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**Enhancing the monitoring and evaluation of  
Capacity-building through the Durban Forum**

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**ACADEMIC YEAR 2014/2015**



*“Scan globally, reinvent locally” (Joseph E. Stiglitz)*

## **Preface**

The work presented henceforth was inspired by my experience at the United Nations Framework Convention on Climate Change between February and June 2015. My support as intern to the Capacity-building and Outreach Unit (CBO) gave me an extensive view on the challenges that developing countries are facing in building their capacities to mitigate climate change effects. Taking part to the fourth session of the Durban Forum was not only a chance to see how the workshop is conducted and which topics are discussed, but also an opportunity to question several country Parties on the role of the Forum. Points of view happened to be extremely differentiated, but everybody was willing to give feedbacks about the Durban Forum. For instance, the European Union showed its commitment and active intervention in Capacity-building activities and it warmly welcomes the function of the Forum, whereas developing countries, as Jamaica, contested the abstractness of discussions and outcomes. Capacity-building is a very specific area and investigating the contribution that a workshop gives to it, is even more complex. Given the novelty of the topic, finding consistent literature resulted quite challenging. For this reason, the pathway towards conclusions was developed stage by stage until consistent points of reflection were finally identified.

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## List of abbreviations

ACBF	African Capacity Building Foundation
ACCRA	Africa Climate Change Resilience Alliance
AWG-LCA	Ad Hoc Working Group on Long-term Cooperative Action
BUR	Biennial Update Report
CAF	Cancun Adaptation Framework
CB	Capacity-building
CBCC	Capacity-building Coordination Committee
CC	Climate Change
CDM	Clean Development Mechanism
CI	Capacity Indicator
COP	Conference of the Parties
CTCN	Climate Technology Centre and Network
ECOSOC	Economic and Social Council
EGTT	Expert Group on Technology Transfer
GEF	Global Environment Facility
GHG	Green House Gas
IDRC	International Development Research Centre
INDC	Intended Nationally Determined Contribution
IOM	Organisation for Migration
LDC	Least Developed Country
M&E	Monitoring and Evaluation
NAMA	Nationally Appropriate Mitigation Actions
NAP	National Adaptation Plan
NAPA	National Adaptation Programmes of Action
NC	National Communication
NGO	Non governmental organization
PI	Performance Indicator
SBI	Subsidiary Body of Implementation
TEC	Technology Executive Committee
TT	Technology Transfer
UN	United Nations
UNAIDS	United Nations Programme on HIV/AIDS
UNDP	United Nations Development Programmes
UNFCCC	United Nations Framework Convention on Climate Change
UNITAR	United Nations Institute for Training and Research
UNMA	Uganda National Meteorological Authority
WHO	World Health Organization
YOUNGO	Youth NGO constituency



*To my grandfather, Rodolfo Gioia.*

# 1 Introduction

The aim of this work is to investigate the effectiveness of the Durban Forum, established by the UNFCCC in 2011, in enhancing the monitoring and evaluation of Capacity-building (CB).

In the first chapter it is introduced the concept of Capacity-building, its history and definitions. Then, after a brief focus on the role of the Non-governmental organizations, it is retraced the pathway towards the establishment of the Forum.

Capacity-building has a *cross-cutting* nature and a long history of both failures and successes in improving capacities and enhancing performances. It received great attention in sustainable development since the Rio Earth Summit, where, in June 1992, 108 governments adopted the Agenda 21, the Rio Declaration on Environment and Development and the Statement of Forest Principles. Capacity-building covers many fields as health, education, climate change, children safety and human rights. It aims at improving performances in a sustainable and efficient way, but behind the simplicity of this statement, there is a world of implications, facts and actors. As a matter of fact, the United Nations Development Programme (1998) divided capacity in three different levels: systemic, organizational and individual. As it will be exhaustively explained in the chapter, the origins of Capacity-building lie in the thought of intellectuals like Amartya K. Sen ('Capability Approach') and in the continuous historical evolution that influenced the approach of the United Nations in developing capabilities. Three main stages were identified.

The first one started in the 1980s, when UN agencies were pursuing short-term results by assisting central governments to strengthen their institutions and services. The second term happened by the end of the 1980s, when, after the end of the Cold war era, new political beliefs arose; *democracy* and *good governance* were the new key words and the role of non-governmental organizations was notably increasing. Consequently, it followed a path of decentralization and new attention towards non-state actors and local entities promoting 'bottom-up' approaches.

Lastly, in the mid 1990s, it emerged the need to renovate the attention towards institutions and central governments: the awareness of the strong interlink among Capacity-building components led to the conclusion that it was necessary to harmonize the work of institutions with all the other related fields. A simple donor-driven relationship resulted to be ineffective: it was necessary to strengthen capabilities and promote *local ownership*. A good partner is supposed to provide instruments and teach internal actors how to go ahead autonomously, once the donor leaves the country.

Considering the importance of non-governmental organizations in the international community, a part of the chapter is dedicated to their history and trans-national nature. These organizations experienced growing public influence and developed the capacity to virtually reach everyone. It has been noted that they became more reliable than local/national authorities and obtained the legitimacy to create *common goods* for the community. Given their intermediary position (between societies, local governments and international organizations), non-governmental organizations intervene simultaneously as domestic and international actors that put groups in contact in the name of common values. The Africa Climate Change Resilience Alliance is mentioned as good example of non-governmental organization. It was established in 2009 and has been working for 4 years on adaptive capacity of people in Ethiopia, Uganda and Mozambique. It aims to support national decision-making processes to reduce vulnerability of local communities. This alliance supports national consortiums to lead, design, co-produce and deliver integrated and context-specific research, Capacity-building and advocacy.

By the end of the 1990s, developing countries, mainly in Africa, were actively welcoming this new attitude with innovative national strategies and openness towards external interventions. On the behalf of donors, recognizing the failures and embracing a new optimistic approach, made them critically analyse their previous approaches and elaborate new procedures of self-assessment. Within the chapter, it is described the analysis of the United Nations' action in six developing countries between 1980 and 1995. Here results happened to be positive and

highlighted some features that are necessary to obtain satisfactory results. The new model was not merely about institutional strengthening, but a broader project made of a new kind of consciousness. It was understood that the rule of law, the legal system, the social capital, the economy of a country and the administrative pattern, had, in the same measure, deep effects on Capacity-building. Specific strategies were drawn for each country, including aspects of budgetary revision, monitoring techniques, policy improvements etc. Finally, the division between the three levels became more flexible and interchangeable.

The observation of the six countries gave the perception that Capacity-building is a complex concept depending on the specific case that is made of human resources, public and private sphere dealing with poverty, climate change and health.

Anyhow, it was possible to gather some general features that guarantee the success of interventions, such as the level of commitment and good will of the developing country, the availability to learn and to provide quick feedbacks of the impulses received, stable conditions that give participants a feeling of trust towards the donor and the ability to internalize the lessons learnt.

Nevertheless, it was noted that nothing more than general steps could be provided because it is impossible to delineate a unique model of capacities development: some approaches may fit in a situation and not in another. For instance, once a gap is identified in the public-sector, strengthening local capacity can be aimed at, but practices may vary from a situation to another one: for instance a condition of political corruption differs from the lack of trust in the external agency.

The second part of the chapter, focuses on the roots and the establishment of the Durban Forum, whose origins lie in the United Nations Framework Convention on Climate Change (UNFCCC), established in 1994 after the Rio Conventions of 1992. One of the major achievements of the UNFCCC concerns developing countries: it was stated that developed countries would support developing country Parties in their climate change activities through the share of technology and the establishment of funds, managed by the Global Environment Facility (GEF). Throughout the years, many conferences and workshops were held in

order to discuss this theme. Finally, in the Panama Climate Change Conference (2011) Parties engaged an in depth-discussion on Capacity-building and some months after, at the Durban Climate Change Conference, it was adopted the decision text on the Durban Forum. It was established that the Durban Forum would have met every year during the UNFCCC negotiating sessions as an occasion to share experiences, lessons learned and good practices on the implementation of Capacity-building in developing countries and it involves several actors: Parties representatives, UN organizations, researchers, intergovernmental and non-governmental organizations, academia and the private sector. The Forum held its first meeting in Bonn during the Climate Change Conference in May 2012. The Durban Climate Change Conference marked also a great turning point for the international community about climate change, because after years of negotiations and mainly disagreements of developing countries, it was decided to draft and adopt a binding agreement on Climate Change by December 2015, in Paris.

The difficulties encountered over the years have been surely smothered, but issues about equity of responsibility, emission targets and developing countries' participation still persist and might impair the final accord of Paris.

The core of this work is embedded in the second chapter, where it is discussed the assessment stage of Capacity-building processes, which is the evaluation resulting from a long process of monitoring. The importance of this phase is vital for countries, donors and partner agencies, but it remains controversial how to monitor achievements. M&E capacity development activities allow to keep track of processes and progresses in order to better orientate interventions. However, despite the centrality that Capacity-building acquired in these last decades, measuring capacity is still an intrinsic issue because it depends on several aspects that hardly permit to elaborate a unique method. Monitoring is defined as a continuous observation process, which gives results while the project is still ongoing. The aim is to guarantee the right functioning of the plan and to alert about deviations from the original set of objectives. Whereas, evaluation is the final stage that defines the quality of the project. These two passages are complementary and depend on a careful and clear planning and goals setting.

Scholars report that in developing countries the urge to improve performances is notably increasing and many governments are trying to meliorate the measurement strategies of their programmes. This need arose for two reasons: firstly, most of the organizations tend to report only their results rather than general outcomes, secondly, information are not always complete and reliable. Consequently, there is now the necessity to design effective ways of M&E. Researchers accepted the new call with enthusiasm, but they are divided in two schools of thought. Some experts believe in quantitative standardized techniques, while others argue that generalization in developing countries is not possible. Inflexible parameters do not permit to understand the environment and its complex nature, leading to the development of inefficacious evaluating systems. Finally, the majority of scholars got to the conclusion that only good practices can be identified. Some general steps are then reported, as the need to compare results in different groups, or analogous programmes in diverse countries.

A very relevant aspect of M&E strategies is related to indicators: tools that help in the identification of capacities, weaknesses and in the establishment of achievable goals. It is made a useful distinction between capacity indicators and performance indicators. Capacity and performance are complementary but not alike. A performance can be a good measure for capacities but the relation is not so linear: as a matter of fact, a performance can be poor even if people have good capabilities.

Two main difficulties are encountered when building indicators. Firstly, reciprocal influence of each Capacity-building level, which means that for instance, the organizational level could be easily affected by the individual level and vice versa. It will be finally stated that generalizations should be avoided again. Tracing generic indicators is not possible; they need to fit the single case. It is anyway feasible to adopt pre-existing indicators based on the same organizational ratio, but it is then necessary to readapt them to the new case.

Two workshops of the UNFCC about M&E were held respectively in 2007 and in 2008. The share of experience and challenges in developing indicators led to the

conclusion that no single approach towards M&E could be applied and the designing of methodologies has to be country-based. Additionally, there was common agreement on the complexity in the identifications of common indicators and that their use is often quite limited because making generalizations is not possible. Indicators have to be tailor-made, because they are subjective tools of a nation, however countries are still encountering difficulties in obtaining national performance evaluations because aggregating performance indicators at the project-level is not an easy task. In June 2015, Least Developed Countries submitted some important considerations concerning the establishment of performance indicators and added observations about their vision of the Durban Forum. In this section of the chapter it is explained what they are complaining and suggesting, and which is the vision of the European Union, instead. The final aim is to investigate which role is now covering the Durban Forum and if it needs some rethinking.

The mandate of the Durban Forum concerns monitoring and evaluating capacities in developing countries through dialogue and, due to this fact, it remains controversial how to adequately monitor progresses in strengthening capacities. Given the lack of institutionalization of the Forum and the absence of common indicators and universal criteria of assessment, developing countries submitted some important considerations in June 2015 concerning the development of performance indicators and added useful observations about their vision of the Durban Forum. The chapter terminates with some considerations about the proposals for 'Paris 2015' reported in the text adopted in Geneva in February 2015: here are listed some possible changes to improve Capacity-Building activities. It will be then concluded how to relate these adjustments to the Durban Forum and how to properly interpret the role of the Forum, in order to avoid misunderstandings about its mandate.

The third chapter begins with the assumption that the role of the Durban Forum has to be rethought, because critiques to the Forum depend on erroneous perceptions of its mandate. The solutions that developing country Parties are looking for, can hopefully be integrated in the new binding text of Paris, whereas

the role of the Forum does not change, it just needs some rethinking. M&E do not necessarily mean to follow pre-established guidelines; comparison through dialogue can be effective as well. The chapter analyses the importance of knowledge sharing and considers the possible kinds of networks designed for sharing as electronic networks, workshops and conferences. New ways of access to information, like online portals, are leaving conventional cooperation models behind. Thanks to these new technology systems, transnational cooperation is increasing and there is a consistent flow of information among experts, researchers, governments and societies. Conferences, instead, permit direct interaction and their formal nature makes them vital occasions to shape the development of new policies. In the specific case of UN environmental conferences, they make governmental elites aware about new challenges and help them to acquire new competences for sustainable development. Lastly, forums are additional methods tools of knowledge sharing; they permit exchange of experiences and strategies. This chapter highlights how knowledge sharing is not a simple process of communication, it is a learning system related to the level of internalization of receiving entities.

To guarantee a good level of internalization, some important requirements are listed. For instance, the sense of ownership makes recipients feel highly committed, while a good level of satisfaction with the information received minimizes possible resistances in application.

The Forum has been designed to create an informed kind of dialogue to help countries understand what they can do better, what to avoid and what to expect. Besides, it helps organizations and private entities to identify needs, gaps, but also achievements. It has the same relevance for the bodies established under the Convention that can bring their experiences and adjust their strategies. Last, but not least, this Forum provides an annual overview to the Secretariat about overall progresses in Capacity-building. Dialogue among Parties is a soft manner to keep track of progresses and to meliorate the monitoring and review of Capacity-building in the international climate change system. Every year, participants coordinate their efforts to give relevant presentations.



Lastly, four examples of experiences shared within the Forum are reported. The analysis of presentations delivered from 2012 until today, is meant to provide a comprehensive overview of *what* is generally discussed in this meeting. Presenters from UNFCCC bodies, country Parties and organizations, introduced successful stories but underlined also what kind of gaps and limits they encountered, so to give a notable cause for reflection to all the participants.

The first presentation will introduce the role of the Youth NGO constituency (YOUNGO) and the importance given to young people in international conferences and in Capacity-building actions. The second one discusses the linkage between gender and climate change, presenting the specific situation of Nepal and the undertaken initiatives. The third presentation refers to the enhancement or creation of enabling environments, while the fourth one concerns the roadmap of Chile in developing Intended Nationally Determined Contributions.

## 2 Capacity-building and the Durban Forum

The term Capacity-building has a long history and broad meanings related to several fields, including climate change (CC). For this reason it is difficult to give a unique definition. Generally speaking, Capacity-building refers to the concept of *performance* and its objective is to improve the capacities to perform specific actions and achieve development goals.<sup>1</sup>

Since the Rio Earth Summit in 1992, this topic received growing attention. In Rio 108 governments adopted the Agenda 21, the Rio Declaration on Environment and Development and the Statement of Forest Principles.<sup>2</sup> Agenda 21 is about *what to do* in the XXI century in terms of sustainable development: in the 37<sup>th</sup> chapter are enshrined the major objectives of Capacity-building at both national and regional level. The Declaration on Environment and Development, on the basis of the Stockholm Declaration at the 1972 United Nations Conference on the Human Environment,<sup>3</sup> states that environmental protection is a mandatory condition for a good economic growth and requests international agreements to always allocate equal responsibilities. The principle n.9 of the Declaration puts emphasis on endogenous capacity building and the importance in transferring technological knowledge.<sup>4</sup> Lastly, the Rio Statement recognizes the importance of forests for both economic development and the safety of the environment.

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<sup>1</sup> Jessica Goldberg and Malcolm Bryant, "Country ownership and capacity building: the next buzzwords in health systems strengthening or a truly new approach to development?", BMC Public Health, Boston, USA, 2012, <http://www.biomedcentral.com/1471-2458/12/531>.

<sup>2</sup> United Nations Conference on Environment & Development, Rio de Janeiro, Brazil, 3 to 14 June 1992, <https://sustainabledevelopment.un.org/content/documents/Agenda21.pdf>; <http://www.un.org/documents/ga/conf151/aconf15126-1annex1.htm>; <https://www.iisd.org/rio+5/agenda/principles.htm>.

<sup>3</sup> The United Nations Conference on the Human Environment (Stockholm, 5 -16 June 1972) considered the need for a common outlook and for common principles to inspire and guide the peoples of the world in the preservation and enhancement of the human environment.

<sup>4</sup> Geoff Wescott, "Partnerships for capacity building: community, governments and universities working together", Elsevier, Ocean & Coastal Management 45 (549–571, Deakin University, Australia, 2002.

The Rio Summit led to the establishment of the legally binding ‘United Nations Framework Convention on Climate Change’ (UNFCCC). Since 1992, more than twenty years of negotiations on CC themes took place and countries were never able to reach a global agreement to please everyone. In the specific case of Capacity-building, the next paragraphs will introduce difficulties and progresses encountered insofar. The UNFCCC started concentrating its efforts on Capacity-building since the Conference of the Parties (COP) 7 in Marrakesh, Morocco, in 2001. The major aspects requiring attention were adaptation and mitigation, as determinants of human communities’ vulnerability to CC. Vulnerability can sharply vary from a country to another, since each population is able to formulate very different responses to climate variations. “The vulnerability of a system to climate change is determined by its exposure, by its physical setting and sensitivity, and by its ability and opportunity to adapt to change”.<sup>5</sup>

Given the risks of CC impacts, understanding and delivering adaptation and mitigation actions is a top priority for developing countries. In practical terms, mitigation is about reducing the magnitude of CC effects; it can be pursued through emissions reduction. Adaptation, instead, refers to the capacity of a given community to limit its vulnerability to CC. In the first case we deal with causes, in the second one with consequences.

Adger et al. Remark that adaptation and mitigation actions are not costless, they depend on geographic factors and social actors. Determinants include flexibility of the institutions and the private sector, the social capital, boundaries encountered by the research and the variance between climate change model and real scenarios. Additionally, considering different cases of study and understating present reactions to CC, are great tools to identify successful strategies in the future.<sup>6</sup>

In Marrakesh the areas of interventions eligible for funding were remarkably expanded, including adaptation, mitigation and Capacity-building itself. The rising importance of resilience in developing countries was finally a trigger for the

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<sup>5</sup> W. Neil Adger, Saleemul Huq, Katrina Brown, Declan Conway and Mike Hulme, “Adaptation to climate change in the developing world”, Arnold 2003, *Progress in Development Studies* 3,3, 2003, pp. 179–195, pg. 181.

<sup>6</sup> Ibid.

creation of a new side event: the Durban Forum.<sup>7</sup> This annual meeting has brief life, since it was held for the first time in 2012 and it celebrated its 4<sup>th</sup> meeting in June 2015, in Bonn. As a panel of discussion, it has non-binding nature, which means that it does not produce mandatory outcomes for Parties and stakeholders involved. Before investigating the effects of the Durban Forum in enhancing the monitoring of Capacity-building, it is necessary to go through the history of this concept and its implications.

## 2.1 History and definitions of Capacity-building

Capacity-building is based on the ability of countries to adapt their skills and capabilities to new challenges in order to improve their performances in various fields such as health, bureaucracy, education and climate change. It is an internal and continuous process of renewal that pursues both efficiency and sustainability. The definition given by the Arab States Regional Conference is here used:<sup>8</sup>

“Capacity building or development, as defined by UNESCO (2005), is the process by which individuals, groups, organizations, institutions and societies increase their abilities to: a) perform core functions, solve problems, define and achieve objectives; and b) understand and deal with their development needs in a broad context and in a sustainable manner”.

Capacity is three-layered by the United Nations Development Programme (UNDP) between: systemic, organizational and individual level. At the systemic level, capacity is related to the environmental conditions where individual and organizational capacities take place. It refers to the legal, political, cultural and social frameworks or systems where policies are implemented.

