36. The forum generated new insights into the issue of forest finance. Some of the highlighted capacity-building related issues include: the need to create enabling environments that will promote sustainable investments; the need for enhanced cross-sectoral coordination in governments and between stakeholders to address the drivers of deforestation and forest degradation; the importance of aligning REDD-plus<sup>51</sup> finance with national development policies and priorities to achieve impact; differing capacities and phases of REDD-plus in countries; and the need for REDD-plus support to encourage broad participation of stakeholders and to be accessible to recipient countries with a balanced distribution.<sup>52</sup>

### **III. Capacity-building elements in the reports of the operating entities of the Financial Mechanism and of the Adaptation Fund Board**

#### **A. Capacity-building elements in the report of the Green Climate Fund**

37. The purpose of the GCF is to make a significant and ambitious contribution to the global efforts towards attaining the goals set by the international community to combat climate change. In the context of sustainable development, it is meant to promote the paradigm shift towards low-emission and climate-resilient development pathways by providing support to developing countries to limit or reduce their greenhouse gas emissions and to adapt to the impacts of climate change, taking into account the needs of those developing countries that are particularly vulnerable to the adverse effects of climate change.<sup>53</sup>

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<sup>46</sup> Decision 1/CP.16, paragraph 112.

<sup>47</sup> The 11<sup>th</sup> and 12<sup>th</sup> meetings of the SCF were held in Bonn on 12 and 13 June 2015 and from 26 to 28 October 2015, respectively.

<sup>48</sup> Decision 2/CP.17, paragraph 121(a).

<sup>49</sup> The forum took place in Durban, South Africa, on 8 and 9 September 2015 and was organized in collaboration with the 14<sup>th</sup> World Forestry Congress hosted by the South African Government and in partnership with the Food and Agriculture Organization of the United Nations. The SCF provided a summary report on the third forum to COP 21 as contained in document FCCC/CP/2015/8, annex II. Further information is available at <<http://unfccc.int/9053.php>>.

<sup>50</sup> FCCC/CP/2015/8, paragraph 14.

<sup>51</sup> In decision 1/CP.16, paragraph 70, the COP 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.

<sup>52</sup> FCCC/CP/2015/8, annex II, paragraphs 40–53.

<sup>53</sup> Decision 3/CP.17, annex, paragraphs 1 and 2.

38. To ensure adequate resources for capacity-building, the initial approval process of the GCF takes into consideration capacity-building elements in its assessment of funding proposals, including:<sup>54</sup>

(a) Developing standardized packages of USD 300,000 in support of establishing and strengthening national designated authorities (NDAs) or focal points and strategic frameworks, including the preparation of country programmes;

(b) Providing in-kind support to subnational, national and regional entities to orient them on the accreditation requirements and assist them through the accreditation application process. Approximately 24 direct access entities are benefiting from such support;

(c) Engaging with NDAs and focal points in order to identify the appropriate means by which to support the development of project and programme proposals that reflect country needs and priorities, and aligning these with the objectives and initial investment framework of the GCF;

(d) Facilitating information-sharing, experience exchange and learning at the regional level through supporting regional workshops and webinars<sup>55</sup> and supporting NDA and focal point visits to its headquarters.<sup>56</sup>

39. In addition, the GCF has allocated a total funding envelope of up to USD 200 million for 10 pilot projects under a pilot phase for enhancing direct access to the GCF. At least four of the pilots will be in small island developing States, LDCs and African States.<sup>57</sup>

## **B. Capacity-building elements in the report of the Global Environment Facility**

40. Capacity-building is a key theme of GEF projects, and is embedded in the design of both mitigation and adaptation projects. In particular, capacity-building for enabling activities and fulfilment obligations under the Convention is identified as a distinct objective in a large number of projects.

41. In fiscal year 2015, the GEF Trust Fund, Least Developed Countries Fund and Special Climate Change Fund portfolios supported 136 (91 mitigation and 45 adaptation) projects amounting to approximately USD 396.4 million, with various capacity-building components in the form of technical assistance and investments. The projects cover various areas for capacity-building, including: institutional capacity-building; development of national reports; enhancement and transfer of technologies; enhancement of enabling conditions; vulnerability and adaptation assessments; development of national climate change programmes; implementation of adaptation measures; research and systemic observation through climate information systems; and public awareness and education programmes.

<sup>54</sup> FCCC/CP/2015/3, table 1A.

<sup>55</sup> The GCF supported the GCF Pacific regional workshop for the NDAs of Pacific Island countries in Nadi, Fiji, in July 2015. Although the following activities have taken place outside the reporting period, the GCF has also supported the regional workshop for the NDAs of Central American countries in San Salvador, El Salvador, in March 2015; co-hosted the regional workshop on climate finance for 20 NDAs from Asia and Eastern Europe in April 2015; and convened a South–South learning webinar for potential accredited entities in the Latin American region in May 2015.

<sup>56</sup> While some visits have taken place outside the reporting period, delegations from Fiji, Mongolia, and Antigua and Barbuda visited the headquarters in May, June and July 2015, respectively.

