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CAPACITY-BUILDING

Compilation and synthesis of information provided by the Global Environment Facility and relevant international organizations on progress made in the implementation of capacity-building projects and programmes

Note by the secretariat

Summary

The Subsidiary Body for Implementation (SBI), at its seventeenth session, took note of the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15) and invited the Global Environment Facility (GEF) and relevant international organizations to provide information on the progress made in the implementation of capacity-building projects and programmes responding to the framework for capacity-building in developing countries. In response to a request by the SBI at its seventeenth session, the secretariat has compiled and synthesized the information provided by the GEF and other relevant international organizations.

The present note, which should be read in conjunction with the above-mentioned progress report, contains useful and relevant information on the capacity-building activities that international organizations are implementing in developing countries. The SBI may wish to consider how the present note can assist the comprehensive review process.

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I. INTRODUCTION

A. Mandate

1. At its seventeenth session, the Subsidiary Body for Implementation (SBI), under the agenda item on capacity-building, reiterated the need to further the prompt implementation of decisions 2/CP.7 and 3/CP.7 of the Conference of the Parties. It invited the Global Environment Facility (GEF) and relevant international organizations to provide, by 15 April 2003, information on the progress made in the implementation of capacity-building projects and programmes responding to the framework for capacity-building in developing countries contained in the annex to decision 2/CP.7, and requested the secretariat to compile and synthesize that information for consideration at its eighteenth session (FCCC/SBI/2002/17, para. 35 (f)–(g)).

B. Scope of the note

2. The present note provides a compilation and synthesis of the information provided by the GEF, its implementing agencies and relevant international organizations on their capacity-building activities aimed at implementing decision 2/CP.7. It also draws on other sources of information made available by these organizations to the secretariat. In addition, relevant information regarding capacity-building activities in countries with economies in transition was also included when such information was provided.

3. The present note, which should be read in conjunction with the progress report prepared by the secretariat on the status of activities to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2002/INF.15), contains useful and relevant information on the capacity-building activities that international organizations are implementing in developing countries.

4. Parties may wish to consider how the present note and other notes by the secretariat, containing the compilation and synthesis of information related to the comprehensive reviews of the implementation of decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2003/INF.8) and the compilation and synthesis of actions taken by developing countries and Parties with economies in transition to identify their priority needs and actions taken by Parties included in Annex II to the Convention (Annex II Parties) to implement decisions 2/CP.7 and 3/CP.7 (FCCC/SBI/2003/INF.9), could assist them in the comprehensive review process.

C. Approach to the compilation and synthesis of information

5. The GEF and relevant international organizations provided information in different formats and with various levels of detail. The information was grouped under two headings: implementation of capacity-building projects and programmes by the GEF and its implementing agencies, and implementation of capacity-building projects and programmes by relevant international organizations. The first group includes capacity-building activities funded by the GEF, and the second includes those activities funded by international organizations.

6. Each section begins with a summary of the general information on capacity-building provided by the international organizations, and then describes some examples of specific projects that address various priority areas identified in the framework for capacity-building in developing countries annexed to decision 2/CP.7. Where possible, examples are grouped under the priority areas identified in the framework.

7. The secretariat received submissions from the GEF, the secretariats of the United Nations Conference on Trade and Development (UNCTAD), the United Nations Development Programme (UNDP), the Economic and Social Commission for Asia and the Pacific (ESCAP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO)

and the World Conservation Union (IUCN) (see FCCC/SBI/2003/MISC.2). In addition, information about the World Bank and regional development banks, including the Asian Development Bank (ADB), the European Bank for Reconstruction and Development (EBRD) and the Inter-American Development Bank (IADB) and their activities relating to capacity-building, was made available to the secretariat.

II. COMPILATION AND SYNTHESIS OF INFORMATION

A. Implementation of capacity-building projects and programmes by the Global Environment Facility and its implementing agencies

8. The GEF stated in its submission that support for capacity-building is fundamental to the range of its financial commitments for climate change. In addition to specific capacity-building activities, the GEF generally includes capacity-building components, such as training, information dissemination and institution-building, in its climate mitigation projects and related activities. A review undertaken by GEF implementing agencies to assess the role of capacity-building in GEF projects found that 96 per cent of UNDP projects, 100 per cent of UNEP projects and 86 per cent of World Bank projects have capacity-development components.