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<sup>7</sup> UNFCCC, decision 2/CP.17, “Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 11 December 2011, Decisions adopted by the Conference of the Parties”, Bonn, Germany, March 2012, par. 144, <http://unfccc.int/resource/docs/2011/cop17/eng/09a01.pdf#page=4>

<sup>8</sup> Arab States Regional Conference on Education Post – Implementation and Monitoring Mechanisms, Capacity Building for Education Ministries, Sharm El-Sheikh – Egypt, 27 – 29 January 2015, [http://www.unesco.org/new/fileadmin/MULTIMEDIA/FIELD/Beirut/pdf/APREC2015\\_Guidance\\_Notes\\_CapacityBuilding\\_EN\\_final.pdf](http://www.unesco.org/new/fileadmin/MULTIMEDIA/FIELD/Beirut/pdf/APREC2015_Guidance_Notes_CapacityBuilding_EN_final.pdf).

The organizational level looks closely at the organization and its features, including human resources and the way they are used and strengthened. Other important assets are the technical means, the financial means and the philosophy of the organization.

The individual level is the foundations of the previous two and concerns the ability of individuals to achieve objectives through their capacities. Skills depend on a set of variables as health, good will, training, values and culture.<sup>9</sup>

Hildebrand and Grindle provided a further division:<sup>10</sup>

1) *Action environment*

It considers the economic, social and political environment in which governments operate. The components involved are those able to affect the public sector e.g. political support, foreign policy and financial market.

2) *Institutional context of the public sector*

This context is influenced by rules and regulatory policies that the governmental institutions operate with.

3) *Task network*

It refers to the organizations involved in the accomplishment of certain objectives in a specific field e.g. education. The quality of the interactions between single entities (such as NGOs and private sector) is considered a crucial factor to achieve goals efficiently.

4) *Organization*

This dimension focuses on every aspect of an entity: mission, approach, relation with other entities and stakeholders, financial resources and many others.

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<sup>9</sup> UNDP “ Capacity assessment and development in a systems and strategic management context”, Technical Advisory Paper 3, 1998, <https://www.cbd.int/doc/pa/tools/Capacity%20assessment%20and%20development.pdf>.

<sup>10</sup> Grindle, M. S. and Hilderbrand, M. E., “Building sustainable capacity in the public sector: What can be done? ”, John Wiley & Sons, 1995, Dev., 15: 441–463.

##### 5) *Human resources*

This layer concerns the level of education and skills belonging to the individuals of an organization: their competences will influence the achievement of a goal.

The latter description might be more extensive, than the former one, but it is generally not applied. It was reported to notice that a general trisection could generate many other distributions. These levels have to be considered as interlinked and overlapping; in such a broad context, entities frequently influence each other.

As Awofeso reminds, Capacity-building is derived from the widening of the concept of ‘institution building’ approach promoted the UNDP in the 1970s.<sup>11</sup> It implied the intervention of one or more countries (or organizations) to help a developing country to attain specific objectives. The ways to intervene were mainly two: institutional strengthening and implementation of donor-funded projects.<sup>12</sup> The former implicates cooperation to enhance various infrastructures such as, universities, public offices, hospitals, whereas the latter is based on the action of development organizations that channel resources from donors to receiving countries and help in the implementation of action plans.

The duty of every United Nations (UN) specialized agency already was to intervene in its competence area to support countries and help in performance improvement.

The origins of Capacity-building lie in both intellectual thoughts and political attitudes able to shape and influence the work of the UN towards an innovative concept of human capital. For instance the ‘Capability Approach’ of Amartya K. Sen<sup>13</sup> investigates the exclusion phenomenon that Capacity-building seeks to

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<sup>11</sup> Niyi Awofeso, “Organisational Capacity Building in Health Systems”, Routledge, August 2012.

<sup>12</sup> Milèn Anneli, “What do we know about capacity building? An overview of existing knowledge and good practice ”, WHO. Dept. Of Health Service Provision, Geneva, Switzerland, 2001, <http://apps.who.int/iris/bitstream/10665/67394/1/a76996.pdf>.

<sup>13</sup> Amartya Kumar Sen was born on 3 November 1933, Bengali, India. Since 1972 has taught and worked in the United Kingdom and the United States.

solve. This approach was elaborated in the 1980s and applied by several UN agencies. His theory focuses on the exclusion to the capability to live a good life, which creates poverty, while development is able to expand capabilities and fix the problem. He starts with the assumption that capabilities depend on local contexts: for example, the same capability to stay healthy depends on age, sex, environment, and wealth.

The basis of this approach is the ‘functionings’, for Sen they reflect what an individual is able to achieve, the things he can do. The combinations of different functionings determines the kind of capability and from capabilities is derived the quality of life. Functionings can be very simple (stay healthy) or either very elaborated (social integration, for instance). Basic functionings can have great impact in developing countries.<sup>14</sup>

As the author remarks:<sup>15</sup>

“In the context of some types of social analysis, for example, in dealing with extreme poverty in developing economies, we may be able to go a fairly long distance with a relatively small number of centrally important functionings and the corresponding basic capabilities (e.g. the ability to be well nourished and well sheltered, the capability of escaping avoidable morbidity and premature mortality, and so forth). In other contexts, including more general problems of economic development, the list may have to be much longer and much more diverse”.

Besides the contribution of literature, new political beliefs played a crucial part in the construction of the Capacity-building concept. After the end of the Cold war era, *democracy* was the new key word and centralized governments were considered a threat to the common will.<sup>16</sup> The concept of *good governance* acquired relevance and undermined the old political structures: public services were decentralized and the active involvement of new political actors, the civil

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<sup>14</sup> Amartya Sen, “Capability and WellBeing”, *The Quality of Life*, Editors: Nussbaum, Martha, Professor of Law and Ethics, University of Chicago; Sen, Amartya, Master of Trinity College, Cambridge, Print publication date: 1993, Published to Oxford Scholarship Online in November 2003, <http://existencia.org/files/alt-eco/quality.pdf>.

<sup>15</sup> Ibid, pg. 2

<sup>16</sup> Reginald Austin, University of Zimbabwe, “Democracy, Conflict and Human Security”, Ch.2, “Democratization after the Cold War: Managing Turbulent Transitions”, International Institute for Democracy and Electoral Assistance, 2006.

society, and non-governmental organizations (NGOs) increased. The capabilities and performances of non-state actors acquired national and also international importance, since they determined the quality of inter-states cooperation. As Graham, Amos and Plumptre claim, good governance is a current topic and its usage is considerably widening. Giving a unique definition might be arduous, but surely a part of the concept is based on the way governments interact with all the layers of the society when taking decisions. Anyway, this is only a part of the meaning since governance can be applied to wider contexts, as the global one. The main features of good governance are participation, transparency of institutions, accountability of decision-makers and equity.<sup>17</sup>

Once this principle became not only fashionable, but also commonly recognized, countries started applying it to aid development programmes.

In the 1990s, the term *Capacity-building* acquired relevance and the UNDP gave an extensive definition:<sup>18</sup>

“Capacity is defined as the ability of individuals and organisations or organisational units to perform functions effectively, efficiently and sustainably. This implies that capacity is not a passive state but part of a continuing process and that human resources are central to capacity development. The overall context within which organisations undertake their functions are also key considerations in capacity development. Capacity is the power of something (a system, an organisation, a person) to perform or to produce”.

As the advisor of the World Health Organization (WHO), Anneli Milèn, highlights, Capacity-building means building on existing capacities or strengthening them, it is not always necessary to have a fresh start. To improve performances it is necessary to frequently update the set of criteria that are used and to remember that Capacity-building is a broad idea made of parts that have to

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<sup>17</sup> John Graham, Bruce Amos and Tim Plumptre, “Principles for Good Governance in the 21st Century”, Institute on Governance, Policy Brief no. 15, 2003, [http://iog.ca/wp-content/uploads/2012/12/2003\\_August\\_policybrief151.pdf](http://iog.ca/wp-content/uploads/2012/12/2003_August_policybrief151.pdf).

<sup>18</sup> UNDP, “Capacity Assessment And Development. In a Systems and Strategic Management Context.” Management Development and Governance Division, Technical Advisory Paper No.3, Bureau for Development Policy, January 1998.



be integrated in the ‘whole’.<sup>19</sup>

## 2.2 A new model

In the mid 1990s two components of Capacity-building had to be reconsidered: development cooperation and the role of institutions. In those years, evidence indicated two important issues: firstly, conventional training approaches of Capacity-building were not always applicable. Secondly, developed countries trying to fix performance deficiencies prevent local initiatives from happening.<sup>20</sup> According to Malik, change cannot be an external imposition and without a good sense of ownership, development is hard to obtain.<sup>21</sup>

In Zimbabwe, for instance, climate change projects grew after the Rio Earth Summit and several training programmes were carried out, as the ‘CC: Train’ (UNITAR)<sup>22</sup> which sponsored several workshops between 1993 and 1994 for mitigation, adaptation and preparation of GHG national inventories. Anyway, the understating of climate change was still limited because solely addressed to those institutions affected by it. Additionally, the high level of awareness could not compensate the lack of skills and financial resources necessary to adopt new technologies.<sup>23</sup>

A simple donor-driven relationship emerged to be ineffective. As Goldberg and Bryant affirm, when efforts are mainly conducted by external organizations, it is hard to feed the sense of *local ownership*. The two authors continue by stressing the importance of country ownership approaches: this kind of assistance enables

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<sup>19</sup>Milèn Anneli, “What do we know about capacity building? An overview of existing knowledge and good practice”, WHO. Dept. Of Health Service Provision, Geneva, Switzerland, 2001, pg.5, <http://apps.who.int/iris/bitstream/10665/67394/1/a76996.pdf>.

<sup>20</sup> Peter Morgan, “Capacity and capacity development- some strategies”, Policy branch, CIDA, 1998.

<sup>21</sup> Khalid Malik “Capacity for Development: New Solutions to Old Problems”, Ch.1, “Capacity and development”, Earthscan Publications Ltd London and Sterling, Virginia, UNDP, 2002, <http://sakikofukudaparr.net/wpcontent/uploads/2013/01/CapacityForDevelopmentBook2002.pdf>.

<sup>22</sup> The United Nations Institute for Training and Research (UNITAR) was established in 1963 and it is an autonomous body within the UN with a mandate to enhance the effectiveness of the UN through training and research.

<sup>23</sup> “Zimbabwe’s Initial National Communication On Climate Change”, Prepared For The United Nations Framework Convention On Climate Change, Ministry Of Mines, Environment And Tourism Of Zimbabwe, May 1998.

countries to conduct their development actions autonomously. Previous paradigms were extremely ineffective because they smothered country-owned initiatives and relied solely on external competences and technologies.

This new approach can be found in principles like *self-determination* and it is reinforced by evidence, because deeply committed countries allocate all their resources in the implementation of a plan. Country-owned capacity building aims at strengthening local competences with the support of external experts to enable locals to play a key role in their own future.<sup>24</sup>

Another feature of the older approach was the rolling back of the government and minimization in the role of the public sector, but the undeniable failure of this model proved the necessity to rethink the function of institutions and reform them from the inside. In this respect, Irma Adelman, from Berkeley University (CA), talks about a *neoclassical counter-revolution*<sup>25</sup> started in 1979 and lasted until 1994. In Europe and in the US, Reagan and Thatcher were appointing neo-liberalism as the best economic theory, which means minimizing governments' role in the economy to promote development. What was happening in developed countries, unavoidably affected developing economies: but with different results. This approach did not only slow the world economy, but brought developing countries in a deep debt-crisis. Adelman remarks that countries do not possess the institutional bases to handle this type of approach. They needed, instead, institutional strengthening.<sup>26</sup>

Acemoglu and Robinson argue that institutions are vital for development. They have to represent collective choices; nevertheless, unbalanced power distributions express only the will of the minority. One of the most important barriers to

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<sup>24</sup> Jessica Goldberg and Malcolm Bryant, "Country ownership and capacity building: the next buzzwords in health systems strengthening or a truly new approach to development?", BMC Public Health, 2012, 1 <http://www.biomedcentral.com/1471-2458/12/531>.

<sup>25</sup> Irma Adelman, "The Role Of Government In Economic Development", Working Paper No. 890, Department Of Agricultural And Resource Economics And Policy Division Of Agricultural And Natural Resources University Of California At Berkeley, May 1999, pg.5. <http://are.berkeley.edu/~irmaadelman/Finn.pdf>.

<sup>26</sup> Ibid.

development is the bad quality of institutions, usually reflecting wrong political balances.<sup>27</sup>

In conformity with this assumption, Sachsida, Pereira and Nakabash, remark that institutional quality is one of the reasons why countries experience different growth rates. As the authors state “Institutions operate as the rules of the game in a society”.<sup>28</sup> They affect many aspects of a nation and they have to guarantee health services, social justice, the spreading of technology and many other services.<sup>29</sup>

As a matter of fact, Engermann and Sokoloff underline that in more equitable societies the investment in institutions related to education is higher and well-educated communities lead to a major economic development.<sup>30</sup>

To summarize, the approaches towards Capacity-building changed in three different phases. The first one started in the 1980s, when the priority was to intervene in emergency situation, such as in Uganda,<sup>31</sup> and UN agencies were pursuing short-term results by assisting central government to strengthen their institutions and services. The second term happened by the end of the 1980s and followed a path of decentralization: it implied new attention to non-state actors and local entities to promote a ‘bottom-up’ approach.<sup>32</sup> An example of delegation can be the ‘PRODERE programme’<sup>33</sup> of the UNDP to assist populations living

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<sup>27</sup>Daron Acemoglu, Massachusetts Institute of Technology and James Robinson Harvard University and Weatherhead Center for International Affairs, "The Role of Institutions in Growth and Development", *Review of Economics and Institutions*, 2010 1 (2), Article 1. doi:10.5202/rei.v1i2.1. Retrieved from <http://www.rei.unipg.it/rei/article/view/14>.

<sup>28</sup>Luciano Nakabashi, Department of Economics, Federal University of Paraná, Paraná, Brazil, Adolfo Sachsida, Institute for Applied Economic Research, Catholic University of Brasília, Brasília, Brazil, Ana Elisa Gonçalves Pereira, Department of Economics, Federal University of Paraná, Paraná, Brazil, "Institutions and growth: a developing country case study", *Journal of Economic Studies*, Vol. 40 Iss: 5, pp.614 – 634, pg.3, [http://www.economiaetecnologia.ufpr.br/textos\\_discussao/texto\\_para\\_discussao\\_ano\\_2011\\_texto\\_06.pdf](http://www.economiaetecnologia.ufpr.br/textos_discussao/texto_para_discussao_ano_2011_texto_06.pdf).

<sup>29</sup> Ibid.

<sup>30</sup> Stanley L. Engerman and Kenneth L. Sokoloff, “Factor Endowments, Inequality, And Paths Of Development Among New World Economies”, Nber Working Paper Series, Working Paper 9259, National Bureau Of Economic Research, Massachusetts Avenue Cambridge, MA, October 2002, <http://www.nber.org/papers/w9259>.

<sup>31</sup> In those years Uganda was subject of military dictatorships.

<sup>32</sup> Peter Morgan, “Some observations and lessons on Capacity Building.” *Capacity-Building Supported by the United Nations Some Evaluations and Some Lessons*, 1999, pg. 27. [http://www.un.org/esa/coordination/Capacity\\_Building\\_supported\\_by\\_the\\_UN.pdf](http://www.un.org/esa/coordination/Capacity_Building_supported_by_the_UN.pdf)

<sup>33</sup> Implemented between 1990 and 1995 in Central America (Guatemala, Belize, Costa Rica, Nicaragua, El-Salvador, Honduras) and funded by the Italian Government in collaboration with UNDP, UNHCR, PAHO/WHO, ILO.

under armed conflicts. The approach was innovative because it was based on the mobilization of local groups intervening on field activities.

Thirdly, in the mid 1990s, became clear that the strong interlink between all the ingredients that compose Capacity-building required a new kind of attention towards institutions and central governments, in order to obtain a good level of trusteeship and functionality.

On the basis of what evidence showed, it can be assumed that developing countries always had to undergo what others decided for them. Experience proved that giving direct solutions does not lead to the expected outcomes and environments make specific results hardly predictable. Providing instruments, instead, allows the identification of case-by-case strategies.

Developed countries and international organizations critically analyzed the methods previously used and recognized their failures. They embraced a new optimistic approach and elaborated new procedures of self-assessment as well.<sup>34</sup>

In the case of the United Nations, in 1995 the General Assembly (Res. 50/120)<sup>35</sup> requested the Secretariat to adopt a system to evaluate results in Capacity-building. As a response, the Secretariat evaluated six countries: Pakistan, Mali and Uganda for health and education, while Zimbabwe, Brazil and El Salvador to analyse environment, technology and peace building.

The intent was to investigate what follows:<sup>36</sup>

- 1) The impact of the United Nations system support on Capacity-Building<sup>37</sup> of national processes and organizations between 1980 and 1995.
- 2) The evolving ability of the United Nations system to develop common approaches to priority issues such as Capacity-Building.

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<sup>34</sup> Milèn Anneli, "What do we know about capacity building? An overview of existing knowledge and good practice ", WHO. Dept. Of Health Service Provision, Geneva, Switzerland, 2001.

<sup>35</sup> United Nations, General Assembly, " Triennial policy review of operational activities for development of the United Nations system", Fiftieth session, Agenda item No. 97, 16 February 1996.

<sup>36</sup> Peter Morgan, "Some observations and lessons on Capacity Building", Capacity-Building Supported by the United Nations Some Evaluations and Some Lessons, 1999, [http://www.un.org/esa/coordination/Capacity\\_Building\\_supported\\_by\\_the\\_UN.pdf](http://www.un.org/esa/coordination/Capacity_Building_supported_by_the_UN.pdf).

<sup>37</sup> When referring to documents of the United Nations the term will be addressed as 'Capacity-Building'.

- 3) The learning of lessons on how issues of Capacity-Building for development could be addressed.
- 4) The continuing need to refine evaluations and, where necessary, monitoring to serve the ever widening scope of operational activities.

Despite the short amount of time for the analysis (1980-1995), this process of evaluation provided very useful results. Generally speaking, political barriers happened to be one of the main problems encountered. Evidence showed that, given the colonial heritage of many countries, public structures are usually unstable and not fully recognized. Additionally, situations of civil wars are often present and worsen the already precarious circumstances. It was noted that where levels of corruption are high and political actors only pursue their own interests, accountability and transparency are absent. As a consequence, communities do not respond positively and a traditional approach of Capacity-building based on training and organizational resettlement is inefficient. Additionally, it was shown that each country is influenced by different variables that are here reported.

First of all, Uganda, El Salvador and Zimbabwe experienced civil wars that ended in different moments: in Uganda the guerrilla between the National Resistance Army and the government of Milton Obote ended in 1986, in El Salvador there was a conflict between the military guided by the government and the Farabndo Martì National Liberation Front that ended in 1992, while in Zimbabwe the war finished in 1980 when the two fighting factions merged their parties to form the Zanu-PF party. For some of these countries, political corruption and instability were triggers towards institutional reforms; while for others it was an obstacle. Nevertheless, the process of democratization is very fragile in these situations and it begins and ends in different moments. During the years of observation, Uganda, Zimbabwe, Brazil and Pakistan registered negative growth rates, while El Salvador and Mali were economically flourishing.

Given this broad scenario, ad-hoc strategies were drawn for each country, including aspects of budgetary revision, monitoring techniques and policy reforms. The division between individual, organizational and systemic levels

became more flexible and interchangeable: ministries and representatives of various agencies were pushed to work in an interdependent system to improve their performances.

Capacity-building was rapidly perceived as complex concept made of human resources, public and private sphere dealing with poverty, climate change, maternal conditions, children care, health etc. It is important to stress the new role given to the mobilization of the social capital: feelings of inclusion and ownership became key factors for the success of Capacity-building.<sup>38</sup>

This case study confirmed the multidimensionality of Capacity-building and the need of an extensive amount of time to see results: Capacity-building activities need long-term planning. The author Eric Leviten-Reid explains that one of the reasons is the creation of a good relationship of trust with residents. People need time to become confident and to apply lessons, so the investment of time is always consistent. Giving locals a chance to take the lead in programmes has to be done gradually and with transparency.<sup>39</sup>

In the same way, Lopes highlights that once donors establish expectations and measurement targets, they set very short-time frames. Immediate results should not be a priority issue, but developed countries sometimes fall in the mistake of their culture. Western imperatives teach that buying is quicker than creating, but in capacity development, time is necessary to gather deep changes.<sup>40</sup>

The shift to a cooperation model was highly welcomed by developing countries. By the end of the 1990s various national strategies were on their way to be

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<sup>38</sup> Maconick, Roger and Morgan, Peter, "Capacity-Building Supported by the United Nations Some Evaluations and Some Lessons", 1999, New York : United Nations,

<sup>39</sup> Eric Leviten-Reid, "Investing in Community Capacity Building", Caledon Institute of Social Policy, October 2007, <http://www.caledoninst.org/publications/pdf/657eng.pdf>.