<sup>57</sup> FCCC/CP/2015/3, table 1A.

42. In addition, the GEF undertakes cross-cutting capacity development, which focuses on addressing systemic cross-cutting national environmental management issues that focal area projects alone do not address. Three cross-cutting capacity development projects were approved in fiscal year 2015. This work represents a valuable resource whereby countries identify and assess their priority capacities to address climate change concerns, and take practical measures to address capacity gaps and shortcomings.

43. With regard to the provision of support for the preparation and communication of intended nationally determined contributions (INDCs), a component has been added to the GEF Global Support Programme for Preparation of National Communications and Biennial Update Reports by non-Annex I Parties to provide technical backstopping, capacity-building, information-sharing and knowledge management activities to countries to prepare their INDCs.<sup>58</sup>

### **C. Capacity-building elements in the report of the Adaptation Fund Board**

44. Under the readiness programme for climate finance, the AFB carried out various activities to increase the number of applicant national entities seeking accreditation and the number of high-quality proposals submitted to the Board within a reasonable time after accreditation. Activities undertaken include seminars and workshops, the development of a knowledge exchange platform for direct access and the development of a guidance document on how to address the Fund's environmental and social policy during project design. The AFB also approved USD 244,447 worth of South–South cooperation grants to support countries in identifying suitable national institutions as candidates for national implementing entities and in preparing an application for accreditation. In addition, the implementation of the second phase of the readiness programme started on 1 July 2015, which includes additional funding for South–South cooperation grants and technical assistance for the implementation of the environmental and social policy of the Fund.

## **IV. Capacity-building elements in the work of bodies established under the Kyoto Protocol: Executive Board of the clean development mechanism**

45. The CDM Executive Board supervises the CDM under the authority and guidance of the CMP.<sup>59</sup> The Board held three meetings during the reporting period.<sup>60</sup>

46. The Board continued to provide support to designated national authorities (DNAs), including through regional workshops for DNAs to share experiences, engage with experts and learn of the latest regulatory developments in relation to the CDM, climate finance and the UNFCCC negotiations.<sup>61</sup>

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<sup>58</sup> FCCC/CP/2015/4, annex, paragraphs 52 and 149–159.

<sup>59</sup> Decision 3/CMP.1, annex, paragraph 5.

<sup>60</sup> The 85<sup>th</sup> and 86<sup>th</sup> meetings of the CDM Executive Board were held in Bonn from 20 to 24 July 2015 and from 12 to 16 October 2015, respectively. The 87<sup>th</sup> meeting was held in Paris, France, from 23 to 27 November 2015. Further information is available at <[http://cdm.unfccc.int/EB/archives/meetings\\_15.html](http://cdm.unfccc.int/EB/archives/meetings_15.html)>.

<sup>61</sup> FCCC/KP/CMP/2015/5, paragraphs 71 and 72. The regional workshop on carbon finance and the CDM for Latin America and the Caribbean (held in Santiago, Chile, on 7 and 8 September 2015) was held back-to-back with the 9<sup>th</sup> Latin American and Caribbean Carbon Forum (held from 9 to 11 September 2015). The Asia and the Pacific regional workshop on promoting the CDM and the market mechanisms for pre- and post-2020 was held in Manila, Philippines, on 29 and 30 September 2015. Further information on these events is available at <<http://cdm.unfccc.int/stakeholder/index.html>>.

47. The regional collaboration centres (RCCs)<sup>62</sup> have been particularly active with regard to capacity-building through the hosting of various events. The RCCs have provided direct support to more than 321 project activities since the beginning of their operations in 2013, contributing to 114 such activities moving forward in the project cycle; a total of 66 new project activities have been identified and have submitted their notification of prior CDM consideration. The RCCs have also provided direct technical assistance to DNAs for the development of standardized baselines. A total of 63 standardized baselines have been directly supported and an additional 50 potential standardized baselines have been identified. The Board has expanded its on-the-ground work with stakeholders with the launch of a fifth RCC in partnership with the Institute for Global Environmental Strategies in September 2015, in Bangkok, Thailand.<sup>63</sup>

48. The Board also undertook promotion and outreach efforts in 2015, notably the following: publishing CDM-specific content on the UNFCCC Newsroom website, with stories in English, French and Spanish; an increased use of social media; outreach at targeted carbon market events; production of videos; promotional outreach work to encourage demand for the CDM and certified emission reductions; engagement with intergovernmental and private sector organizations; assisting policymakers in compliance markets; and the development and promotion of the voluntary cancellation platform.<sup>64</sup>

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<sup>62</sup> The first RCC was established in Lomé, Togo, in 2013, followed by RCCs in Kampala, Uganda; St. George's, Grenada; Bogota, Colombia; and Bangkok, Thailand. They work in partnership with local and regional agencies and multilateral development banks to improve the regional and subregional distribution of CDM projects.

<sup>63</sup> FCCC/KP/CMP/2015/5, paragraphs 77 and 80.

<sup>64</sup> FCCC/KP/CMP/2015/5, paragraph 104.