9. UNDP and UNEP submitted information regarding their GEF-funded capacity-building activities, including funding and detailed project descriptions. UNEP and UNDP indicated that they develop capacity in developing countries and countries with economies in transition in three principal ways: by facilitating and supporting environmental institution-building, by providing expert advice, and by developing regional programmes.

National communications, national climate change programmes and greenhouse gas inventories

10. The focus of GEF-funded UNDP capacity-building activities is the provision of assistance in the preparation of national communications of Parties not included in Annex I to the Convention (non-Annex I Parties) and in the development and strengthening of national climate change programmes, including improvement of climate change data and methodology. Eighty non-Annex I Parties received assistance from GEF-funded UNDP activities in preparing their initial national communications.

11. UNDP, with funding from the GEF, is also involved in the preparation of 69 projects related to capacity-building of non-Annex I Parties under Phase II enabling activities. The projects cover participation in systematic climate change observation networks, the identification of technology needs and modalities to acquire and absorb them, the improvement of emission factors to assess greenhouse gas (GHG) emissions, and the development of national activities to enhance public awareness and education as well as access to information. UNDP is also working to improve the quality of GHG inventories in 26 francophone countries in West and Central Africa and non-Annex I Parties in Central Europe and the Commonwealth of Independent States. UNEP, with funding from the GEF, expects to continue providing assistance to non-Annex I Parties in the preparation of their second national communication.

12. UNDP will soon start a three-year project that will use a regional framework to build national capacity for improving the quality of data input to national GHG inventories. The project will build upon existing national institutional frameworks established under the enabling activity project. The same national institutions involved in the preparation of the initial national communication will be targeted with a view to creating a more permanent infrastructure.

13. UNEP has successfully implemented, in collaboration with UNDP, a US\$ 3 million, GEF-funded National Communications Support Programme that provides technical assistance to 25 developing countries. UNEP has also provided support to Cameroon, Lesotho, the United Republic of Tanzania and Zambia in producing their initial national communications and in building, at the community and government decision-making levels, capacity and awareness concerning climate change as it relates to sustainable development.

14. UNEP, with funding from the GEF, implemented the “Country Case Studies on Sources and Sinks of Greenhouse Gases” project which assisted nine developing countries in drawing up comprehensive inventories of GHG emissions and sinks. Under the current national institutional framework, UNEP is working to improve the capacities of developing countries in preparing climate change action plans linked to the national planning process.

Capacity-building for implementation of adaptation measures and vulnerability and adaptation assessment

15. UNEP, with funding from the GEF, implements the Assessments of Impacts and Adaptation to Climate Change (AIACC) project in multiple regions and sectors. This project, conducted in cooperation with the Global Change System for Analysis Research and Training, the Third World Academy of Sciences and the Intergovernmental Panel on Climate Change (IPCC), aims to enhance the scientific capacity of developing countries with, inter alia, training, transfer of technology and technical assistance.

16. Similarly, UNEP, with funding from the GEF, was successful in supporting the capacities of African scientists and experts in the development of a climate action plan for the New Partnership for Africa’s Development (NEPAD). The plan was developed by experts from the region, focusing on the impact of climate change and adaptation activities. The aim of the project was to demonstrate an integrated assessment of vulnerability to food insecurity, climate change risks and adaptation strategies to mitigate disaster risks while promoting sustainable development.

17. UNDP implements several projects directed at capacity-building in adaptation and vulnerability assessment. For example, one of the main components of a climate change programme in Pacific Island countries was the assistance provided in vulnerability assessment and evaluation of adaptation measures. In Central America, Mexico and Cuba, UNDP is implementing a pilot project to elaborate and apply the Adaptation Policy Framework that includes preparation of adaptation strategies, policies and measures.

18. A new World Bank project, Mainstreaming Adaptation to Climate Change (MACC), is supporting capacity for identifying and responding to the risks of climate change in the Caribbean region. The project will support mainstreaming of climate change considerations into development planning and sectoral investments projects, technical and institutional response mechanisms for adaptation to global climate change, and regional climate change monitoring and modelling.