<sup>40</sup> Carlos Lopes, Capacity for development new solutions to old problems, Ch.2, "Ownership: should we mind the gap?", Earthscan Publications Ltd London and Sterling, Virginia, 2002, <http://sakikofukudaparr.net/wp-content/uploads/2013/01/CapacityForDevelopmentBook2002.pdf>.

delivered.<sup>41</sup> The most active continent in terms of Capacity-building was Africa, where 14 governments established the ‘African Capacity Building Foundation (ACBF)’.<sup>42</sup>

Furthermore, in 2000, the ‘Regional conference on brain drain and capacity building in Africa’ was held. Since in Africa it was not easy yet to agree upon necessary elements to strengthen capacities and there was the attempt to fight the continuing leave of human capital towards developed countries, the issue of *brain drain* together with Capacity-building were main themes of this regional forum of discussion. It was held in Addis Ababa, Ethiopia, (22- 24 February 2000) and organized by the International Organisation for Migration (IOM) and the International Development Research Centre (IDRC).

The Conference specifically attempted to give a deep review of the approaches and experiences to encourage the design of a common approach to allocate human resources. In the context of the Conference, relevant stakeholders proposed training activities to improve competences and gave some instructions to African policy-makers on how create incentives to stop the leave of African qualified personnel.<sup>43</sup>

To obtain good results, there are some necessary internal features, such as the level of commitment and good will of the developing country, the availability to learn and to provide quick feedbacks of the impulses received, stable conditions that give participants a sense of security during the process of dialogue with the donor/organization, ability to internalize and adapt the lessons, etc.

We have just mentioned some of the conditions and capacities that can enhance Capacity-building strategies and it should be kept in mind that in order to design a good programme it must be carefully analysed what exists and what is missing in

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<sup>41</sup> Antoine Simonpietri and Tony Williams, “Relevance of the National Strategy for the Development of Statistics (NSDS) Approach to Statistical Development in Africa”, African Development Bank, 2005, [http://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/African.Statistical.Journal\\_Vol1\\_3.Articles\\_1.Relevance.pdf](http://www.afdb.org/fileadmin/uploads/afdb/Documents/Publications/African.Statistical.Journal_Vol1_3.Articles_1.Relevance.pdf).

<sup>42</sup> Established in 1991 to build human and institutional capacity for good governance and sustainable economic development in Africa.

<sup>43</sup> Economic Commission for Africa, “Report Of The Regional Conference On Brain Drain And Capacity Building In Africa”, Addis Ababa, Ethiopia, February 2000, <http://unpan1.un.org/intradoc/groups/public/documents/IDEP/UNPAN005199.pdf>.

terms of capacities. This process is made of phases: identification of capacity gaps, designing strategies, implementing actions, and monitoring and evaluation.<sup>44</sup> But still, nothing more than general steps can be identified because developing a unique model is impossible: some approaches may fit in a situation and not in another. For instance, once a gap is identified in the public-sector, strengthening local capacity can be aimed at, but how to do it in practice varies from a situation to another one (e.g. political corruption, lack of trust in the external agency, lack of knowledge require different solutions).

To conclude, there is a wide international consensus about what methods have not worked and what components are crucial to achieve good results.

A government actually committed in Capacity-building activities sets its priorities and investments on the basis of it. Donor agencies funding only have to complement the work of local activities, not replace them. Already existing knowledge and skills of locals must always be utilized in order to obtain a comprehensive partnership. Programmes have to be clear in terms of objectives that should not be changed in the meanwhile and before the beginning of the activities. The core of the problem/gap has to be clearly understood. Furthermore, it is important that before working to build new capacities, the existence of basic skills is verified.<sup>45</sup>

Before engaging in programmes of Capacity-building, it is important to carry out the organizational assessment. Goldberg and Bryant define the organizational assessment as the process of identification of strengths and weaknesses in relation to the goal the organization wants to achieve. Then, by systematically monitoring their performance, organizations are able to identify further gaps and weaknesses

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<sup>44</sup> Milèn, Anneli. "What do we know about capacity building? An overview of existing knowledge and good practice." Geneva, WHO. Dept. of Health Service Provision, 2001, pg.12.

<sup>45</sup> D. Horton, A. Alexaki, S. Bennett-Lartey, K.N. Brice, D. Campilan, F. Garden, J. de Souza Silva, L.T. Duong, I. Khadar, A. Maestrey Boza, I. Kayes Muniruzzaman, J. Perez, M. Somarriba Chang, R. Vernooy, and J. Watts. 2003. "Evaluating capacity development: experiences from research and development organizations around the world", The Netherlands: International Service for National Agricultural Research (ISNAR); Canada: International Development Research Centre (IDRC), the Netherlands: ACP-EU Technical Centre for Agricultural and Rural Cooperation (CTA).



and meliorate the strategy. In order to obtain reliable feedbacks on its activity, an organization must set some indicators.<sup>46</sup>

“Indicators provide clear metrics by which the capacity building project can be monitored and evaluated throughout its life”.<sup>47</sup>

Indicators are essential to monitor progresses and evaluate final results. Nevertheless, methodology is very debatable because there is no theory providing a unique system to carry out a process of Monitoring and Evaluation (M&E).<sup>48</sup>

Görgens and Kusek see in a good M&E process the answer to the growing demand of accountability and transparency related to programmes implementation. Governments and organizations have to be able to guarantee good performances to all the stakeholders and a supporting system is essential to do so. M&E is a powerful tool that could generate a great spillover effect, because satisfied stakeholders will increase their support to the entity.<sup>49</sup>

This stage is one of the core aspects of Capacity-building and the central subject of this work. It will be exhaustively deepened in the next chapter, together with the related limits and challenges.

### **2.3 Role of the NGOs**

Non-governmental organizations (NGOs) have a crucial role in Capacity-building activities and their history is considerably long. In the XVIII century the establishment of the anti-slavery movement marked the begging of citizen mobilization in the international arena and, after that moment, important entities were founded, such as the World Alliance of YMCAs (1855) and the International

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<sup>46</sup> Jessica Goldberg and Malcolm Bryant, “Country ownership and capacity building: the next buzzwords in health systems strengthening or a truly new approach to development? ”, BMC Public Health, Boston, USA, 2012, <http://www.biomedcentral.com/1471-2458/12/531>.

<sup>47</sup>Ibid, pg.5.

<sup>48</sup> Daniel A. Wagner, “Adult Literacy: Monitoring And Evaluation For Practice And Policy”, Springer, 2008, [http://www.literacy.org/sites/literacy.org/files/publications/wagner\\_litassess\\_ire\\_08.pdf](http://www.literacy.org/sites/literacy.org/files/publications/wagner_litassess_ire_08.pdf)

<sup>49</sup> Marelize Görgens and Jody Zall Kusek, “Making Monitoring and Evaluation Systems Work A Capacity Development Toolkit”, the World Bank, Washington, USA, 2009

Committee for the Red Cross (1863). Soon in the XIX century, new associations emerged and they dealt with many problems like childcare, human rights, health and climate change.

“A non-governmental organization (NGO) is a non-profit, citizen-based group that functions independently of government. NGOs, sometimes called civil societies, are organized on community, national and international levels to serve specific social or political purposes, and are cooperative, rather than commercial, in nature”.<sup>50</sup>

Anyhow, the term ‘non-governmental organization’ was firstly coined by the UN Charter (art.71, chapter 10), which stated that the Economic and Social Council (ECOSOC) could inquire NGOs for issues belonging to their competence area. Many resolutions of the ECOSOC affirmed the consultative position of NGOs and delineated the rules managing the relation with the UN. NGOs started acquiring international relevance after World War II when they played the role of pressure groups at the UN during wars negotiations.<sup>51</sup> In 1992 NGOs’ involvement and active commitment during the Earth Summit in Rio, marked their rising importance in the world (2,400 representatives of non-governmental organizations; 17,000 people attended the parallel NGO Forum).<sup>52</sup>

NGOs did not only facilitate the process but created important institutions to implement post-conference decisions, for instance the Commission on Sustainable Development.<sup>53</sup> As the Former Secretary General Kofi Annan said, NGOs are ‘the conscience of humanity’.<sup>54</sup> Many times the UN ask governments to control every aspect of these organizations, such as their accounting: only after this process

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<sup>50</sup>Jean Folger, “What is an NGO (non-governmental organization)? ”, Investopedia, <http://www.investopedia.com/ask/answers/13/what-is-non-government-organization.asp>.

<sup>51</sup> Mariah Kraner and David Kinsella, Hatfield School of Government Portland State University, “NGOs in the Transnational Development Network: Exploring Relational Resources in the Promotion of Food Security”, presented at the annual meeting of the International Studies Association, 31 March – 4 April 2012, San Diego, <http://web.pdx.edu/~kinsella/papers.html>.

<sup>52</sup> UN conference on Environment and Development, Department of Public Information, 23 May 1997, <http://www.un.org/geninfo/bp/enviro.html>.

<sup>53</sup> The United Nations Commission on Sustainable Development (CSD) was established by the UN General Assembly in December 1992 to ensure effective follow-up of United Nations Conference on Environment and Development (UNCED).

<sup>54</sup> International NGO conference on corporate accountability, Hosted by GPF, WEED and the Heinrich Bi Foundation, New York, November 2000, <https://www.globalpolicy.org/component/content/article/159/47558.html>.

NGOs can be legitimately accredited as partners. Thanks to control procedures, NGOs are rarely charged with corruption. As Allan Kaplan<sup>55</sup> stated, NGOs must, first of all, own certain specific qualities in order to deliver an efficient service. His vision is the following one:<sup>56</sup>

*Conceptual framework:* it means the way the organization perceives external environment and how it locates itself in it. The type of approach towards the context will lead to coherent decisions that have the appropriate impact in those circumstances.

*Vision:* Once the organization acquires a good perception of itself in the world, it is able to delineate a focused approach, a vision, aiming to appropriately cope with external impulses. In order to give a very unique support and to better focus, the organization has to be aware of its responsibilities, qualities and weaknesses.

*Strategy:* When strengths have been identified, it is necessary to draw a strategy to translate the vision into objectives. Designing the organizational strategy means planning and verifying if the work of coordination is being effective. Given this tricky interplay, after the evaluation stage, it might be necessary to re-think and re-adapt what is not working well.

*Culture:* What people believe in is a great asset for an organization. This dimension is embodied in the way they think and behave day-by-day, norms and habits are slowly strengthened and then translated in practical actions: usually it happens almost unconsciously because principles become so deeply rooted in the minds of member that they barely notice it. Nevertheless, a good organization has to promote these values in order to make them collective and enhance a sense of belonging and ownership.

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<sup>55</sup> Founder member and former Director of Community Development Resource Association (CDRA).

<sup>56</sup> View on capacity that Allan Kaplan of CDRA set out in a United Nations publication, 'Organisational Capacity: a different perspective', 1999.

*Structure:* After identifying the previous elements, the organization can be finally structured so that functions and responsibilities are established. The efficiency of this process depends on the clear differentiation in duties, the establishment of clear channels of communication and the total transparency of the decision making process.

*Skills:* An organization that developed a clear vision and has a good perception of its role, is able to work for the improvement of the skills of its members. To extend competencies the traditional methods are courses.

*Material resources:* Last, but not least, an organization needs material resources such as offices where to work and finances. Whenever material resources are missing, the organization deals with very relevant obstacles in putting its vision into practice. Here lies the different approach of those organizations feeling harmed and blaming their failure to the lack of resources and the ones able accept their limits that try to overcome problems and compensate their lacks in other ways.

For Lewis and Kanji, NGOs widely act as ‘Implementer, Catalyst and Partner’.<sup>57</sup> They work in the mobilization of resources to provide goods and services of good quality. NGOs carry out activities and plans to benefit the society in terms of environment, childcare and many others. Their action as catalyst means working to improve efficiency of programmes by enhancing skills, life quality and social satisfaction. As a consequence, they shape a sustainable environment for everyone.<sup>58</sup>

Keck and Sikkink indicate that NGOs have a trans-national nature given by their position, which lies between societies, local governments and international organizations. NGOs intervene simultaneously as domestic and international

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<sup>57</sup> David Lewis and Nazneen Kanji, “NonGovernmental Organizations and Development”, Routledge (imprint of the Taylor & Francis Group), 2009, Abingdon, Oxon.

<sup>58</sup> Akshay Srivastava and Yashi Paliwal, “Role Of Ngos In Developing A Sustainable Environment For The Society: In The Indian Context”, Department of Management, Faculty of Social Sciences, Dayalbagh Educational Institute, Dayalbagh , Agra, India, Ontario International Development Agency, 2013, t <http://www.ssrn.com/link/OIDA-Intl-Journal-Sustainable-Dev.html>.

actors that put groups in contact in the name of common values.<sup>59</sup> Sometimes scholars refer to these organizations as the *Third Sector*<sup>60</sup> to make a distinction from governmental institutions and private entities. Salamon and Anheier define NGOs as it follows:<sup>61</sup>

“Firstly they are organized, i.e., they possess some institutional reality. They are private, i.e., institutionally separate from government. They are non-profit-distributing, i.e., not returning any profits generated to their owners or directors. They are self-governing, i.e., equipped to control their own activities. They are voluntary, at least in part, i.e., they involve some meaningful degree of voluntary participation, either in the actual conduct of the agency’s activities or in the management of its affairs”.

Large international NGOs may have considerable budgets, but most of them have limited financial resources. Financial means usually come from a combination of grants from governments (like Oxfam)<sup>62</sup> and other institutions, fundraising activities and donations from private foundations and individuals. Unfortunately, taking money from wealthy people or big private entities can lead to a condition of dependence and influence that can potentially jeopardize the mandate of the organization.

A good example is the Africa Climate Change Resilience Alliance (ACCRA), established in 2009 by Oxfam, Care International, Save the Children, World Vision International and the Overseas Development Institute (ODI). It has been working for 4 years on adaptive capacity of people in Ethiopia, Uganda and Mozambique. It aims to support national decision-making process with the scope of reducing vulnerability of communities. This alliance supports national

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<sup>59</sup> Margaret E. Keck and Kathryn Sikkink, “Activists beyond Borders”, *Advocacy Networks in International Politics*, Cornell University Press, USA, 1998.

<sup>60</sup> Olaf Corry, *Defining and Theorizing the Third Sector*, Ch.2, *Third Sector Research*, Taylor, 2010.

<sup>61</sup> Lester M. Salamon and Helmut K. Anheier, *Defining the nonprofit sector. A cross-national analysis*, Manchester University Press, UK, 1997, pg.9.

<sup>62</sup> Oxfam is an international confederation of 17 organizations working together with partners and local communities in more than 90 countries to find practical, innovative ways for people to lift themselves out of poverty and thrive. Oxfam receive large grants from governments' international assistance programs.

consortiums to lead, design, co-produce and deliver integrated and context-specific research, capacity building and advocacy.<sup>63</sup>

A useful definition, expressing the essence of Capacity-building activities, has been given by a coordinator of ACCRA, Saskia Dagget, stating that “Ours is more [a method] of empowering existing institutions with evidence and knowledge to create a demand-driven approach”.<sup>64</sup>

ACCRA developed a good strategy by understanding people and helping them to establish stable relationships of trust with governments. By doing so, ACCRA is facilitated in helping local communities to re-organize their institutions and enable them to adapt to natural disasters. ACCRA also tries to educate to a long-term vision in decision making for many problems e.g. temperatures increase and population growth.

Still traditions can impair CC adaptation: in some communities innovation has been limited by the dominant culture, which prevents from doing certain things. In this cases external actors can only rely on those individuals embracing innovation and then hope that they will transmit their experience to the others. ACCRA provides training courses for both members and locals to improve their competences.

ACCRA successfully operates in Uganda thanks to its special operational approach: it works on three dimensions (research, policy, capacity building) and cooperates with donors, locals, research groups and other NGOs. It is demand-driven approach that starts with the necessities and the gaps to fill to find collaborative solutions: this bottom-up strategy is therefore based on vulnerabilities and capabilities of locals in first place, their worries and their difficulties are the starting point for the establishment of a plan. One of the strengths of a good organization is to put communities needs in first place,

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<sup>63</sup>“Africa Climate Resilience Alliance”, accessed 22 August 2015, <http://community.eldis.org/accra/>.

<sup>64</sup>Jaspreet Kindra, “Giving communities a voice in resilience”, Irin, Johannesburg, 5 March 2013, <http://www.irinnews.org/report/97595/giving-communities-a-voice-in-resilience>.

sometimes, donors can influence the approach toward their preferred outcomes, jeopardizing the Capacity-building work operated on the field, while, in the ACCRA case, rural communities are the starting point of every action.

This organization develops plans together with the government to spread information, for example, thanks to ACCRA support, the forecast of the Uganda National Meteorological Authority (UNMA), which contains specific messages per each sector and each community, was firstly translated in 4 different local languages in 2012 and now 12 and contained sector-specific advisory messages for rural communities. Local-level responses showed how useful these indications have been to help communities in adapting to climate change.

Anyway, as the Second National Communication of Uganda highlights, there are still considerable and undeniable barriers to Ugandan adaptation due to financial, technological and capacity gaps. For instance, the high cost of electricity is a financial limit that turns into a technology barrier as well. Unfortunately this is only one of the obstacles that the country encounters every day: the increasing population, its resistance to abandon traditions, the condition of women (that could play a key role in climate adaptation), are some of the other challenges that ACCRA, like other organizations, has to deal with. Another considerable gap concerns the absence of local databases and of expertise in CC investigation and research.<sup>65</sup>

Despite difficulties encountered by countries, it can be concluded that the intervention of NGOs in building capacities is essential. Ulleberg asserts that NGOs do not only intervene in Capacity-building, but can also shape its meaning. They both influence and become influenced, because they internalize external needs and produce their answer to the problem. The way NGOs model the meaning of capacity development is by setting parameters of community action, cooperating with societies and feeding the sense of local ownership.<sup>66</sup>

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<sup>65</sup> “Uganda second national communication to the United Nations Framework Convention on Climate Change”, 2 December 2014, <http://unfccc.int/resource/docs/natc/uganc2.pdf>.

<sup>66</sup> Inger Ulleberg, “The role and impact of NGOs in capacity development From replacing the state to reinvigorating education”, International Institute for Educational Planning, Paris, France, 2009, <http://unesdoc.unesco.org/images/0018/001869/186980e.pdf>.

Anyway, sometimes participation can be critical. Banerjee points a finger at the UNFCCC when dealing with equal inclusion and claims that restrictions to participation are many times orchestrated. As the last chapter will prove, this opinion is a quite widespread one and it mainly concerns the North-South division. The author highlights that the majority of NGOs are from developed countries while the ones from developing country Parties are hardly financed to join sessions. Apart from this disparity, there are also very restricted informal meetings taking place. Access to these sessions is strictly monitored and denying NGOs' participation could surely jeopardize transparency and accountability.<sup>67</sup> Observations of the author date back to the Durban Conference of 2012 and we can assume that the scenario has modestly varied in the last three years. It would be wrong to talk about a whole change of attitude, but some presentations of the Durban Forum reported progresses in enhancing inclusive participation. The topic will be better discussed in chapter 4.

## **2.4 The Durban Forum**

As it is shown, CB has a wide range of implications and no common rules. For this reason, the UNFCCC identified the need to create a forum of discussion where countries can make comparisons and share the lessons they have learnt. Within the Durban Forum Parties discuss methodologies of adaptation and mitigation to CC, but no binding decisions can be taken.

This annual event is organized, since 2012, under the auspices of the SBI, to monitor and review the effectiveness of Capacity-building through the involvement of all the parties committed in building the capacity of developing countries to both mitigate and adapt to climate change.

The creation of the Durban Forum reflects the need for dialogue among all the stakeholders involved in Capacity-building. Beyond filling in the information gaps, this dialogue provides an overview of the type of Capacity-building support

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<sup>67</sup> Subhabrata Bobby Banerjee, "A climate for change? Critical reflections on the Durban United Nations Climate Change Conference", SAGE, University of Western Sydney, Australia, 2012.



provided and the corresponding implementation efforts by Parties. Dialogue is a tool to improve the monitoring and review of the effectiveness of Capacity-building within the international climate change regime.<sup>68</sup>

Every year the Secretariat of the UNFCCC prepares a report on the work undertaken by bodies established under the Convention, a synthesis on Capacity-building framework implementation and a report on the activities of the UN agencies. On the countries behalf, it is provided an additional document on the suggested topics to be considered in each Forum and additional considerations on the work undertaken insofar to implement Capacity-building frameworks. At the end of the Forum, a Summary report is handed in by the Secretariat.

## **2.5 Capacity-building for climate action in the UNFCCC process**

The United Nations Framework Convention on Climate Change (UNFCCC) was established in 1994 as one of the three sisters conventions<sup>69</sup> resulted from the Rio Conventions<sup>70</sup> of 1992. One of the major achievements of the Convention concerns developing countries: it was stated that developed countries would support developing country Parties in their climate change activities through the share of technology and the establishment of funds, managed by the Global Environment Facility (GEF). This entity plays a great role in Capacity-building: together with UNDP, UNEP and the World Bank, it provides financing for environmental activities across the globe.

The supreme decision-making body of the Convention,<sup>71</sup> namely the Conference of the Parties (COP), during its 2<sup>nd</sup> session adopted the Kyoto Protocol:<sup>72</sup> in the

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<sup>68</sup> UNFCCC, Capacity-building: Durban Forum, [http://unfccc.int/cooperation\\_and\\_support/capacity\\_building/items/6802.php](http://unfccc.int/cooperation_and_support/capacity_building/items/6802.php).

<sup>69</sup> The sister Rio Conventions are the UN Convention on Biological Diversity, the Convention on Climate Change and the Convention to Combat Desertification.

<sup>70</sup> The three Rio Conventions derive directly from the 1992 Earth Summit

<sup>71</sup> The United Nations Framework Convention on Climate Change is a Rio Convention, one of three adopted at the “Rio Earth Summit” in 1992. Its sister Rio Conventions are the UN Convention on Biological Diversity and the Convention to Combat Desertification. The UNFCCC entered into force on 21 March 1994 and 195 countries have ratified it: the so-called Parties to the Convention.

first period, 37 industrialized countries and the European Community were committed in the reduction of Green House Gas (GHG) emissions to an overall average of 5%. The detailed rules to implement the KP were then adopted at the COP 7 in Marrakesh, Morocco, in 2001: namely the ‘Marrakesh Accords’. The first commitment period was of 4 years (from 2008 to 2012). In Marrakesh it was decided that the Subsidiary Body of Implementation (SBI)<sup>73</sup> would have regularly monitored and then reported to the COP the progresses made by country Parties in their commitments. Additionally, the number of areas eligible for funding was broadened and the new Special Climate Change Fund would have financed specific Capacity-building activities. The Marrakesh accords provided the GEF with special guidelines to handle the fund for the LDCs to support the preparation of National Adaptation Programmes of Action (NAPAs). Apart from specific decisions related to funding, it can be noted how most of the focus was on LDCs to build capacities, especially in adaptation. Thanks to what has been stated in previous paragraphs, it can be concluded that adaptation in developing countries depends on many factors and some of them are not so easy to predict. That is to say that international negotiations can adjust strategies, but cannot handle all the challenges related to CC. The specific case of adaptation shows, once again, how the magnitude of CC is not so easy to be identified.

Despite limits and risks, negotiations and discussions on CC and Capacity-building proceeded. Seven years after Marrakesh, the KP was amended in Doha, Qatar, and it was adopted the ‘Doha Amendment to the Kyoto Protocol’<sup>74</sup> which established new commitments for Annex I Parties<sup>75</sup> from 1 January 2013 to 31 December 2020, a revised list of greenhouse gases (GHG) and some amendments of the Kyoto Protocol articles. During the second commitment period (from 2013

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<sup>72</sup> The Kyoto Protocol was adopted in Kyoto, Japan, on 11 December 1997 and entered into force on 16 February 2005. There are currently 192 Parties (Canada withdrew effective December 2012) to the Protocol.

<sup>73</sup> The SBI is one of two permanent subsidiary bodies to the Convention established by the COP/CMP. It supports the work of the COP and the CMP through the assessment and review of the effective implementation of the Convention and its Kyoto Protocol.

<sup>74</sup> Parties to the Kyoto Protocol adopted an amendment to the Kyoto Protocol by decision 1/CMP.8

<sup>75</sup> Annex I Parties include the industrialized countries that were members of the OECD (Organisation for Economic Co-operation and Development) in 1992, plus countries with economies in transition (the EIT Parties), including the Russian Federation, the Baltic States, and several Central and Eastern European States.

to 2020) Parties have to reduce GHG emissions by, at least, 18% below 1990 levels.

The Kyoto Protocol, like the Convention, is also committed to Capacity-building and aims to assist developing countries to better handle the impacts of climate change through various systems (like adapting, monitoring, and developing new technologies). Addressing climate change in a sustainable way requires capabilities, instruments, expertise and political support, but especially experience that not all the countries have. Capacity-building tries to enhance the way developing countries identify, plan and implement mitigation and adaptation. Interventions happen on three levels: individual, institutional and systemic. The first level concerns the development of activities with educational, training and awareness-raising purposes. The second one aims to promote the role of institutions and organizations and their cooperation with different national sectors. The third level refers to the economic and policy regulations to be enhanced for creating enabling environments.

Since 2001, in both developing countries and countries with economies in transition, the two frameworks described below have driven Capacity-building.

### *Capacity building frameworks*

The year 2001 was a turning point for capacity-building: at its 7<sup>th</sup> session<sup>76</sup>, the COP adopted two frameworks aiming to provide guidelines and recommendations, in terms of Capacity-building, to developing countries and countries with economies in transition. The frameworks can be found in decisions 2/CP.7<sup>77</sup> and 3/CP.7.<sup>78</sup>

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<sup>76</sup> The Conference of the Parties, on its seventh session, was held at Marrakesh from 29<sup>th</sup> October to 10<sup>th</sup> November 2001.

<sup>77</sup> “Capacity building in developing countries (non-Annex I Parties)”, The Marrakesh Accords, 2001, pg.5-7, FCCC/CP/2001/13/Add.1, <http://unfccc.int/resource/docs/cop7/13a01.pdf>.

<sup>78</sup> UNFCCC “Capacity building in countries with economies in transition”, Report Of The Conference Of The Parties On Its Seventh Session, Held At Marrakesh From 29 October To 10 November 2001, January 2002.

As Goldberg and Bryant (2012) convey, theoretical frameworks are meant to provide the path to delineate Capacity-building activities.

These structures generally include the identification of main areas of intervention, the assessment of existing competencies, the preparation of a plan of intervention. It usually follows a session of evaluation of the steps undertaken.<sup>79</sup>

Decision 2/CP.7 of the Marrakesh Accords reaffirms that Capacity-building for developing countries (non-Annex I Parties) is essential to enable them to participate and to implement effectively their commitments under, the Convention.<sup>80</sup>

It establishes the tasks of the secretariat in terms of Capacity-building and decides that the Subsidiary Body for Implementation (SBI) will regularly monitor the progresses made in particular through the information contained in National Communications (NCs) of developing country Parties and National communications of Annex II Parties.<sup>81</sup> Furthermore, the decision 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 the framework annexed to the present decision with additional reference to priority areas for Capacity-building relating to the implementation of the Kyoto Protocol.<sup>82</sup>

Within the document are enshrined the purposes, the guiding principles and the objectives of capacity development. It is underlined how Capacity-building is characterized by the differentiation among countries and their specific needs:

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<sup>79</sup>Jessica Goldberg and Malcolm Bryant, "Country ownership and capacity building: the next buzzwords in health systems strengthening or a truly new approach to development?", BMC Public Health, 2012, 1 <http://www.biomedcentral.com/1471-2458/12/531>

<sup>80</sup> Ibid, pg. 5.

<sup>81</sup> The Convention divides countries into Annex I, Annex II, Non-Annex I groups according to their differentiated duties. **Annex I:** industrialized countries members of the OECD (Organisation for Economic Co-operation and Development) in 1992 and countries with economies in transition (the EIT Parties), including the Russian Federation, the Baltic States, and several Central and Eastern European States. **Annex II:** members of Annex I, but not the EIT Parties. They are required to provide financial resources to developing countries and promote the development and transfer of environmentally friendly technologies to EIT Parties and developing countries. **Non-Annex I:** developing countries. Certain groups of developing countries are recognized by the Convention as being especially vulnerable to the adverse impacts of climate change

<sup>82</sup> "Capacity building in developing countries (non-Annex I Parties)", The Marrakesh Accords, 2001, pg. 7, paragraph 13, <http://unfccc.int/resource/docs/cop7/13a01.pdf>.

Capacity-building should take these differences into consideration while promoting sustainable development and the effective participation of each country in the Kyoto Protocol process.

The decision contains a list of priority areas for action on Capacity-building.<sup>83</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) Capacity building for implementation of adaptation measures;
- (h) Assessment for 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, paragraphs 8 and 9, of the Convention;
- (n) Education, training and public awareness;
- (o) Information and networking, including the establishment of databases”.

The provided framework distinguishes the conditions of least developed countries and small developing States: for this reason a set of circumstances have been listed in the document.<sup>84</sup>

The addressed Capacity-building activities include, for example, the strengthening of the skills of the country Parties and their national experts, the use of

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<sup>83</sup> Ibid, pg.10, paragraph 15.

<sup>84</sup> Ibid, pg.9, paragraph 9.

demonstration projects to identify further needs and the creation of frequent occasions for stakeholders to share the lessons learned and their experiences.

Additionally, the frameworks provide guidance on the support of financial and technical resources to be addressed by the Global Environment Facility, bilateral and multilateral agencies and other intergovernmental organizations and institutions.<sup>85</sup> They invite both the categories of country Parties to submit national communications and reports to inform on their needs and priorities.

After the adoption of the decisions, the frameworks are periodically updated and countries efforts to implement (or enhance) Capacity-building activities are annually monitored.

## **2.6 Further steps towards the Forum until its creation**

In Montreal, from 28 November to 10 December 2005, the COP served for the first time as the meeting of the Parties to the Kyoto Protocol (CMP)<sup>86</sup>, and it was established that Capacity-building frameworks could have been endorsed for activities under the Kyoto Protocol in developing countries and countries with economies in transition.

In 2009, it was definitely marked the future establishment of the Durban Forum on Capacity-building. During the Ad Hoc Working Group on Long-term Cooperative Action (AWG-LCA)<sup>87</sup> negotiating process, held in Copenhagen from 7 to 15 December 2009, it was introduced a draft decision that called for enhanced action on Capacity-building.<sup>88</sup> The draft reaffirms several guiding principles and

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<sup>85</sup>UNFCCC, “Capacity building: frameworks”, Accessed 15 June 2015, [http://unfccc.int/cooperation\\_and\\_support/capacity\\_building/items/7203txt.php](http://unfccc.int/cooperation_and_support/capacity_building/items/7203txt.php)

<sup>86</sup> The Conference of the Parties shall serve as the meeting of the Parties to the Kyoto Protocol. All States that are Parties to the Kyoto Protocol are represented at the Conference of the Parties the Kyoto Protocol (CMP) that reviews the implementation of the Kyoto Protocol and takes decisions to promote its effective implementation.

<sup>87</sup> The AWG-LCA was established in 2008, by decision 1/CP.13, as a subsidiary body under the Convention which conducts a comprehensive process to enable the full, effective and sustained implementation of the Convention through long-term cooperative action, now, up to and beyond 2012, in order to reach an agreed outcome to be presented to the COP for adoption.

<sup>88</sup> FCCC/AWGLCA/2009/17, Draft decision -/CP.15, page 29.

recognizes how Capacity-building activities are linked to every feature of the Convention, such as education and training.

Generally speaking, it is not easy to see the benefits of Copenhagen. Here, countries tried to find answers to the post-2012 mandate of the KP. Topics included global warming limits, new funds and mitigation actions from both Annex and Non-Annex I country Parties. The opposition of Bolivia, Sudan and Venezuela prevented the Accord to be legally adopted and it simply resulted in a political discussion with contrasting points of view.

The focus on developing countries' emissions was surely something new, but it raised several problems. While developed countries were trying to merge the KP and the Framework Convention into a unique binding document, developing countries claimed to keep the two tracks separate. Nevertheless, divisions within this last group became unavoidable because some countries rejected the hypothesis to deal with binding commitments in GHG reductions, since they felt it was not their fault and responsibility. Some others, instead, supported a post-2012 legal agreement as a complement to the Protocol. The agreement would be more comprehensive in coverage including the US and big developing countries such as Brazil and India. It is worth nothing that active intervention of non-Annex I countries brought other considerable changes, as the creation of the axis China-USA, a still ongoing confrontation and double commitment in emissions reduction.

Some saw the Accord as a failure because it was unable to overcome differences. For instance, Lavanya Rajamani recognized the major weaknesses in the legal and procedural barriers to the implementation of a binding accord.<sup>89</sup>

Anyway, we can see the potential of the Copenhagen Accord, which continues to recognize not only the differentiated responsibilities highlighted by the KP, but also commonalities among countries. The Accord continued to work on differentiated appendices for developed and developing. The formers are subject

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<sup>89</sup>Copenhagen Accord: "Neither Fish nor Fowl", Centre for Policy Research Seminar 606,26 Feb. 2010, <http://www.cprindia.org/>.

to international monitoring, reporting and verification (MRV) of results, while the latter can be subject to international MRV only if a mitigation action receives international support. The Copenhagen Accord reflected the entering of new players in the negotiating sessions: the major developing countries proactively intervened for the first time and agreed to report their efforts through GHG inventories and mitigation actions enshrined in biennial national communications. Developing countries accepted a new openness in the international CC discussion. Changes in negotiation dynamics left the EU apart and gave new space to China which was extremely proactive and started negotiating with the United States. Finally, the ability of a small group of countries to prevent the adoption of the Copenhagen Accord reflected the deep need for a change in decision-making processes. Surely all these things revealed how frustrating the situation was, but it was a good momentum for further negotiations in the following years.

The Copenhagen Agreement was only ratified one year after, during the Cancun Climate Change Conference.<sup>90</sup> For this reason “the Copenhagen agreement was derided as a failure by green groups.”<sup>91</sup>

Cancun concentrated its efforts to promote long-term cooperation under both the KP and the Convention. It formally inserted developed countries’ pledges in an official UN documentation and, finally, developing countries agreed to discuss the reduction of their future GHG emissions. Nevertheless, the cuts are not legally binding. For what concerns decisions about the new mandate of the KP, everything was postponed until 2012 in South Africa.

Concerning Capacity-building, Parties took the decision 1/CP.16 that contains several actions. It was decided that CB should support developing country Parties in the enhancement of endogenous skills (in national, regional and subnational levels) in order to achieve the full implementation of the Convention.

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<sup>90</sup> The sixteenth session of the COP was held in Cancun from 29 November to 10 December 2010.

<sup>91</sup> Fiona Harvey, “Everything you need to know about the Paris climate summit and UN talks”, The Guardian, June 2015, <http://www.theguardian.com/environment/2015/jun/02/everything-you-need-to-know-about-the-paris-climate-summit-and-un-talks>.



This would have been feasible by means of strengthening of institutions, including focal points, of networks and of climate change communication, education, training and public awareness. It was additionally established that financial resources for enhanced action on Capacity-building should be provided by Parties included in Annex II to the Convention and other Parties in a position to do so through operating entities of the financial mechanism and through various bilateral, regional and other multilateral channels.<sup>92</sup> The decision encourages developed country Parties to submit national communications, according to the support they provided. Developing country Parties are invited to provide information on the progress made in enhancing their capacity to address climate change and the support received.

It can finally be observed that some further steps had been undertaken, but in terms of binding decisions, results remained modest. Anyway, this did not impede the proceedings of new sessions.

During the Panama Climate Change Conference<sup>93</sup> in 2011, Parties expressed the need to have more specific information on how Capacity-building should be developed under the areas of competence of the AWG-LCA and under other bodies of the Convention. As a response, a representative of the secretariat prepared a background paper containing an inventory of references to Capacity-building in mandates, functions and activities of institutions and initiatives under the Convention and in documents of the AWG-LCA.

Additionally, since it was requested a more focused discussion, in the third part of the 14<sup>th</sup> session of the AWG-LCA, Parties engaged an in depth-discussion on Capacity-building. The meeting was moderated by the facilitator of the informal group on capacity-building (Mr. Jukka Uosukainen) and attended by the representatives of relevant bodies established under the Convention respectively

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<sup>92</sup> UNFCCC, “Report of the Conference of the Parties on its sixteenth session, held in Cancun from 29 November to 10 December 2010”, United Nations Office at Geneva | Geneva (Switzerland), 15 March, 2011, pg. 22-23, paragraph 131, <http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf>

<sup>93</sup> The third part of the sixteenth session of the Ad Hoc Working Group on Further Commitments for Annex I Parties under the Kyoto Protocol and the third part of the fourteenth session of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention took place from 1-7 October 2011 in Panama City, Panama.

involved in mitigation, adaptation, technology and finance and the Global Environment Facility (GEF). Several themes were discussed, such as the guidelines for the preparation of national communications on Capacity-building and how it can be efficiently delivered through national institutions.

The adaptation group mainly discussed the three areas contained in decision 1/CP.16:<sup>94</sup> implementation, support and institutions for adaptation. It was stressed that implementation requires the strengthening of institutional capacities, the access to technologies for adaptation and the continuous share of knowledge, awareness and education on adaptation measures. Support stands for actions from developed countries and it consists in adaptation programmes/plans, various activities under the Cancun Adaptation Framework<sup>95</sup> and the capacity to take into account the needs of particularly vulnerable countries.

For what concerns the institutional facet, the main step was the establishment of the Adaptation Committee: the promoter of enhanced actions on adaptation in line with the Convention. In Panama, Parties worked on its composition and action modalities aiming to have a fully operative body in Durban.

On technology, it was presented the new Technology Mechanism<sup>96</sup> and it was explained the role of both the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN). The CTCN promotes technology cooperation and facilitates implementation of enhanced action on technology development and transfer. The function of the TEC is to make recommendations, and to develop and transfer technology that should favor mitigation and adaptation actions.

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<sup>94</sup> UNFCCC, “The Cancun Agreements: Outcome of the work of the Ad Hoc Working Group on Long-term Cooperative Action under the Convention”, 16<sup>th</sup> Conference of the parties, Cancun, Mexico, 29 November – 10 December 2010, <http://unfccc.int/resource/docs/2010/cop16/eng/07a01.pdf>

<sup>95</sup> Parties adopted the Cancun Adaptation Framework (CAF) as part of the Cancun Agreements at the 2010 Climate Change Conference in Cancun, Mexico (COP 16/ CMP 6). The objective of the Framework (paras 11-35) is to enhance action on adaptation, including through international cooperation and coherent consideration of matters relating to adaptation under the Convention.

<sup>96</sup> The Technology Mechanism was established in 2010 to support country efforts to accelerate and enhance action on climate change. It helps countries to develop and transfer climate technologies so that they can effectively reduce greenhouse gas emissions and adapt to the adverse effects of climate change.

During the meeting it was introduced the role of the LDC Expert Group (LEG)<sup>97</sup>, which provides technical guidance to Least Developed Countries on the national adaptation programmes of action (NAPAs) and the national adaptation plans (NAPs). The national adaptation plan (NAP) is a continuous and progressive country-driven process, established under the Cancun Adaptation Framework (CAF), that enables Parties to identify their adaptation needs and then translate them into national adaptation plans (NAPs) that implies medium and long-term strategies to respond to those needs.