Assessment for implementation of mitigation options

19. Capacity-building efforts of the GEF are well integrated into larger mitigation projects that remove technical, financial, legal and social barriers and establish regulatory frameworks. Some of these projects include assessment for the implementation of mitigation options through energy efficiency measures, some have components on education, training and public awareness, and others assist with capacity-building for the transfer of technology.

20. For example, a World Bank Rural Electrification and Renewable Energy Development project in Bangladesh provides capacity-building assistance in assessing the implementation of mitigation options, in the use of renewable energy, and in the transfer of technology. Another example is the GEF-funded UNDP Pacific Islands Renewable Energy Programme, that assists in promoting the widespread implementation and establishment of frameworks and capacities required for the sustainable management and application of renewable energy technologies.

21. UNEP is implementing several projects that assist national cleaner production centres in integrating energy efficiency into their mainstream programmes. It also implements the US\$ 9.6 million project, Energy Management and Performance Energy Savings Scheme (EMPRESS), that assists in

establishing specialized energy service companies which provide services to industrial and commercial clients in Central and Eastern European countries.

Research and systematic observation

22. Research and systematic observation is another area in which the GEF provides support with capacity-building. UNDP, together with the secretariat of the Global Climate Observing System, implements a project that will improve the capacity of non-Annex I Parties to participate in systematic observation networks through the development of regional action plans.

Development and transfer of technology

23. The transfer of technology is also a key area of the GEF-funded UNDP capacity-building activities in developing countries. UNDP is implementing the Assessing Technology Needs project that aims at developing a practical methodology to provide input to non-Annex I Parties for assessing technology needs in the context of the United Nations Framework Convention on Climate Change (UNFCCC). The project will assist countries in analysing priority technology needs as a basis for developing a portfolio of environmentally sound technology projects and programmes to facilitate the transfer of and access to such technology and know-how.

24. Another example is the Biomass Energy Project funded by the GEF in Cuba that included capacity-building components in order to establish a commercial demonstration of state-of-the art biomass technologies and to create the preconditions for the utilization of such technology.

25. The GEF-funded UNEP project, Sustainable Alternatives Network (SANet), supports informed decision-making regarding investments in cleaner technologies. This project, following its approval under Phase II, will cost US\$ 7.6 million; contributing partners are the World Federation of Engineering Organizations, the International Federation of Consulting Engineers, and a growing number of sector-oriented organizations. SANet assists business experts in overcoming challenges in the transfer of technology and accessing up-to-date information and tools that have practical value in assessing investment feasibility. It offers online resources and financial incentives, thereby enabling local experts to strengthen their advisory capacity and effectively market their services.

Needs arising from the implementation of Article 4, paragraphs 8 and 9, of the Convention

26. To address particular needs of the least developed countries (LDC), the GEF developed a project to strengthen the capacity of their climate change focal points to access the relevant information and databases. In addition, the Least Developed Countries Fund was created to direct funds specifically to the needs of these countries. The LDC Fund has been operationalized, and funding for the preparation of national adaptation programmes of action (NAPAs) is contributing to building the capacity of LDCs in developing adaptation response measures.

27. UNDP implements NAPA projects in 30 African, Asia-Pacific and Arab countries. UNEP is working with more than one dozen least developed countries to assist them in preparing such programmes of action and is also developing specific training material to build their capacities in that regard.

Education, training and public awareness

28. The GEF and its implementing agencies reported that many mitigation projects provide information on energy efficiency and renewable energy, raise public awareness of these issues and enhance the capacity of the private sector, financial institutions and local agencies to create sustainable and replicable business practices. UNEP has been working to provide popular material, based on IPCC reports, for use by developing countries.

National capacity self-assessments

29. As an outcome of the Capacity Development Initiative (CDI), the GEF launched the national capacity self-assessments (NCSAs) to assist eligible Parties in assessing their capacity-building needs related to climate change, biodiversity and land degradation, with the aim of catalysing domestic and/or externally assisted action to meet those needs in a coordinated and planned manner. While these three thematic areas are central to the exercise, it is fully recognized that NCSA activities will need to explore the synergies among them, as well as linkages with wider concerns of environmental management and sustainable development. The GEF operational guidelines for funding NCSA activities encourage countries to keep in mind the capacity-building frameworks adopted by the Conference of the Parties when assessing needs in the climate change area. To date, a large number of countries have initiated the NCSA process and have received funding from the GEF.