The NAPAs, instead, respond to immediate and urgent needs of LDCs towards climate change adaptation, those needs that cannot be delayed anymore in order to avoid further costs and difficulties. Once the NAPA is submitted to the UNFCCC secretariat and the country is eligible to apply to receive economic support, it prepares concept note and requests assistance to one of the implementing agencies of the GEF (currently there are 10) for the preparation and submission of a proposal to the GEF itself for the LDC Fund. Then the GEF works together with the country to turn the concept note into a complete operational project ready to be implemented.

As already anticipated, the Consultative Group of Experts (CGE) supports non-Annex I country Parties in the preparation of their National Adaptation Plans (NAPs),<sup>98</sup> National Communications (NCs)<sup>99</sup> and biennial update reports (BURs).<sup>100</sup> The Vice-Chair talked about both the progresses made and the missing achievements; he presented the activities undertaken by the body between 2010 and 2012 in order to fulfill its mandate.

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<sup>97</sup> The LEG was established by the COP in 2001.

<sup>98</sup> Are means of identifying medium- and long-term adaptation needs and developing and implementing strategies and programmes to address those needs. It is a continuous, progressive and iterative process which follows a country-driven, gender-sensitive, participatory and fully transparent approach

<sup>99</sup> NCs from developing countries provide information on greenhouse gas (GHG) inventories, measures to mitigate and to facilitate adequate adaptation to climate change, and any other information that the Party considers relevant to the achievement of the objective of the Convention

<sup>100</sup> BURs provide an update of the information presented in NCs, in particular on national GHG inventories, mitigation actions, constraints and gaps, including support needed and received.

On mitigation, it was noted the need to provide financial and technical support for the preparation and implementation of Nationally Appropriate Mitigation Actions (NAMAs).

Some months after the meeting, during the Durban Climate Change Conference, held in 2011 in South Africa, Parties started to work on a decision text on the Durban Forum. It was established that the Durban Forum would have met every year during the UNFCCC negotiating sessions as an occasion to share experiences, lessons learned and good practices on the implementation of Capacity-building in developing countries. It involves several actors: Parties representatives, UN organizations, researchers, intergovernmental and non-governmental organizations, academia and the private sector.

For what concerns the establishment of a global agreement, Durban inherited the deep disappointments of Copenhagen and further disagreements of Cancun. In this context of tensions and uncertainties, countries tried to find a common understanding on emissions reduction.

Negotiations showed that many times developed countries give the priority to the economic agenda and the market mechanisms, leaving the environmental sustainability a with secondary role. It can be stated that the most powerful actors influence the decision making process more than many others. The withdrawal of Canada from the KP exemplifies that, since buying emission-trading permits is not economically affordable, the country preferred to give up to any commitments. The industry sector highlighted the same difficulties and predicted a future slowdown of the economy that would only favor developing countries polluting industries.

In the case of Canada, there was no option but to leave, while lobbies are usually able to make COPs abandon regulatory policies.<sup>101</sup>

In the same way, the US kept on sponsoring flexibility and emissions trading, things that made the country avoid relevant national actions about GHGs.

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<sup>101</sup> Subhabrata Bobby Banerjee, "A climate for change? Critical reflections on the Durban United Nations Climate Change Conference", SAGE, University of Western Sydney, Australia, 2012.

An additional disappointing issue was that the adopted Durban Platform for Enhanced Action did not mention any ‘common but differentiated responsibilities’ and did not include anything about mitigation measures for LDCs. Once again, developing countries were sacrificed in order to find a compromise.

The Durban Climate Change Conference surely marked a turning point for the international community about CC, because after 13 days of discussion, it was decided to draft and adopt a binding agreement on Climate Change by 2015. Nevertheless, as reported by Banerjee, participants from several groups criticized the vagueness of the measures and their date of enforcement. For instance, the EU requested for reductions to be initiated *in* 2020, while other countries would preferably begin *after* 2020.<sup>102</sup>

On the other hand, COP 17 marked a shift in developing countries’ alignment and reinforced the presence of new key player states. In Durban, China started building new alliances, embraced the possibility of a legally binding agreement and of the equity principle. Brazil and South Africa smothered their positions as well, while India strongly opposed to any legally binding measure but claimed for a softer ‘legal outcome’ and differentiated responsibilities.

Furthermore, after a process that took years, finally, Parties “decided to take a decision.” Despite the initial vagueness, now, in December 2015, Paris will host and chair the 21<sup>st</sup> Session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (COP21/CMP11), the so called ‘Paris 2015’. Each nation is now preparing its emission reduction targets known as ‘Intended Nationally Determined Contributions’ (INDCs) and will submit it to the UNFCCC, which will monitor how Parties are dealing with their commitments. INDCs are meant to keep track of national progresses in terms of GHG reductions. These national contributions include clear, ambitious and comparable mitigation goals that will be inserted in the legally binding agreement.

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<sup>102</sup> Ibid.

Before Paris, negotiations continued in Bonn in June and in September and will then proceed in October on the basis of a negotiating text that was agreed in Geneva in February 2015. Undoubtedly, difficulties underlined insofar, will persist if the table of negotiations will not guarantee the same weight to each participant. If nations will be able to reach equitable compromises on environment and development, adopting a good cooperative attitude, achievements could be great.

There are several reasons why an agreement seems possible, as the dual commitment of China and the United States to reduce carbon emissions by 2030 and the EU will to cut 40% of GHG emissions by the same year. Furthermore, in Lima (during the preparatory summit for Paris) Brazil, Russia, India and China recognized the need to cap to their emissions, but without any mandatory commitment.

Unfortunately, progresses happened to be slow. In Bonn, in September, the text of the agreement was supposed to be cleared up, but questions about core issues arose. Additionally, a very delicate issue concerns the financial promises that rich countries made in Copenhagen and that are slowly enacted. Developing countries need help to reduce their carbon emissions and want to invest in clean technology to improve their adaptation capacities. If concrete financial support would not be soon provided, negotiations risk falling apart.

In conclusion, transparency of terms and funds is necessary to permit transition to low-carbon technologies and to guarantee adaptation and mitigation support for the most vulnerable countries. Numerous arguments on the treaty will arise: it will be wondered whether to call it *treaty*, *protocol* or *binding agreement*, but what truly matters is that some kind of agreement will be reached.

### **3 Enhancing the monitoring and evaluation of Capacity-building**

The enhancement of capacities in developing countries is a core issue of these last decades, but monitoring the effective progresses in strengthening skills remains controversial, because there is no unique methodology.

There is vast literature on M&E processes in Capacity-building and many models of indicators have been developed. Scholars claim that good practices of M&E can be identified but standardized measures are too simplistic and might lead to wrong conclusions: each context is different and global criteria cannot be applied. Indicators are essential tools of M&E strategies, they help to identify capacities, weaknesses and establish achievable goals. Anyway, generalization should be avoided again. Tracing generic indicators is not possible they need to fit the single case. Pre-existing indicators can be adopted but should be then modified in order to comply with characteristics and capacity of the organization, which means readapting the instrument to the new case.

Two workshops of the UNFCCC about M&E were held respectively in 2007 and in 2008.<sup>103</sup> The share of experience and challenges in developing indicators led to the conclusion that it is not possible to adopt common performance indicators to assess CB programmes. Parties made important conclusions about M&E procedures, highlighting how, despite the peculiarities of each country, some good practices could be learned and adapted to new cases. Developing countries submitted some important considerations in June 2015 concerning the development of performance indicators and added observations about their vision of the Durban Forum. In this chapter it will be explained the utility of M&E, its strengths and weaknesses and what literature reports. In relation to this, the conclusion of the two forums will be then analyzed together with the submission of developing countries. The final aim is to investigate which role is now covering the Durban Forum and if it needs some rethinking.

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<sup>103</sup> SBI 27<sup>th</sup>, Workshop on monitoring and evaluating capacity-building in developing countries, St. John's, Antigua and Barbuda, 5-6 November 2007; Expert meeting on experiences in using performance indicators for the monitoring and evaluation of capacity-building at the national level, Rio de Janeiro, Brazil, 6-7 November 2008.

### 3.1 What monitoring and evaluation means

Monitoring and evaluating capacity development activities allows keeping track of processes and progresses in order to better orientate interventions. This step is meant to analyse in what measure the performance has been achieved. However, despite the centrality that Capacity-building acquired in these last decades, measuring capacity is still an intrinsic issue because it depends on several aspects that hardly permit to elaborate an exact theory of *know-how*.

Monitoring can be defined as a continuous observation process, which gives results while the project is still on going. The aim is to guarantee the right functioning of the plan and to alert about deviations from the original set of objectives.

Whereas, evaluation is the final stage that defines the quality of the project. These two passages are complementary and depend on a careful and clear planning and goals setting.<sup>104</sup>

Keith Mackay reports that in developing countries the urge to improve performances is notably increasing and many governments are trying to meliorate the measurement strategies of their programmes.<sup>105</sup>

As a matter of fact, Bamberger et al. confirm that recently, the desire to measure the effectiveness of international development projects has been growing.<sup>106</sup> This need arose for two reasons: firstly, most of the organizations tend to report only

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<sup>104</sup> D. Horton, A. Alexaki, S. Bennett-Lartey, K.N. Brice, D. Campilan, F. Garden, J. de Souza Silva, L.T. Duong, I. Khadar, A. Maestrey Boza, I. Kayes Muniruzzaman, J. Perez, M. Somarriba Chang, R. Vernooy, and J. Watts. 2003. "Evaluating capacity development: experiences from research and development organizations around the world", The Netherlands: International Service for National Agricultural Research (ISNAR); Canada: International Development Research Centre (IDRC), the Netherlands: ACP-EU Technical Centre for Agricultural and Rural Cooperation (CTA).

<sup>105</sup> Keith Mackay, "Conceptual Framework for Monitoring and Evaluation", "Building better Policies", Gladys Lopez-Acevedo, Philipp Krause, and Keith Mackay, the World Bank, Washington, USA, 2012.

<sup>106</sup> Bamberger, Michael and Hewitt, "Monitoring and Evaluating Urban Development Programs, A Handbook for Program Managers and Researchers", World Bank Technical Paper no 53. (Washington, D.C.: 1986)



their results rather than general outcomes, secondly information are not always complete and reliable.<sup>107</sup>

Consequently, there is now the necessity to design effective ways of M&E. Researchers accepted the new call with enthusiasm, but they are divided in two schools of thought.

Some experts believe in quantitative standardized techniques, while others argue that generalization in developing countries is not possible. Inflexible parameters do not permit to understand the environment and its complex nature, leading to the development of inefficacious evaluating systems.<sup>108</sup>

Bertha Briceño studied three countries of Latin America (Mexico, Colombia, Chile) and got to the conclusion that M&E strategies have to be tailor-made. Results showed that lessons from other countries can be useful, but no model can be exported the way it is. External variables and specific circumstances could affect the evolution of the method.<sup>109</sup>

On the same side is Geoffrey Shepherd, who states that countries are very different in terms of development, local policy and many other variables. For this reason the analysis will always be different, likewise recommendations.<sup>110</sup>

“There is no one blueprint for preparing an M&E diagnosis: content and presentation depend on the specific context”.<sup>111</sup>

Nevertheless, some baselines could be generally applicable. Keith Mackay indicates three characteristics to guarantee successful M&E systems. The first one is to extensively use collected data in every policy related to the stages of the plan. It is important to have as much users as possible and if data are not utilized it must

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<sup>107</sup> Michael Bamberger, Vijayendra Rao, Michael Woolcock, “Using Mixed Methods in Monitoring and Evaluation Experiences from International Development”, The World Bank Development Research Group Poverty and Inequality Team March 2010.

<sup>108</sup> Ibid.

<sup>109</sup> Bertha Briceño, “Defining the Type of M&E System: Clients, Intended Uses, and Utilization” in “Building Better Policies The Nuts and Bolts of Monitoring and Evaluation Systems”, Gladys Lopez-Acevedo, Philipp Krause, and Keith Mackay, the World Bank, Washington, USA, 2012.

<sup>110</sup> Geoffrey Shepherd, “Conducting Diagnoses of M&E Systems and Capacities”, “Building Better Policies The Nuts and Bolts of Monitoring and Evaluation Systems”, Gladys Lopez-Acevedo, Philipp Krause, and Keith Mackay, the World Bank, Washington, USA, 2012.

<sup>111</sup> Ibid, pg.48.

be discovered why: bad quality of data, wrong timing, poor information, not relevant aspects or lack of skills?

The second requisite is the quality and reliability of information. Some governments, but not all, have specialized offices that apply quality standards to check if M&E systems are providing reliable data.

The third feature is sustainability, which is given by the embedding of the M&E system in the government/organization process. When the system is deeply rooted, it resists to any kind of change in the administrative structure.<sup>112</sup>

Harry Hatry, instead, provides a list of general steps to design and enact M&E procedures. He suggests creating a mixed committee to supervise the implementation of plans: individuals of the organization should work together with representatives of the involved offices and some people from the outside. It is however crucial to appoint appropriate personnel to lead the implementation of each step. It is then important to set training programmes in M&E with different focus for top managers and personnel with other functions.

When developing a plan it must always be considered that the full implementation will take ages, even if some feedbacks will be available at the end of the first year. Within the organization, each program should have working groups meant to identify related performance indicators. Thanks to indicators it is possible to monitor and periodically review specific progresses of that mission. Performance measurement should always be partially considered, as a matter of fact, indicators reflect a work in progress; they become finalized only when data can be adopted. There are many ways to obtain data: a good method to gather information is through surveys that provide feedbacks on the quality of the programme (e.g. health service for HIV disease). Otherwise it can be used the physical observation, by sending personnel to conduct systematic examination of roads or public facilities. The outcome is given by the percentage of those aspects that result in suitable conditions.

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<sup>112</sup> Keith Mackay, "Conceptual Framework for Monitoring and Evaluation", "Building Better Policies The Nuts and Bolts of Monitoring and Evaluation Systems", Gladys Lopez-Acevedo, Philipp Krause, and Keith Mackay, the World Bank, Washington, USA, 2012.

Once data are collected, the primary source of performance should always be comparisons, for instance by comparing results in different groups or analogous programmes in diverse countries.

Lastly, the author suggests that M&E information have to be used as incentives: by accentuating results the staff is more likely to be motivated.<sup>113</sup>

Anyway, some principles are generally applicable while others refer solely to the assessment of Capacity-building. Simister and Smith identify some of the challenges related to CB. For instance, it is a priority to guarantee that the donor is not influencing the process of evaluation. When people feel their work depending on something/someone, they will probably give unrealistic feedbacks. Secondly, it is very important for the system of M&E not to interfere with Capacity-building itself. Thirdly, it requires a long time frame to see results in Capacity-building interventions, due to the slow integration of programmes. Lastly, CB depends on variables in continuous change; therefore the process is never automatic.<sup>114</sup>

In the same way, the United States Agency for International Development (USAID) designed a Six Steps box specifically addressed to monitor Capacity-Building:

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<sup>113</sup> Harry Hatry, “Key Steps to Design and Implement M&E for Individual Country Service Agencies”, “Building Better Policies The Nuts and Bolts of Monitoring and Evaluation Systems”, Gladys Lopez-Acevedo, Philipp Krause, and Keith Mackay, the World Bank, Washington, USA, 2012.

<sup>114</sup> Nigel Simister and Rachel Smith, “Monitoring and Evaluating Capacity Building: Is it really that difficult?”, Praxis Paper 23, INTRAC, January 2010.

**Figure 1: Six Steps for Developing a Capacity-Building M&E Plan** <sup>115</sup>

- 1. Define the purpose of the evaluation**
- 2. Define performance objectives**
- 3. Map capacity: build a conceptual framework for the specific capacity-building intervention**
- 4. Identify capacity indicators**
- 5. Identify appropriate methodological approach and sources of data**
- 6. Develop an implementation and dissemination plan**

Step number one implies the identification of the objective: if the scope is not clear the entire plan will be compromised and the final assessment will be meaningless. It is important to stress that evaluators and planners should be constantly in contact in order to agree about the expected results, the strategy and the monitoring and evaluation plan. Three different kinds of assessments can be carried out: the first one analyses the current situation and that is to say what kind of capacities already exist, which are still missing, which performance barriers have been encountered and so on. The second one implies all the components of the monitoring process, such as the quality and quantity of inputs provided to achieve the objective, the standards of the processes carried out, the improvement of the capacity, etc. The last stage is the final evaluation that investigates whether the Capacity-building intervention led to the expected results or not. Additionally,

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<sup>115</sup>Anne LaFond, MS, JSI Research and Training Lisanne Brown, PhD, Tulane University, “A Guide to Monitoring and Evaluation of Capacity-Building Interventions in the Health Sector in Developing Countries”, MEASURE Evaluation Manual Series, No. 7, USAID, 2003, [http://gametlibrary.worldbank.org/FILES/610\\_M&E%20of%20Capacity%20Building%20Interventions.pdf](http://gametlibrary.worldbank.org/FILES/610_M&E%20of%20Capacity%20Building%20Interventions.pdf).

it is fundamental to know who are going to be the end-users of the evaluation results: donors may look at the general outcomes, while operating entities like NGOs might need an evaluation of their internal setting and the way it interacted with the locals, while governments could pay more attention to institutional impacts.

Step number two focuses on the performance objectives. Initially it must be identified the kind of Capacity-building intervention required and then the type of performance that would fulfil the expectations. It also has to be considered what possible externalities could influence the performance both positively and negatively. So, after a deep confrontation between designers and evaluators an appropriate performance that fits the context will be identified. Performance objectives can be found in many different kind of indicators, for instance, the number of people hospitalized everyday can affect the budgetary aspect of the structure and interest the financial manager, while the quality of treatments can interest the NGOs which provided training courses to employees. Indicators can vary depending on who is conducting the assessment procedure, but what should always be granted is their measurability (qualitative or quantitative). The third step requires the identification of the capacities to be developed in order to obtain the desired performance. It requires the participation of all the stakeholders involved because the analysis focuses on their skills and their capabilities to deal with environment variables. Since many stakeholders are involved, the mapping process can rely on their best commitment and it will lead to satisfactory results: their direct involvement in the M&E will motivate them to give good quality information. It might be critical to predict which could be the impact of the external environment on the capacities: context provides a series of socio-cultural, economic and legal variables that are not easy to predict. A good planner tries to keep track of the possible changes and adapts the program to them; even if is not always easy, this is one of the core paths to follow for an efficient Capacity-Building intervention.

Step number four is a complex issue, since it implies the development of indicators: qualitative or quantitative variables used to keep track of progresses and changes in processes inputs, outputs and results. For instance, the indicator of

the number of personnel trained in water resources management tracks the inputs that affect irrigation of fields in a long period of drought. Indicators permit to be accurate and precise about the effect that interventions have on the performance. Nevertheless, it is worth mentioning that no standardized indicators exist; as a consequence, indicators have to be carefully developed and adapted to each specific case. Capacity indicators can derive both from theory that from experience. The fifth step requires the defining of a methodology, of the sources of data and the identification of a tool to collect data. Tools that perfectly adapt to the new case could already exist, otherwise a fresh one might be necessary: it is important to know if we want to analyse the implementation of the Capacity-building activity or its effectiveness. Monitoring effectiveness is not an easy task and it happens less frequently because of costs and difficulties. Measuring the effectiveness means looking at both the intervention and the impacts it had: nevertheless the impact on the performance is not easy to quantify: it is hard to obtain precise measurements. While establishing a strategy, evaluators are better to use a combination of quantitative and qualitative methods to analyse more levels and the relations among them. The use of more than one strategy is highly recommended: e.g. standard methods and self-assessment strategies. Self-assessment techniques increase the sense of involvement and ownership, therefore it is likely to happen that these results will be then used, despite the validity of these data could be compromise because not operated by an external agent. The last step is to develop an implementation plan to M&E Capacity-building. It is necessary to divide responsibilities, set a timetable for data collection and budgetary limits. Since this process must follow the Capacity-building plan, continuous updates and reviews are necessary, we are not solely looking at how things were before and how are now. A constant review enables continuous dialogues between stakeholders to interpret feedbacks.<sup>116</sup>

Thanks to what have been discussed insofar, it can be stated that good practices of M&E could be outlined but setting standard measures is a risk because it might lead to imprecise conclusions. Each context is different and global criteria seem unthinkable. Since some scholars believe in the complete personalization of

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<sup>116</sup> Ibid.

programmes, while others call for some generalizations, a third way could be a good solution. Simister and Smith identified a further compromise of general guidelines, in the recent 'Five Capabilities framework' of the European Centre for Development Policy Management (ECDPM).<sup>117</sup> The 5Cs approach would not impair the freedom of each country to select its own measurements, but provides a general framework.