30. To provide greater focus to capacity-building, the proposed GEF business plan for 2004-2006,¹ which was considered by the GEF Council at its annual meeting from 14 to 16 May 2003, contains a proposal for a strategic framework. The strategy will be operated in a country-centred manner and will also seek to build synergies with the regular capacity development activities of implementing and executing agencies. The four elements of the emerging strategy are: capacity-building elements in GEF investment projects; targeted capacity-building within the focal areas; enabling activities; and cross-cutting capacity-building projects. It is anticipated that approximately 25 per cent of GEF resources will be directed towards capacity-building over the period covered by the business plan.

B. Implementation of capacity-building projects and programmes by relevant international organizations

31. UNIDO, UNCTAD, ESCAP, UNEP and IUCN provided general information on their projects on and approaches to capacity-building in developing countries, and gave examples of current and planned activities, including their capacity-building efforts in training, public awareness building, technical assistance under the clean development mechanism (CDM), vulnerability and adaptation assessments, transfer of technology and assistance in implementing mitigation projects. They indicated the consistency of their capacity-building activities with the priority needs identified in the framework for capacity-building in developing countries. UNEP structured its information by categories that respond to the priority areas identified by developing country Parties in decision 2/CP.7.

32. The UNFCCC secretariat carries out activities that contribute to capacity-building in developing countries and countries with economies in transition in such areas as training, workshops, databases, technology information systems, technical assistance in regard to guidelines, and review processes. It also provides information on all aspects of the UNFCCC process, especially through its web site. Information about the capacity-building activities of the UNFCCC secretariat are noted in FCCC/SBI/2002/INF.15.

33. In addition, the secretariat continues to facilitate informal collaboration on capacity-building among key United Nations agencies, including the GEF Secretariat. The objective of this inter-agency collaboration is to improve the exchange of information in the production and dissemination of capacity-building resource materials. The inter-agency group also aims to enhance strategic collaboration in capacity-building activities that contribute to sustainable development, the development and implementation of national climate change policies and programmes and active participation in the Convention and Kyoto Protocol process.

34. The regional development banks identified capacity-building as one of their priorities in developing climate-related projects in developing countries and countries with economies in transition.

¹ GEF Business Plan FY04-06, paras. 19-23.

They noted that a number of promising opportunities exist to develop climate-friendly markets and technologies, but that the capacities to make this happen are often lacking. In this regard, there is a need for new and creative financial engineering that could take into account the possibilities for synergies among funding streams (new and traditional) and, in particular, to explore the possibility of interfacing GEF and CDM funding streams.

35. Many capacity-building efforts implemented by international organizations and multilateral development agencies are cross-cutting in nature and simultaneously address several of the capacity-building needs of developing countries. In this regard, distinctions are not always made as to how specific projects address the priority areas identified in capacity-building frameworks. The capacity-building activities described below are consistent with specific areas identified by developing countries in decision 2/CP.7.

Institutional capacity-building

36. IUCN implements several projects that are aimed at supporting institutional capacity-building: for example, an analysis of the interlinkages between NAPA and the National Biodiversity Strategy and Action Plans in Bangladesh and in the Lao People's Democratic Republic, and the preparation of guidelines incorporating biodiversity concerns into the programmes of action. The results of these projects will be made available prior to the ninth session of the Conference of the Parties. In addition, in April 2003, IUCN also organized in India a regional workshop on mainstreaming biodiversity and climate change in partnership with the Government of India, UNDP, UNEP, the International Institute for Sustainable Development and the secretariats of the Convention on Biological Diversity, the United Nations Convention to Combat Desertification and the UNFCCC.

Vulnerability and adaptation assessment

37. International organizations and multilateral development agencies implement capacity-building assistance projects in the areas of vulnerability and adaptation assessment, capacity-building for the implementation of adaptation activities, improved decision-making, and research and systematic observation.