In 2002, the Network on Governance and Capacity Development of the OECD requested the ECDPM to investigate the key of success of organizations in developing countries and the way they enhance their performances. The resulting work got to the conclusion that a single capacity is not enough and five interrelated basic capabilities were then defined: "The capability to act and commit; The capability to deliver on development objectives; The capability to adapt and self-renew; The capability to relate to external stakeholders; The capability to achieve coherence".<sup>118</sup>

### **3.2 Performance indicators**

An efficient model of M&E depends on good and clear planning. Within this step, indicators can be optimal tools to identify capacities, weaknesses and establish achievable goals.

The OECD defines indicators as: "Quantitative or qualitative factor or variable that provides a simple, and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor".<sup>119</sup>

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<sup>117</sup> ECDPM, "Bringing the invisible into perspective. Reference document for using the 5Cs framework to plan, monitor and evaluate capacity and results of capacity development processes", ECDPM, December 2011, Maastricht, the Netherlands, <http://ecdpm.org/wp-content/uploads/2011-5Cs-Framework-Plan-Evaluate-Monitor-Capacity-Development-Processes.pdf>.

<sup>118</sup> Ibid.

<sup>119</sup> OECD, "DEVELOPMENT RESULTS, An Overview of Results Measurement and Management", 2013.

Yemile Mizrahi makes a useful distinction between capacity indicators (CIs) and performance indicators (PIs). Capacity and performance are complementary but not alike. A performance can be a good measure for capacities but the relation is not so linear: as a matter of fact, a performance can be poor even if people have good capabilities.

Mizrahi believes that an extensive framework of Capacity-building includes three levels of analysis (individual, organizational and institutional) and each level has various dimensions that could affect the final outcome. That is to say: good performances can depend on something but capabilities and good capabilities do not necessarily entail a good performance.<sup>120</sup>

As Innes and Booher state:

“An indicator may show improvement in community health for example but this improvement may have had nothing to do with the new hospital. It is important to know if community health is improving, but that in itself does not tell us what policy, if any, was a cause”.<sup>121</sup>

At the first level, indicators have to be extremely specific, for instance the awareness campaign against malaria, operated in the suburbs of Dakar, Senegal, by the non-profit organization ‘Energia per I diritti umani’,<sup>122</sup> should keep track of many variables, for example the attendance of locals to training workshops, the amount of mosquito nets and medicines that are distributed every day, the hours dedicated to this topic in the schools and so on.

National-level indicators, that include subnational indicators (provincial and municipal), give indications about the reaction of the whole country, or part of it, to a project. Providing data at this level is certainly hard and requires more

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<sup>120</sup> Yemile Mizrahi, “Capacity Enhancement Indicators: Review of the Literature”, World Bank Institute, The World Bank Washington, USA, June 2003, <http://info.worldbank.org/etools/docs/library/80314/EG03-72.pdf>.

<sup>121</sup> Judith E. Innes & David E. Booher, “Indicators for Sustainable Communities: A Strategy Building on Complexity”, Routledge, Theory and Distributed Intelligence, Planning Theory & Practice, 2000, pages 173-186, pg. 176, <http://dx.doi.org/10.1080/14649350020008378>.

<sup>122</sup> NGO founded in Rome in 1998, <http://www.energiaperidirittiumani.it/>.



attention. The organization mentioned above operates also in Mbour e Thiès, therefore it might need to collect and harmonize the data of each intervention filed in Senegal to give an overview about its progresses in the country.

At the global-level, indicators reflect an answer that is globally given to certain programmes. It means collecting information from different countries that are involved in the same project. It is important to stress that, while only a small amount of project-level data can influence global indicators, global feedback can provide trends that improve national and local performances.<sup>123</sup>

Performance indicators are also defined ‘Key performance indicators’: financial and non-financial indicators frequently used to measure the success of businesses; they reflect where the performance was, where it is now and where it is going. As the expert, John Reh, says: “A business may have as one of its Key Performance Indicators the percentage of its income that comes from return customers”.<sup>124</sup>

In the case of Capacity-building activities, quality is usually preferred to quantity and economic returns are never pursued.

Innes and Booher report that together with the awareness towards sustainable development, in the 1990s grew the importance of these measurement tools.

Experts from every country wanted to develop standardized indicators to help communities to pursue sustainable development. Nevertheless, the authors highlight that nobody could elaborate a strategy for ideal indicators. Theoretical models could not be successful due to their simplistic design, whereas application gave much more material for discussion. When methods fail there is always good space for some learning.<sup>125</sup>

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<sup>123</sup> Yemile Mizrahi, “Capacity Enhancement Indicators: Review of the Literature”, World Bank Institute, The World Bank Washington, USA, June 2003, <http://info.worldbank.org/etools/docs/library/80314/EG03-72.pdf>.

<sup>124</sup> “Key Performance Indicators (KPI). How an organization defines and measures progress toward its goals”, Aboutmoney, 2015, <http://management.about.com/cs/generalmanagement/a/keyperfindic.html>.

<sup>125</sup> Judith E. Innes & David E. Booher, “Indicators for Sustainable Communities: A Strategy Building on Complexity”, Routledge, Theory and Distributed Intelligence, Planning Theory & Practice, 2000, pages 173-186, <http://dx.doi.org/10.1080/14649350020008378>.

Görgens and Kusek, indeed, recognize that developing indicators is a core activity of M&E but methodological issues that might arise do not have to be underestimated.<sup>126</sup>

I would observe that two main difficulties are encountered when building indicators. Firstly, reciprocal influence of each Capacity-building level, which means that for instance, the organizational level could be easily affected by the individual level and vice versa.

For example, Sierra Leone's Ministry of Health (MOH) might have the capacity to deliver childhood immunization services. However, frequent political instability in the country can challenge that capacity and reduce performance (e.g., immunization coverage) dramatically.<sup>127</sup> Secondly, the influence of the context, which makes results change from one country to the other, despite the project is identical.

In the case of human rights indicators, Lankford and Sano (2010) report that there is always some dread in making comparison between countries because the diversity among them is undeniable. For example cultural difference is a key factor depending on the context.<sup>128</sup> Anyway, over the years, many models have been developed.

Here it is now reported the indicator of the UNAIDS<sup>129</sup> to measure the provision of Antiretroviral Therapy at Health Facilities.

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<sup>126</sup> Marelize Görgens and Jody Zall Kusek, "Making Monitoring And Evaluation Systems Work A Capacity Development Toolkit", the World Bank, Washington, USA, 2009.

<sup>127</sup> Anne LaFond, MS, JSI Research and Training Lisanne Brown, *A Guide to Monitoring and Evaluation of Capacity-Building Interventions in the Health Sector in Developing Countries*, PhD, Tulane University, March 2003, pg. 9.

<sup>128</sup> Siobhán McInerney-Lankford Hans-Otto Sano, "Human Rights Indicators in Development", The World Bank, Washington DC, 2010, <file:///Users/rebecca/Downloads/578840PUB0repl101public10BOX353783B.pdf>.

<sup>129</sup> Joint United Nations Programme on HIV and AIDS

**Figure 2: Antiretroviral Therapy at Health Facilities Indicator<sup>130</sup>**

<b>TITLE</b>	Provision of Antiretroviral Therapy (ART) <sup>131</sup> at Health Facilities
<b>DEFINITION</b>	Percentage of health facilities that offer ART (i.e. prescribe and/or provide clinical follow-up). Health facilities include public and private facilities, health centres and clinics (including TB centres), as well as health facilities that are run by faith-based or nongovernmental organizations.
<b>PURPOSE</b>	This indicator measures the capacity of health facilities to provide ART.
<b>RATIONALE</b>	Antiretroviral therapy is a cornerstone of effective HIV treatment, and measuring the percentage of health facilities that offer ART provides valuable information about ART availability. One strategy to scale up ART services is to make ART available in more health facilities. This may be achieved by decentralizing ART services from tertiary facilities (e.g. hospitals) to primary or secondary-level health facilities.
<b>METHOD OF MEASUREMENT</b>	<ul style="list-style-type: none"> <li>• <i>Numerator:</i> Number of health facilities that offer ART (i.e. prescribe and/or provide clinical follow-up).</li> <li>• <i>Denominator:</i> Total number of health facilities, excluding specialized facilities where ART services are/will never be relevant.</li> <li>• <i>Calculation:</i> Number of health facilities that offer ART divided by total number of health facilities minus those where ART services are/will never be relevant x 100. The numerator is calculated by summing of the number of facilities reporting availability of ART services. Information on the availability of specific services is usually kept at the national or subnational level. National</li> </ul>

<sup>130</sup> Deborah Rugg, “An Introduction to Indicators”, Geneva, Switzerland, 2010, pgs. 23-25, PhD Chief, UNAIDS Monitoring and Evaluation Division, [http://www.unaids.org/sites/default/files/sub\\_landing/files/8\\_2-Intro-to-IndicatorsFMEF.pdf](http://www.unaids.org/sites/default/files/sub_landing/files/8_2-Intro-to-IndicatorsFMEF.pdf).

<sup>131</sup> ART are medications that treat HIV. The drugs do not kill or cure the virus. However, when taken in combination they can prevent the growth of the virus. When the virus is slowed down, so is HIV disease.

		<p>AIDS Programmes should have a record of all health facilities offering ART services. A health facility census or survey can also provide this information, along with more in-depth information on available services, provided the information is collected from a representative sample of health facilities in the country. Countries should regularly update their programme records on health facilities offering ART services, and supplement these data with those obtained through a health facility survey or census every few years.</p> <ul style="list-style-type: none"> <li>• The denominator is calculated by summing the total number of health facilities included in the sample. Information for construction of the denominator may come from programme records, facility listings, and/or national strategy or planning documents.</li> </ul>
DATA COLLECTION METHOD	Programme records; health facility survey/census.	
MEASUREMENT TOOLS	For health facility surveys or censuses, tools such as the Service Provision Assessment (SPA) or the Service Availability Mapping (SAM) can be used.	
DATA COLLECTION FREQUENCY	Annual for programme records; every two to three years for facility survey/census.	
DATA DISAGGREGATION	Public and private sector facilities.	

The scope of this indicator was to measure the availability of ART services, but on the other hand, it does not give any kind of indication about the quality of the service. The delivery of this kind of health services is particularly complex and in order to obtain a satisfactory overview of the situation a set of specific indicators would be needed, including surveys and observation on the field. It is worth

stressing that the limit of this indicator is to monitor only the availability and not the related aspects.

**Figure 3: ERA monitoring indicators: the overall framework to build the indicators**<sup>132</sup>

Components of the system		<i>Component 1</i> K activities in EU [volume & quality]	<i>Component 2</i> Knowledge Δ [local, national, EU-wide]	<i>Component 3</i> Fifth Freedom [ EU-wide mobility, single market for K]	<i>Component 4</i> Societal Dimensions of ERA [Science in society]	<i>Component 5</i> Sustainable Development and Grand Challenges
Types of concern						
<i>Type A</i> Policy actions	<i>Type A1</i> Member States level	Public RD investment Attractiveness policies Incentives for private RD investment	MS Knowledge Δ policies Coord. of Δ policies within MS	Preparation of inter-operability of HE and R systems Open public procurement Attractive conditions for researchers	Societal platforms involvement of stakeholders TA	SD policies and actions
	<i>Type A2</i> EU-level and coordination across MS	FP volume & structure ERC Joint progr. Speaking with one voice in international fora ESFRI & instruments	Coord. of Δ policies within EU EIT (European Institute of Technology) EU innov. policy and public-private interactions	Common market for knowledge and its production factors across EU High performance EU-wide info systems	Societal platforms involt of stakeholders TA (Technology Assessment), foresight Ethical principles Cohesion and equity	Strategic partnerships between community & MS SD policies and actions
<i>Type B</i> ERA progress state of the ERA as EU R-I system		Integration – coordination among MS of public R funds	Intra-MS and intra EU flows between HE-R-I Public-private interactions & flows	Intra-EU collaboration Knowledge flows competition in EU for K production factors Access to complementary K & capacities across EU World class R infrastructure	Science society activities Common foresights Social, regional, geographic cohesion	Joint SD activities
<i>Type C</i> ERA Effects – Lisbon objectives towards a K society		K activities (Volume, quality) World class research Structural change: - K intensity - Specialisation (sectoral, geographic) - Dynamics of firms Revealed attractiveness of ERA Linkages – networks between ERA and the world; openness of ERA to the world			Trust & dialogue between society – S&T Public attitude to S&T equity: geographic, social, gender	EU leadership in addressing global challenges and reaching SD goals

K: knowledge; KΔ: knowledge triangle (higher education – research – innovation); Δ policies: triangle policies; MS: member state (and, when relevant, associated countries); HE: Higher

<sup>132</sup> Ibid, pg.11.

education; R: research; I : innovation; SD: sustainable development.

The figure above is an additional example is the set of indicators developed by the Expert Group of the European Research Area in 2009.

The aim is to enhance a monitoring system that keeps track of progresses towards the ERA and a ‘knowledge-based economy’.<sup>133</sup> The ERA indicators measure the policy action of each member state, the associated policy actions at the EU level and the progresses in research. In relevant cases comparison with the US and other relevant countries can be adopted, taking into account differences in size and GDP growth.<sup>134</sup>

To conclude, many models have been developed but it has been demonstrated how application depends on single cases. What it is needed are data, lessons and useful information in accessible forms for all the stakeholders, in order to develop new tools.<sup>135</sup>

### **3.3 Discussion at the UNFCCC about performance indicators**

M&E is still an unsolved issue and, for this reason, the international community regularly rediscovers it. Weaknesses are identified, together with new commitments, but the situation remains static.<sup>136</sup>

Not by chance, ten years ago, the COP requested the GEF and the Secretariat to set up a workshop to share experiences in the monitoring and evaluation of Capacity-Building. The SBI organized a meeting of two days in St. John’s, Antigua and Barbuda, in 2007.<sup>137</sup>

During the workshop many notable presentations were delivered, as the one about

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<sup>133</sup> European Commission, ERA Indicators and Monitoring Expert Group Report October 2009, [https://ec.europa.eu/research/era/pdf/era\\_indicators&monitoring.pdf](https://ec.europa.eu/research/era/pdf/era_indicators&monitoring.pdf).

<sup>134</sup> Ibid.

<sup>135</sup> Nigel Simister and Rachel Smith, “Monitoring and Evaluating Capacity Building: Is it really that difficult?”, Praxis Paper 23, INTRAC, January 2010.

<sup>136</sup> Brian Pratt, “Rethinking Monitoring and Evaluation, INTRAC, No. 37, September 2007.

<sup>137</sup> UNFCCC, “Expert workshop on monitoring and evaluating capacity-building in developing countries”, Antigua and Barbuda, 5 -6 November 2007.

the challenges and limits encountered by the UNITAR in monitoring and evaluating Capacity-building. The presenter, Blane Harvey, stressed that dealing with different founders led to changing requirements for monitoring and caused confusion in gathering results. It was added that qualitative changes were not reported and this made hard to keep track of progresses and explain why changes happened.

The GEF, on its behalf, gave a presentation about the monitoring of capacity development and reported that, despite the importance given to capacity development operations, it was still difficult for the GEF to extrapolate and monitor its support apart from others. Due to this complication, the agency proposed a set of indicators for 5 different areas and included a scorecard made of numeric values that are attributed to each indicator at the beginning and at the ending of the intervention.<sup>138</sup>

This is a concrete example provided by the GEF on how the scorecard should be working.

*Project:* Natural resources management

Overall objective: To promote and strengthen public and private sector effort to achieve socio-economically and ecologically sustainable use of national forest and wildlife resources.

*Objective 1:* improve the policy and regulatory environment for high forest management and timber industry development.

*Objective 2:* promote local community involvement in sustainable management of the high forest and savana woodland zones.

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<sup>138</sup> UNFCCC, “Report on the expert workshop on monitoring and evaluating capacity-building in developing countries”, Antigua and Barbuda, 5 -6 November 2007, United Nations Office at Geneva (Switzerland), pg.11, [http://unfccc.int/documentation/documents/advanced\\_search/items/6911.php?preref=600004367#beg](http://unfccc.int/documentation/documents/advanced_search/items/6911.php?preref=600004367#beg).

*Objective3:* improve management of wildlife resources while increasing their contribution to local livelihoods and economic development.

*Objective4:* implement the National Forest Protection Strategy to enhance conservation of globally significant biodiversity in priority reserves.

In this model it is reported the main area and its specific indicator, for example *Legitimacy* that is contributing to objectives n.1: policy and regulatory environment and n.4: National Forest Protection Strategy. Its initial value is 1 the assessment value is 2 and the change results in 1. The assessment is measured a second time (3); the change as well (1) and finally is obtained the overall change (2).

**Figure 4: Natural resources management indicator<sup>139</sup>**

Capacity functions	Contributing to which Project/ Programme Objective?	Staged indicators: Capacity to... (Stages 0 - 3)	Initial score (0 - 3)	Assessment Score I	Change (- 3 + 3)	Assessment Score II	Change (- 3 + 3)	Overall Change
<b>1 Stakeholder Engagement</b>			1.0	2.0	1.0	2.3	0.3	1.3
a Legitimacy/ mandate of lead organization	1,4	0 Responsibilities not clearly defined 1 All lead agencies identified 2 Mandates of all lead agencies specified 3 Authority of all lead agencies recognized	1	2	1	3	1	2
b Operational co-management mechanisms	1, 2, 3, 4	0 Lack of co-management 1 Nature of co-management agreed 2 Co-management mechanisms established 3 Co-management functional	1	2	1	1	-1	0
c Cooperation with stakeholder groups	2, 3, 4	0 Poor stakeholder involvement 1 Key stakeholders identified 2 Regular stakeholder consultations established 3 Active stakeholder contribution to decision making	1	2	1	3	1	2

In conclusion, we can agree on the utility of indicators when designated to provide specific feedbacks in a particular Capacity-building process, while a general overview of monitoring is pointless. The establishment of a an initial guideline for M&E processes could be challenging, for this reason the GEF suggested to

<sup>139</sup> Jean-Joseph Bellamy, Consultant Tom Twining-Ward, UNDP Abdul-Majeid Haddad, presented “Monitoring of Capacity Development in GEF Operations”, UNEP, UNFCCC Expert Workshop on Monitoring and Evaluating Capacity Building in Developing Countries, St. John’s, Antigua - November 5-6, 2007, slide 11.



adopt a strategy based on the individuation of indicators prior to the intervention.

It was, indeed, noted that aggregated indicators are seldom useful, while transparent measures on particular topics can be extremely effective if they are designed on the basis of decision-makers beliefs.<sup>140</sup>

Three main lessons can be gathered from this meeting: a standard guideline for monitoring and evaluation should be selected with attention, when choosing performance indicators the guiding principle should be their practical usefulness on the specific case and M&E should recognize the long-term of Capacity-building processes and cope with it.

Since the COP felt the necessity to proceed with further discussions about approaches for Capacity-building activities, one year after, Rio de Janeiro hosted a new workshop. The new meeting concentrated on the following aspects:

“ (a) To share experiences in the application of performance indicators in monitoring and evaluating capacity-building at the national level, including practical examples of such activities;

(b) To share experiences and lessons learned in approaches used in monitoring and evaluating capacity-building in various fields, in order to explore how such methods could be applied to capacity-building for climate change;

(c) To discuss potential conceptual frameworks for the development and application of performance indicators for capacity-building for climate change under the Convention at the national and global levels. ”<sup>141</sup>

Innes and Booher observe that finding an agreement on indicators is a common need, given by the recognition of their key role in capacity development. Anyway, this attitude is so new that limited documentation has been published insofar.

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<sup>140</sup> Judith E. Innes & David E. Booher, “Indicators for Sustainable Communities: A Strategy Building on Complexity”, Routledge, Theory and Distributed Intelligence, Planning Theory & Practice, 2000 , pages 173-186, <http://dx.doi.org/10.1080/14649350020008378>.

<sup>141</sup> UNFCCC, “Report on the expert meeting on experiences in using performance indicators for the monitoring and evaluation of capacity-building at the national level”, Rio de Janeiro, Brazil, November 2008, pg. 4-5.