38. For example, UNEP is assisting developing country experts in developing decision-making tools to help mainstream adaptation to the impacts of climate change in national sustainable development planning. UNEP has also published materials on the assessment of climate change and health linkages and the management of environmental health hazards

39. To reduce the vulnerability of developing countries to climate change in the water sector, IUCN has prepared studies on the impacts of climate variability and change on water and wetland resources in a number of regions including Central America, the Mediterranean, Southeast Asia, Southern Africa and West Africa and in Bangladesh. Further, dialogues were held in which actions for adaptation in each of the regions were identified.

40. The World Bank prepared several studies to assess vulnerability to climate change and the impacts of climate change, and to formulate adaptation strategies in Bangladesh, the Pacific islands and the Caribbean. IADB implements activities, in Central America and in the island countries of the Caribbean, that strengthen knowledge and capacities for responding and adapting to natural stress or disasters.

41. In November 2002, ADB, with funding from the Government of Canada, implemented a regional technical assistance project, Climate Change Adaptation for the Pacific Islands (CLIMAP). The purpose of CLIMAP is to assist the ADB developing member countries in the Pacific to work towards integrating

climate change and variability adaptation measures into their development projects through a risk reduction approach.

Assessment for implementation of mitigation options

42. UNEP implements activities that enable decision makers to better understand the link between energy choices and broader sustainable development issues. Working with a wide range of partners, UNEP promoted the Global Energy Network, which helps to develop and implement approaches for analysing various energy policies and climate change mitigation options.

43. IADB carries out several studies in Latin America that examine institutional capacities and mitigation opportunities, as well as connections between mitigation and development interests. In April 2001, ADB began the Netherlands Cooperation Fund on Promotion of Renewable Energy, Energy Efficiency and Greenhouse Gas Abatement (PREGA), a three-year project co-financed by the Government of the Netherlands. PREGA is being implemented in 15 developing member countries with the objective of promoting investments in renewable energy, energy efficiency and greenhouse gas abatement technologies. Towards this end, the project seeks to develop the capacities of national policy makers, technical experts and the staff of financing institutions.

Development and transfer of technology

44. UNIDO assists six countries in reviewing barriers to the introduction of climate-friendly industrial technologies and in developing a strategy to address those barriers. This initiative also promotes learning-by-doing capacity-building programmes in these countries. In addition, UNIDO is planning a new capacity-building and technology diffusion initiative that will support the creation of an institutional framework for the transfer of technology and for the CDM; develop or expand national capacity to identify and design the CDM and joint implementation projects; and offer training in energy efficiency.

45. UNEP established the International Environmental Technology Centre (IETC) which focuses on the promotion, adoption and use of environmentally sound technologies. The activities of the Centre have reached almost 98 per cent of developing countries and countries with economies in transition.

Clean development mechanism

46. Since 1999, UNIDO has provided support to a number of developing countries in Africa and Asia in identifying their technological and institutional capacity-building needs related to the implementation of the CDM. It has also assisted developing countries with technical and methodological issues related to the mechanism. UNCTAD has launched the Carbon Market Programme which supports the establishment of public-private operational entities in order to facilitate investments in the CDM and joint implementation. The programme is being implemented in Brazil, Malawi, Mozambique, Uganda, the United Republic of Tanzania, Zambia and countries with economies in transition.

47. UNCTAD and UNIDO, through their numerous projects on CDM issues, facilitate the development of national programmes and the assessment of mitigation options, promote improved decision-making, enhance the creation of an enabling environment, facilitate the exchange of information and networking; address institutional capacity-building needs, and promote the CDM and the development and transfer of new technologies.

48. UNEP is implementing a US\$ 10 million project on capacity development for the CDM, funded by the Government of the Netherlands. The project helps to establish GHG emission reduction projects and seeks to enhance the capacities of 12 countries in four regions to analyse the technical and financial merits of possible CDM projects and negotiate financial agreements with Annex I countries and

investors. The project incorporates various activities, including workshops, training, and technical and analytical assistance.

49. The World Bank, through its Prototype Carbon Fund, provides opportunity to “learn-by-doing” in the development of policies, rules and business processes for the achievement of emission reductions under the CDM and joint implementation. IADB undertakes activities that support improved national decision-making and provide assistance for engagement with international processes and mechanisms, such as the CDM.

50. The CDM project of ADB, Carbon Sequestration through CDM in Indonesia, was developed in 2003 to assist the Government of Indonesia in piloting a carbon sequestration project to help stakeholders in that country to understand the processes, implications and potential applications of the CDM in the forestry sector.

51. IUCN, together with the Food and Agriculture Organization of the United Nations and UNEP, is providing support to developing countries in the design of environmentally sound forest projects under the CDM. Expert meetings and legal support have been organized for Latin American and African delegates. The project plans to continue providing institutional and technical assistance for CDM projects in the forestry sector and to include countries in Asia.

Education, training and public awareness

52. ESCAP recently organized in Asia and the Pacific several workshops on climate change, the CDM and the Prototype Carbon Fund, and a training workshop on negotiation and implementation of the UNFCCC and its Kyoto Protocol. Each of the workshops was attended by participants from more than 20 countries, and interest was expressed by the participants to continue with similar events in the future. ESCAP proposes to continue organizing training workshops on the UNFCCC and the Kyoto Protocol, targeting the various levels of climate change negotiators in regard to technical, technological and policy issues. It also proposes to continue to organize training on the CDM. Further, in cooperation with the UNFCCC secretariat and UNEP, ESCAP is planning to hold a workshop on adaptation strategies in November 2003.

53. UNCTAD, through its Carbon Market E-Learning Centre, offers online courses and a virtual workshop facility to provide information and networking on the use of emission trading (including the CDM and joint implementation) as an economic instrument to implement the UNFCCC and the Kyoto Protocol. UNIDO is planning a new capacity-building programme on the CDM that will include tools for raising awareness, including expert group meetings, workshops, training, and the development of analytical materials.

54. The Governing Council of UNEP, at its twenty-second session, adopted a decision requesting UNEP to disseminate widely the IPCC findings complementing the UNFCCC New Delhi Work Programme on Article 6 concerning education, training and public awareness. UNEP continues to produce booklets and information sheets with visual graphics to help disseminate IPCC conclusions.

55. IUCN organizes on a regular basis forums and workshops to exchange views on climate change and sustainable development. Through the work of the Commission on Education and Communication, IUCN assists countries in improving their ability to communicate climate issues to the general public and specific social groups. IUCN maintains a network of communication professionals to advise governments and non-governmental organizations on how to raise awareness of climate change. IUCN is also actively involved in mainstreaming climate change concerns into the water, energy, health, agriculture and biodiversity (WEHAB) principles and the Millennium Development Goals agreed at the World Summit on Sustainable Development.

56. In their activities, IADB and the World Bank make frequent use of case studies, seminars and training programmes that involve local experts and stakeholders in order to build local knowledge and interest.

III. CONCLUSIONS

57. The information received by the secretariat indicated that international organizations and multilateral development banks are actively engaged in building the capacity of developing countries and are interested in further supporting the implementation of the framework for capacity-building in developing countries.

58. Information provided by international organizations and multilateral development banks included an overview of their capacity-building activities. However, to facilitate the effective compilation and synthesis of these activities in the future, it might be useful if additional information related to the assessment of barriers, favourable conditions and success stories were provided to the secretariat.

59. To facilitate the discussion relating to the comprehensive review of the implementation of the framework for capacity-building in developing countries and future requests for submissions regarding capacity-building activities by the GEF and other relevant organizations, Parties may wish to consider the following:

(a) What steps can be taken to encourage international organizations and multilateral development banks to participate in the process of collecting and evaluating information on capacity-building activities?

(b) How can the information on capacity-building activities provided by international organizations and multilateral development banks be improved? For example, should such information include indicators of effectiveness and/or assessment of barriers and favourable conditions for capacity-building?

(c) How often should international organizations and multilateral development banks be invited to provide information on their capacity-building activities so as to increase its usefulness in the review process? Should it be provided on a more regular basis?

(d) What procedures can be adopted by the secretariat to streamline the compilation and synthesis of the information provided by international organizations and multilateral development banks on their capacity-building activities? For example, should the information be provided in a standardized format?