Countries want indicators to better address projects and self-management, but they do not have any clear strategy yet.<sup>142</sup>

In Rio, several presentations were delivered to analyse the usage of indicators in different programmes at both national and international level.

A representative of Bangladesh, Jamil H.Chowdhury, started his presentation by addressing some questions about M&E, such as the kind of tools to access national capacities in a integrated way, or if standardized approaches in M&E exist and how to separate performance from capacity in order to distinguish which capacity did what, but mostly, he stressed that is not always considered how complex could be to quantify elements of Capacity-building in a single performance.

Then, the presenter listed some aspects and suggestions that should be considered in the evaluation process of a country, as the invitation to evaluate specific changes in performance every 3 or five years or the suggestion to develop clear indicator *before* the evaluation process begins. After listing some possible indicators (e.g. Institutional arrangement for technology transfer and Functional availability of climate change secretariat and focal points)<sup>143</sup> and the barriers encountered in measurement (e.g. Absence of baseline data to compare the level of progress)<sup>144</sup>, the presenter provided useful methodologies to M&E. Qualitative and quantitative approaches should be integrated in the same evaluation process, it is fundamental to regularly contact focal points, scoring systems are the best ways to use indicators and so on. The presenter concluded by bringing in a successful example of Capacity-building with the Expanded Programme of Immunization (EPI) in the Bangladesh health sector<sup>145</sup> and an example of poor achievements of

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<sup>142</sup> Judith E. Innes & David E. Booher, "Indicators for Sustainable Communities: A Strategy Building on Complexity", Routledge, Theory and Distributed Intelligence, Planning Theory & Practice, 2000, pages 173-186, <http://dx.doi.org/10.1080/14649350020008378>.

<sup>143</sup> Jamil H.Chowdhury, Bangladesh M & E Network, *UNFCCC Meeting on experiences with performance indicators for monitoring and evaluation of capacity building in developing countries*, Rio De Janeiro, Brazil  
6-7 November, 2008.

<sup>144</sup> Ibid.

<sup>145</sup> EPI is successful in Bangladesh. It has reduced the death by the vaccine preventable diseases. It resulted in reduction in infant and neonatal mortality. It has significant achievement in comparison with other South Asian countries.

the Bangladesh bureau of statistics. The aim of the bureau was to develop a wide range of indicators in 30 years but the absence of institutional leadership, the lack of institutional commitment and good governance, were consistent barriers.

Livia Bizikova, a representative of the International Institute for Sustainable Development (IISD), Canada, presented the institute's experience with indicators and performance measures. In their vision, indicators have to be picked on the basis of their relevance to the case and they have to objectively analyze both causes and consequences in the process. It is necessary to be able to aggregate them, but still, the number of indicators must be limited in order to avoid confusion.

It was discussed an example of partnership with the Group on Earth Observation (GEO) to develop indicators which permitted to attain several goals. It had been possible to guarantee a good representation of regional needs, access to data had been improved, it was established a method for data aggregation to the global scale, etc.

Additionally, Mrs. Bizikova noted how the involvement of people and the consideration of their values, improved the design of effective indicators. Finally, the presenter highlighted some challenges still encountered in measurement, such as data collection and difficult communication with all the stakeholders involved, which happens to be intermittent.

At the national level, the presentation of Japan resulted very interesting. The representative, Makoto Kato, discussed the different approaches to Capacity-building and presented various methodologies for M&E. The presenter outlined the uniqueness of each situation; even if the same type of project is applied to two countries, the comparison is not an easy task and replication does not happen. Despite external conditions could be similar, internal variables (as the commitment of stakeholders) lead to different effects and it is only possible to gather *good practices*, not common tools of measurement. Evaluation has to consider a different target setting based on the existing capacities and conditions of each case. The presenter concluded that the necessary condition to develop indicators is to cooperate with the country in defining them: indicators are meant

to describe a specific context and they could be used to learn new lessons and then develop good practices.

At the last stage of the meeting, the Expert Group on Technology Transfer (EGTT) presented its work to develop and test a balanced and robust set of performance indicators, as requested by the COP with the decision 3/CP.13, annex II. These indicators could be used by the SBI to monitor and evaluate the effectiveness of the implementation of the technology transfer (TT) framework.<sup>146</sup>

The idea was to develop a set of indicators by September 2008, test them by February 2009 and finally prepare recommendations to use the indicators. The final step of the work was to develop a sheet providing methodology for each indicator present in the model list, considering also the prerequisites that had been internationally recognized, recommendations and the already existing work produced. It was presented a draft list of 32 performance indicators chosen between 170 drafted indicators that the EGTT would have been tested in February 2009 applying a standardized sheet. These indicators could be expressed as qualitative or quantitative, with financial and non-financial measurement and have to be formulated following the SMART model (Specific, Measurable, Achievable, Relevant, and Time-bound). Completing the methodological sheet for each one is a way to obtain a full description of the performance indicator, check the policy relevance, obtain methodological description and assess data.

Thanks to these and other presentations, it can be concluded that no single approach towards M&E could be applied and the designing of methodologies has to be country-based. Some principles to define performance indicators were identified and commonly recognized by Parties, as the clarity requirements, the limited costs, the easy aggregation and understanding. It now possible to assert that common indicators would limit precision in giving results because making generalizations and aggregations causes dispersion of data. Authors and evidence brought to the conclusion that indicators have to be tailor-made, because they are

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<sup>146</sup> Bernard MAZIEN, Developing and testing performance indicators for the development and transfer of EST's under the UNFCCC: about process and methodology, Rio de Janeiro, Brazil, November 2008.

subjective tools of a nation. Anyway, countries encounter difficulties even when obtaining national evaluations because aggregating performance indicators at the project-level is still quite complex.

Finally, it can be suggested that indicators should always include organizational and society capacity: collective actions carried out by aware individuals are necessary tools of assessment.

The workshop made participants consider further actions to monitor and evaluate Capacity-building. Amongst the options there was the guidance of Decision 2/CP.7 in helping countries to develop subjective performance indicators together with the support of the Secretariat and of a group of experts in Capacity-building. It was stated that some guiding principles should be established to assist and facilitate the selection and application of performance indicators. Finally, parties recognized the utility to occasionally join a platform for sharing experiences and lessons learned. This final suggestion is extremely relevant at this point, because in the establishment of the Durban Forum could be identified the answer to that request.

### *The indicator of the Expert Group on Technology Transfer (EGTT)*

While countries had to set aside the idea of creating common indicators to detect in what measure Capacity-building actions are effective, the Expert Group on Technology Transfer delivered a report in 2009 on performance indicators in TT.

In November 2009, the EGTT delivered a new report on ‘Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer’,<sup>147</sup> which was taken into consideration at the 31<sup>st</sup> session of the Subsidiary Body for Scientific and Technological Advice (SBSTA) and Subsidiary Body Implementation (SBI).

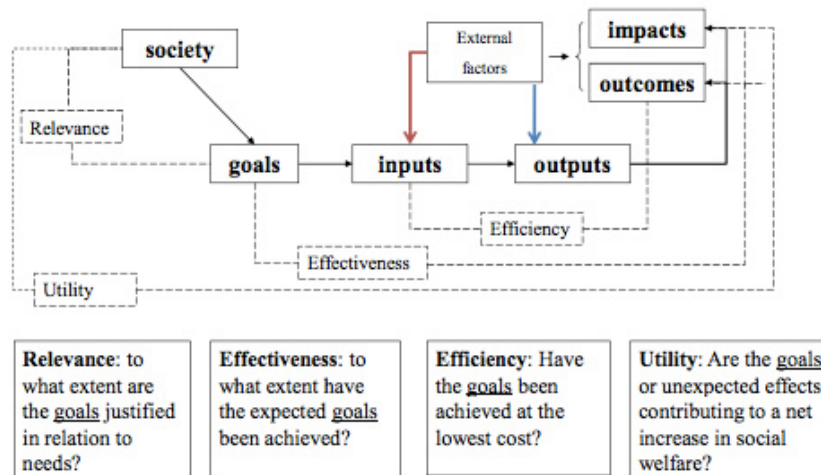
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<sup>147</sup> Chair of the Expert Group on Technology Transfer, “Performance indicators to monitor and evaluate the effectiveness of the implementation of the technology transfer framework”, November 2009, <http://unfccc.int/resource/docs/2009/sb/eng/04sum.pdf>.

To monitor and evaluate the effectiveness of the implementation of the technology transfer framework, the work was divided into 3 stages (developing, testing and giving recommendations on indicators).

The methodology used aimed at checking in which measure changes can be attributed to the technology transfer policies and it was primarily based on the inclusion of all the involved stakeholders. M&E means to verify to what extent the TT framework attained the established goals and, as the figure shows, it is necessary to develop a chain that put together every important aspect of the casual relationship: the performance indicators will then measure every aspect (impacts, outcomes, processes, utility, etc.)

**Figure 5: Framework for monitoring and evaluating the effects of policies** <sup>148</sup>



The strategy adopted by the EGTT led to the conclusion that the process of development of PI is still on a learning curve and that involving stakeholders in this process creates a common sense of belonging and ownership. It was then stressed, in the final report, that, despite the relative ease in developing PIs for the technology transfer framework, for other areas, including Capacity-building, it is

<sup>148</sup> Ibid, pg.4, Adapted from figure 6 in European Environment Agency. 2001. Reporting on Environmental Measures: Are We Being Effective? Environmental issue report no. 25. Copenhagen: EEA.

quite complex, because these fields are so broad that the result is a vast range of indicators or indicators that are highly aggregated.<sup>149</sup>

### 3.4 New impulses in 2015

Given the urgency that climate change embodies and the need of a worldwide cooperation and high commitment, the COP, with the Decision 1/CP.17, established, in December 2011, the Ad Hoc Working Group on the Durban Platform for Enhanced Action (ADP) with the scope of developing a text which will be adopted in Paris in December 2015 as a legally binding protocol.

The ADP planned its work in the first part of 2012, taking into consideration submissions from Parties and indications of technical experts concerning mitigation, adaptation, finance, technology development and transfer and Capacity-building. The approaching of Paris 2015, led developing Parties feel the urge to present their considerations and concerns about several matters. Since Capacity-building is one of the hot topics, the LDCs submitted a their vision document in a document about: 'Information on activities undertaken to implement the framework for capacity-building in developing countries, and views on specific issues to be considered at the 4<sup>th</sup> meeting of the Durban Forum on the organization of that meeting and on the terms of reference for the third comprehensive review of the implementation of the capacity-building framework.'<sup>150</sup>

The first paper of the document was submitted by Angola representing the Least Developed Countries Group (LDC Group). This group reported about activities undertaken and problems encountered. It was claimed that the Capacity-building concept is extremely jeopardized and its meaning has been distorted by developed countries. What LDCs belief, is that Capacity-building is treated as if *Everybody's business is nobody's business*<sup>151</sup> because countries do not feel their direct responsibility in the Capacity-building commitment and believe that someone else will deal with it.

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<sup>149</sup> Ibid, pg.5 paragraph n.9.

<sup>150</sup> UNFCCC, United Nations Office at Geneva (Switzerland), 7 May 2015, <http://unfccc.int/resource/docs/2015/sbi/eng/misc01.pdf>

<sup>151</sup> <http://english.al/proverb/everybodys-business-is-nobodys-business/>

As a matter of fact, Capacity-building is based on the awareness that people must have the same access to resources and the same chance to pursue development. Development has to be inclusive and flexible, which means that donors have to fully include receiving countries and adapt projects to national capabilities.<sup>152</sup>

Such a strong statement comes from the assumption that Capacity-building projects never provided long-lasting structures that countries can apply once external interventions are over. The attention given by the Bali Action Plan to specific actions of Technology Transfer, Mitigation, Finance and Adaptation, was not the same that Capacity-building received: to create capacities the focus cannot simply be on the specific goal of adapting, for instance, countries to CC. In order to obtain an effective cooperation and good results, methods of monitoring, reporting and evaluating should be proactively enacted.

This Group of countries believes that the Durban Forum is not adequately responding to their needs because the institutional arrangements discussed in the Forum are not followed and implemented. The problem arises because Capacity-building actions are carried out by Convention Bodies focusing on specific areas of competence and, because of this, programmes are not universally measured. Least Developed Countries are stressing the need of common baselines and indicators that a single body should use to keep track of the activities and their achievements. They are pursuing an institutionalization of the Forum and suggesting the creation of a Coordination Body which incorporates the Adaptation Committee, the Technology Executive Committee, the CDM Executive Board, the Standing Committee on Finance, the Consultation Group of Experts (CGE), the LDC Expert Group (LEG) and the Executive Committee (ExCOM) under the Warsaw International Mechanism on Loss and Damage.

The LDCs aim at the establishment of a *Capacity-building Coordination Committee* (CBCC) created under the Convention and its Kyoto Protocol to monitor and evaluate national and international activities of Capacity-building and

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<sup>152</sup> Deborah Eade, "Capacity-building: An Approach to People-centred Development", Oxfam, UK, 1997.



regulate the correct implementation of the Capacity-building Frameworks. Additionally, it should overview the organization of the Durban Forum and its success, which means: verifying the outcomes of the presented programmes, checking the information provided by Parties as the stage of implementation of the institutions in developing countries, controlling the quality of the collaboration between the private sector and the institutions, following the Capacity-building efforts of developed countries at both national and sub-national levels to promote enabling environments in developing countries, evaluating the reason why the number of capacity gaps reported in NCs is still high and so on.

Is it also considered very important the advisory function of this body, which should assure advisory services to those developing countries continuing to register poor results and face considerable challenges.

The LDCs delineated a very precise vision of the Durban Forum and they insist on its formalization and qualification to actively intervene in the Capacity-building action. They proposed a work programme within the Forum that is here reported:<sup>153</sup>

- (a) Assessing current and future capacity needs for developing countries for the effective implementation of the Convention and KP
- (b) Reviewing provided and available support on capacity-building, since capacity-building is essential for effective implementation of the Convention, including provision of dedicated finance for capacity-building activities
- (c) Enhancing monitoring and evaluation of effectiveness of capacity-building by developing clear indicators and modalities
- (d) Establishing review mechanism for the support provided by developed country Parties to developing country Parties
- (e) Developing a process to assist developing countries to meet their identified needs of education, training, services and awareness through facilitating the

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<sup>153</sup> UNFCCC, “Information on activities undertaken to implement the framework for capacity-building in developing countries, and views on specific issues to be considered at the 4<sup>th</sup> meeting of the Durban Forum on the organization of that meeting and on the terms of reference for the third comprehensive review of the implementation of the capacity-building framework”, United Nations Office at Geneva (Switzerland), Bonn, Germany, May 2015, pg.6, <http://unfccc.int/resource/docs/2015/sbi/eng/misc01.pdf>

matching of resources with needs.

- (f) Establishing a permanent institutional arrangement for effective implementation and monitoring of all the activities on capacity-building including linkage between adaptation, mitigation, technology and financial system
- (g) Provisions for training (in further understanding the INDC's) and retaining experts in developing countries

Anyhow, it is worth stressing that the LDCs group warmly welcomed the establishment of the Forum and consider the annexed website Portal<sup>154</sup> a great tool to record programmes and achievements at the systemic, institutional and individual level.

What these countries want is a new and revised perception of the overall concept of Capacity-building, which, as they claim, is not receiving appropriate attention from the ADP. Given the importance of Capacity-building for developing countries, the LDC Group requires this topic to be in the new agreement with the adequate conditions and for this reason it is advancing the proposal of an International Capacity-Building Mechanism (ICBM)<sup>155</sup>, which has to include a coordination committee, an evaluation mechanism and regional centres for Capacity-building.

The '3rd comprehensive review of the framework for capacity-building under the convention and the Kyoto Protocol'<sup>156</sup> assessed the effects of the Capacity - building Framework and gave a greater vision about the effectiveness of the Durban Forum insofar.

In the second section of the paper, it is evaluated the work accomplished by the Forum and are repeated the indications to make the Durban Forum able to enhance Capacity-building and its monitoring.

In the first and inaugural meeting in May 2012, participants discussed the creation of a *snowball effect*, by which Capacity-building actions build upon themselves,

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<sup>154</sup> [http://unfccc.int/cooperation\\_and\\_support/capacity\\_building/items/7204.php](http://unfccc.int/cooperation_and_support/capacity_building/items/7204.php)

<sup>155</sup> Ibid, pg.6.

<sup>156</sup> Ibid, pg.7.

become broader and intensify their effects. According to Parties, exchanging good practices, monitoring and review are essential element to guarantee successful stories. It was considered how doing monitoring at the national level implies the inclusion of local communities in the process and as voices to be listened. It was previously remarked that in Capacity-building qualitative indicators are preferable, but in this occasion some participants recommended the use of both qualitative and quantitative measures. This is a clear example of discrepancy among theory and practice that is not always considered, because giving unfeasible suggestions could only foster future critics.

The second workshop was held in June 2013: in this meeting presentations from Parties, NGOs and IGOs were delivered to discuss the possible adaptation and mitigation actions to undertake. Parties had a chance to directly discuss Capacity-building matters with the bodies established under the Convention and its Kyoto Protocol.

The third meeting took place in June 2014 and Parties found the exchange of experiences and approaches extremely useful. Nevertheless, many non-Annex I Parties talked about barriers encountered at the institutional, systemic and individual levels to implement the Capacity-building framework. As it was reported in several NCs, key elements of CB are often missing: institutions are inadequate and the technical expertise is many times not sufficient. In the National Communication submitted by the Republic of Korea,<sup>157</sup> it was reported a wide range of constrains and challenges compromising Capacity-building actions. The country lamented the lack of permanent institutions to coordinate the correct implementation of the Convention and the inefficiency of the National Climate Change Office; as a consequence a National climate change plan had not been established yet. The country registered a lack of understanding about CC on the behalf of policy makers, furthermore, an appropriate institutional framework to prepare GHG inventory was not present and research institutions to develop adaptation measures were missing. Consequently, the absence of experts' system

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<sup>157</sup> “Dpr Korea’s Second National Communication On Climate Change”, submitted under the United Nations Framework Convention on Climate Change, National Coordinating Committee for Environment (NCCE), Pyongyang, 2012, <http://unfccc.int/resource/docs/natc/prknc2.pdf>

to forecast disastrous climatic events caused the inability to handle disasters. The Republic of Korea expressed also the need to develop a plan to implement the prescriptions of Article 6<sup>158</sup> since it was reported a very low quality process of education, training and raising of public awareness. This example was reported to give a general overview of which were the limits experimented by non-Annex I countries at the time of the third Durban Forum.

The LDCs concluded their submission making further observations on the possible ways to improve the effects of the Durban Forum on Capacity-building. Despite the actions undertaken, Capacity-building is still wrongly interpreted and the Durban Forum is inadequate. Here lies the subtle difference between what the Forum *is* and what this Group of countries *wants*. As it was stated at the very beginning of this work, the Durban Forum was ideated as a common ground of discussion that does not imply binding decision or strict guidelines. Therefore, claiming that the Forum is not playing the role of institutional arrangement, is somehow correct and at the same time erroneous because the Durban Forum was never thought as an institutionalized body.

Before the beginning of each Durban Forum, some related documents are prepared by the Secretariat and the SBI can take into consideration what has been provided to: undertake the annual monitoring of the implementation of the capacity-building framework; facilitate discussions at the next meeting of the Durban Forum on capacity-building; determine any further steps to support enhanced action on capacity-building”<sup>159</sup>.

At the end of the meeting the Secretariat prepares a final report containing a section named ‘Next Steps’. As every summary states: “The SBI may wish to consider the information contained in this report with a view to determining

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<sup>158</sup> United Nations Framework Convention On Climate Change, Article 6: education, training and public awareness, United Nations 1992.

<sup>159</sup> UNFCCC, “Information on activities undertaken to implement the framework for capacity-building in developing countries, and views on specific issues to be considered at the 4<sup>th</sup> meeting of the Durban Forum on the organization of that meeting and on the terms of reference for the third comprehensive review of the implementation of the capacity-building framework”, United Nations Office at Geneva (Switzerland), Bonn, Germany, May 2015, pg.9, <http://unfccc.int/resource/docs/2015/sbi/eng/misc01.pdf>

appropriate actions arising from it ”,<sup>160</sup> this principle is likewise applied to Parties and Bodies established under the Convention. The word ‘wish’ makes it impossible to misinterpret the meaning of this initial sentence.

Actions from the meetings are not mandatory and for this reason the Group is requesting the creation of formalized bodies within the Forum and common indicators for a global M&E.

Despite the disappointment and dissatisfaction expressed, the failure of Capacity-building and the inadequacy of the Forum are not commonly agreed. In the same document reporting the vision of the LDCs, there is the “Submission of Latvia and the European Commission on behalf of the European Union and its member states”.<sup>161</sup>

The EU approach towards CB is a very proactive and positive one, as the Annex to the document shows,<sup>162</sup> the Union supports a considerable number of CB activities and recognizes the vital importance of it for Climate Change actions. The EU adopts a bottom-up methods aiming at the involvement of every layer of the society and recognizes the importance of the peculiarities belonging to each single context.

It is essential to recognize that even during COPs, the EU plays the role of the highly committed and positive Party and maybe sometimes it tends to make too simplistic assumptions where other countries sees limits and tensions. Anyway, in this case, the Union and its Member States do also recognize the difficulties in M&E given by the multitude of activities of CB and the considerable number and extension of development programmes.

On the specific issue of the Durban Forum, the Union believes that its role plays an essential part in developing capacities because it gives a common space where

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<sup>160</sup> UNFCCC, “Summary report on the first meeting of the Durban Forum on Capacity-building”, Bonn, Germany, September 2012, pg.3, <http://unfccc.int/resource/docs/2012/sbi/eng/20.pdf>

<sup>161</sup> UNFCCC, “Information on activities undertaken to implement the framework for capacity-building in developing countries, and views on specific issues to be considered at the 4<sup>th</sup> meeting of the Durban Forum on the organization of that meeting and on the terms of reference for the third comprehensive review of the implementation of the capacity-building framework”, United Nations Office at Geneva (Switzerland), Bonn, Germany, May 2015, pg.12.

<sup>162</sup> Ibid.

to exchange lessons and ideas. Additionally, the Capacity-building Portal on the UNFCCC website, has been highly appreciated: it is an innovative and efficient device to monitor Capacity-building initiatives. The EU is also collaborating with the bodies established under the Convention to meliorate the outcomes of the programmes.

In conclusion, the Union and its Members consider the Durban Forums to have been very useful insofar, for both Parties and organisations, as great opportunities to share best practices and ideas. The EU renovates its commitment to the Convention process and to the Durban Forum, promoting partnerships with other countries to implement appropriate mitigation and adaptation actions.

When the ADP met at its second session, between, 8–13 February, in 2015 Geneva, it delivered the negotiating text which is recognized by all the Parties and should be adopted in December 2015. The text includes some news for Capacity-building that it is worth mentioning, especially after the analysis of the informal documents delivered by the LDCs.

In the section for Capacity-building, it is reminded the commitment in building on previous and ongoing work and lessons learned from current institutional arrangements on Capacity-building established under the Convention. It is included the Durban Forum on Capacity-building<sup>163</sup> and it is then mentioned the ‘International capacity-building mechanism’.

As it follows in the next paragraph:<sup>164</sup>

“The purpose of the international capacity-building mechanism under this agreement, funded through the Financial Mechanism of the Convention and linked to technology- and adaptation-related institutions established under the Convention, shall be to enhance the capacity of [developing country Parties] [Parties not included in annex X] to plan and implement mitigation and adaptation actions, including human skills development for the strengthening of domestic

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<sup>163</sup> Work Of The Contact Group On Item 3, “Negotiating Text: Advance Unedited Version”, Geneva, Switzerland, 12 February 2015, pg. 56, par. 63, [https://unfccc.int/files/bodies/awg/application/pdf/negotiating\\_text\\_12022015@2200.pdf](https://unfccc.int/files/bodies/awg/application/pdf/negotiating_text_12022015@2200.pdf)

<sup>164</sup> Ibid, pg 56, par. 63.1

institutions, technology innovation and the development of endogenous technologies, and to make a structured assessment of the capacity needs of [developing countries] [Parties not included in annex X] and match them with support”.

It is then reported what possible bodies could be established: a Capacity-building committee or a coordination centre.

The former should: measure, report and verify the support received by developing country Parties, ease the enacting of Capacity-building interventions at the national and regional levels, provide normative guidelines to inform other institutions and mechanisms established under the Convention that serve this agreement, promote coherence between relevant institutions and mechanisms established under the Convention and this agreement, promote the facilitation of to elaborate plans and strategies for developing country Parties in order to achieve climate resilience and sustainable development trajectories in accordance with their national priorities and legislation.<sup>165</sup>

The latter, instead, is meant to: foster cooperation on Capacity-building and to enhance and support capacity-building, assist developing countries in areas of capacity building consistent with their respective capabilities and national circumstances and priorities, make a compilation of information, from relevant sources, including from the comprehensive review and the outcomes of the Durban Forum, analyze information to identify gaps and needs and other relevant trends, develop and disseminate tools and methodologies for the enhanced delivery of Capacity-building development of tools for measurement, reporting and verification (MRV) of Capacity-building, match possible sources of Capacity-building support from governments, the private sector, intergovernmental organizations, academic institutions and non-governmental organizations.<sup>166</sup>

Additionally, it is considered the possibility of establishing: an evaluation mechanism to assess the effectiveness of the delivery of Capacity-building,

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<sup>165</sup> Ibid, pg. 56 par. 63.2a (Option a)

<sup>166</sup> Ibid. (Option b)

regional centres and an institute to operate as a consortium of institutions in all major regions of the World.

Chances that this ICBM is created are quite high and in this case, the role of the Durban Forum might need a little rethinking. It is necessary to remember that the action of the Forum cannot be completely institutionalized, since its undeniable nature is to be a forum of discussion and could only provide food for thought to the Committee.

Nevertheless, it would surely be incorporated under the umbrella of the mechanism and could have new functions.

It can be concluded that developing countries are rightly claiming to obtain a good level of institutionalization of Capacity-building and the decisions that will be probably adopted in Paris, will mark a great turning point.

Anyway, besides specific methodologies, there are many widely used processes to share points of view, to summarize and internalize lessons and to generate new conclusions. Workshops, conferences and forums generate new awareness about capacity development processes and give good triggers for reflection. Thanks to these occasions, different stakeholders get together and draw innovative frameworks of Capacity-building.<sup>167</sup> In the next chapter, the starting assumption will be that the Durban Forum cannot provide the monitoring and evaluation measures that countries are asking for and cannot produce mandatory outcomes. The following step will be to deepen what alternatives can be attained.

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<sup>167</sup> Nigel Simister and Rachel Smith, "Monitoring and Evaluating Capacity Building: is it really that difficult?", Praxis Paper 23, INTRAC, January 2010.



## 4 Rethinking monitoring and evaluation

The previous chapter inevitably brought to the conclusion that there is no common way to monitor Capacity-building and without general baselines, countries have to autonomously conduct their assessment processes.

What has been contested to the Durban Forum depends on erroneous perceptions and recognizing it, can make great difference.

The solutions that developing country Parties are looking for, can hopefully be integrated in the new binding text of Paris, whereas the role of the Forum does not change, it just needs some rethinking.

M&E do not necessarily mean to follow pre-established guidelines; comparison through dialogue can be equally effective. Evidence showed that sharing practices through direct confrontation could be more useful than ‘exchanging documents’.<sup>168</sup>

This Forum has been designed to promote informed dialogue and to help countries understanding what to meliorate. Besides, it helps organizations and private entities to identify needs, gaps and barriers. It has the same relevance for the bodies established under the Convention that can bring their experiences and adjust their strategies. Last, but not least, the Forum provides an annual overview to the Secretariat about overall progresses in CB. Dialogue among Parties is a soft manner to keep track of progresses and to improve the monitoring and review of CB in the international CC system. Every year, participants coordinate their efforts to give relevant presentations.

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<sup>168</sup> Jeffrey Cummings, “Knowledge Sharing: A Review of the Literature”, The World Bank, Washington, D.C, 2003, pg13, [http://ieg.worldbank.org/Data/reports/knowledge\\_eval\\_literature\\_review.pdf](http://ieg.worldbank.org/Data/reports/knowledge_eval_literature_review.pdf) ; Galbraith, C. S. (1990). “Transferring core manufacturing technologies in high technology firms,” California Management Review, 32 (4): 56-70.

## 4.1 Participatory dialogue and share of knowledge

As Fukuda-Parr and Hill claim, in this network era common platforms and forums are new ways to enhance the active participation of developing countries.

The authors continue by saying that globalization is setting new targets and speeding the way CB knowledge can be exchanged. New tools to obtain information, like online workshops and portals, are leaving conventional cooperation models behind. Thanks to new technology systems, transnational cooperation is increasing and there is a consistent flow of information among experts, researchers, governments and societies.

Forums permit direct interaction, knowledge sharing and exchange of experiences. Stakeholders can get together and update each other about the progresses they achieved.<sup>169</sup>

Nevertheless, knowledge sharing is anything but a simple process of communication, it is a learning system related to innovations that can be adapted and applied locally.<sup>170</sup>

According to Quinn, Anderson and Finkelstein, knowledge sharing goes beyond the simple *know how* and looks for the *know why*, which means understanding the entire system.<sup>171</sup>

The essence of this dynamic process is the enhancement of technology transfer, which means empowering developing countries in adaptation to new tools.<sup>172</sup> Given the length and complexity of this objective, Ellerman, Denning and Hanna, suggest shifting from a simple *North-South transfer of knowledge*, towards a *facilitation of knowledge sharing*.<sup>173</sup> Once knowledge sharing has been

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<sup>169</sup> Sakiko Fukuda-Parr, Carlos Lopes, "Capacity for Development: New Solutions to Old Problems", Earthscan Publications Ltd London and Sterling, Virginia, UNDP, 2002, <http://sakikofukudaparr.net/wpcontent/uploads/2013/01/CapacityForDevelopmentBook2002.pdf>.

<sup>170</sup> Nelson, R. and Rosenberg, N., "Technical innovation and national systems," chapter 1 in R.R. Nelson, R. R., editor, National innovation systems: A comparative analysis, 1993, New York: Oxford University Press.

<sup>171</sup> Quinn, B., Anderson, P. and Finkelstein, S., "Leveraging intellect," Academy of Management Executive, 1996, pg. 7-28.

<sup>172</sup> Jeffrey Cummings, "Knowledge Sharing: A Review of the Literature", The World Bank, Washington, D.C., 2003, [http://ieg.worldbank.org/Data/reports/knowledge\\_eval\\_literature\\_review.pdf](http://ieg.worldbank.org/Data/reports/knowledge_eval_literature_review.pdf).

<sup>173</sup> Ellerman, D., Denning S. and Hanna, N., "Active learning and development assistance," Journal of Knowledge Management, 2001, pg. 171- 179.

implemented, Winter claims that it is vital to assure an effective re-creation carried out by recipients.<sup>174</sup>

To guarantee re-creation, it must be pursued a good process of internalization of the delivered information. They have to be accessible and easy to understand, so that users would be capable to adapt them to local needs.<sup>175</sup>

Ownership is a further key factor: recipients that feel a sense of belonging are more likely to be committed. When a good level of ‘personalization’ characterizes the implementation, stakeholders put all their efforts in the project. Lastly, the level of satisfaction with the package of information received is very important<sup>176</sup> because, as Barton and Deschamps affirm, satisfaction can reduce the level of resistance in adaptation and application of knowledge.<sup>177</sup>

It is now worth to mention the major aspects that influence knowledge internalization.

Firstly, the relational context is vital. It includes five different types of distance: organizational; physical; institutional; knowledge; relationship.<sup>178</sup>

Organizational distance suggests that different organizational structures among entities will impair the quality of the interaction, whereas similar structures can strength social ties, improve communication and enhance trust between the two parts. When these aspects are absent, there capacities of the recipient to absorb and adapt knowledge are deeply impaired.<sup>179</sup>

Singley and Anderson found that similarity increases the chances to make transfer

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<sup>174</sup> Winter, S. G., “Fours Rs of profitability: Rents, resources, routines, and replication,” in C. A. Montgomery, editor, *Resource-based and evolutionary theories of the firm: Towards a synthesis*, Norwell, 1995.

<sup>175</sup> Dixon, N. M., “Common knowledge: How companies thrive by sharing what they know”, Boston, Mass: Harvard Business School Press, 2000.

<sup>176</sup> Jeffrey Cummings, “Knowledge Sharing:A Review of the Literature”, The World Bank , Washington, D.C, 2003, [http://ieg.worldbank.org/Data/reports/knowledge\\_eval\\_literature\\_review.pdf](http://ieg.worldbank.org/Data/reports/knowledge_eval_literature_review.pdf)

<sup>177</sup> Leonard-Barton, D., “Implementation as mutual adaptation of technology and organization,” *Research Policy*, 1998, pg. 251-267.

<sup>178</sup> Jeffrey Cummings, “Knowledge Sharing:A Review of the Literature”, The World Bank , Washington, D.C, 2003, [http://ieg.worldbank.org/Data/reports/knowledge\\_eval\\_literature\\_review.pdf](http://ieg.worldbank.org/Data/reports/knowledge_eval_literature_review.pdf)

<sup>179</sup> Ibid.

happen at the individual level and at the organizational level as well.<sup>180</sup>

Physical distance can lead to some difficulties too. Direct interaction guarantees higher understanding and gives more space to questions, whereas large distances sometimes cause misunderstandings. Cohendet, Kern, Mehmanpazir and Munier assert that direct socialization can create a “common knowledge base that becomes part of the organizational memory”.<sup>181</sup>

Institutional distance starts from the assumption that countries have different institutional structures that influence the way knowledge is applied. As Kostova asserts: “When practices are transferred across borders, they may not ‘fit’ with the institutional environment of the recipient country, which, in turn, may be an impediment to transfer”.<sup>182</sup>

Knowledge distance refers to the existing knowledge gap between recipients and experts. Lane and Lubatkin identify this limit in the ‘relative absorptive capacity’,<sup>183</sup> this concept comes from the impossibility to completely assimilate the information. It happens when gaps of knowledge are considerably large.<sup>184</sup>

As a matter of fact, Dinur et al. remark the necessity to find some kind of knowledge alignment among the parties in order to gather satisfactory results.<sup>185</sup>

On the other hand, it must be noted that deep pre-existing knowledge could impair flexibility and lead to some rigidity in learning.<sup>186</sup>

Finally, relationship distance refers to the length of time and the quality of the interaction between the two parts. The quality of knowledge sharing could depend on social and strategic similarities: these two variables have great influence.<sup>187</sup>

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<sup>180</sup> Singley, M. K., & Anderson, J. R., “*The transfer of cognitive skill*”, Cambridge, Harvard Univ. Press, 1989.

<sup>181</sup> Cohendet, P., Kern, F., Mehmanpazir, B. and Munier, F., “Knowledge coordination, competence creation and integrated networks in globalised firms,” *Cambridge Journal of Economics*, 1999, pg. 225-241.

<sup>182</sup> Kostova, T., “Transnational transfer of strategic organizational practices: A contextual perspective,” *Academy of Management Review*, 1999.

<sup>183</sup> Peter J. Lane And Michael Lubatkin “Relative Absorptive Capacity And Interorganizational Learning”, John Wiley & Sons, Ltd, *Strategic Management Journal*, Vol. 19, 461–477, 1998, <http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.454.4347&rep=rep1&type=pdf>

<sup>184</sup> Ibid.

<sup>185</sup> Dinur, A., Inkpen, A. C. and Hamilton, R. D. (1998) “Knowledge transfer in the multinational corporation,” paper presented at the Academy of International Business, Vienna, Austria, 1998.

<sup>186</sup> Zaltman, G., Duncan, R. and Holbek, J., “*Innovations and organizations*”, 1973, New York: Wiley.

<sup>187</sup> Darr, E. “Partner similarity and knowledge transfer in English franchise organizations”, unpublished doctoral dissertation, Carnegie Mellon University.

Another important tool is the recipient context. As literature emphasizes, several features of the receiving organization/country have to be present.

Many authors (Dixon, Lyles and Salk, Szulanski) stress the role of learning capacities: the will to learn and the capacity to internalize knowledge are essential.<sup>188</sup> Glaser asserts that, if the package of shared information is not retained, commitment would not last and learning cannot be given for granted.<sup>189</sup>

Lastly, the environment where the share happens is vital for the success of the internalization process. All the previously listed factors are deeply influenced by the context in which the process takes place.<sup>190</sup>

Berthoin Antal focuses on the effort of representatives getting together in the same place and trying to understand the hosting country or the international organization. This implies accepting the host country environment and culture, and the so-called 'know-who',<sup>191</sup> which means knowing who is hosting the meeting and respect it.<sup>192</sup>

Context plays a key role in favoring good dialogue and enlarging participants networking, especially within international agencies.<sup>193</sup>

According to Cummings, these factors are all very relevant and permit to avoid complications and assure good internalization. Presentations and document sharing are important but not sufficient.<sup>194</sup>

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<sup>188</sup> Dixon, N. M., "Common knowledge: How companies thrive by sharing what they know", Boston, Mass: Harvard Business School Press, 200; Lyles, M. A. and Salk, J. E. "Knowledge acquisition from foreign parents in international joint ventures: An empirical examination in the Hungarian context," *Journal of International Business Studies*, 27 (5): 877-903, 1996; Szulanski, G., "The process of knowledge transfer: A diachronic analysis of stickiness," *Organizational Behavior and Human Decision Processes*, 82 (1): 9-27, 2000.

<sup>189</sup> Glaser, E. M., Abelson, H. H. and Garrison, K. N. (1983). *Putting knowledge to use*, San Francisco, CA: Jossey-Bass.

<sup>190</sup> Kim, L. and Nelson, R. R. "Technology, learning, and innovation: Experiences of newly industrializing economies", Cambridge University Press, Cambridge, UK, 2000.

<sup>191</sup> J. Barry Hocking Michelle Brown Anne-Wil Harzing, "A Knowledge Transfer Perspective Of Strategic Assignment Purposes And Their Path-Dependent Outcomes", *International Journal of Human Resource Management*, vol. 15 no. 3, pp. 565-586, January 2004, pg.11, <http://www.harzing.com/download/knowxfer.pdf>.

<sup>192</sup> Berthoin Antal, A. (2000). Types of knowledge gained by expatriate managers. *Journal of General Management*, 26(2), 32-51.

<sup>193</sup> Edström, A. & Galbraith, J.R. (1977a). Transfer of managers as a control and coordination strategy in multinational organizations. *Administrative Science Quarterly*, 22 (June), 11-22.

Paulus and Yang discovered that exposing brainstorming groups to other people ideas is a way to share knowledge that leads to the formulation of very innovative concepts.<sup>195</sup> In the same way, Stasser, Vaughan, and Stewart showed that ‘member– task networks’ affect knowledge transfer of groups. This study proved that in-group discussions focus more on the shared ideas rather than information that only some members possess.<sup>196</sup>

Taking part in international networks permits to relate local actions with global realities. It triggers mobilizations of every layer of the society and involves non-state actors in very important contexts. As, Deborah Eade states, networking in CB helps to share experiences and to create synergies

In the case of workshops, the scope is to bring people together to discuss common concerns and endorse ‘brain storming’ activities. These meetings have to be well planned in terms of space, time, funding and participants in order to guarantee useful outcomes to all the stakeholders. Different background, languages and cultures have always to be considered when setting up an international workshop. Here the hosting country/organization is highly committed in creating a constructive and reliable atmosphere.

When preparing a workshop it is important to establish themes, dialogue strategies, objectives and individuating good facilitators. Selection of participant has to be very accurate, working in the same field, does not automatically mean participation. Participants have to bring useful projects, examples and ideas; additionally, have to be able to work well with other members.<sup>197</sup>

Flexible workshops are more likely to be satisfactory because the ability to respond to unexpected difficulties could lead to creative ideas. Very often, these

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<sup>194</sup> Jeffrey Cummings, “Knowledge Sharing: A Review of the Literature”, The World Bank , Washington, D.C, 2003, [http://ieg.worldbank.org/Data/reports/knowledge\\_eval\\_literature\\_review.pdf](http://ieg.worldbank.org/Data/reports/knowledge_eval_literature_review.pdf).

<sup>195</sup> Paulus, P. B., & Yang, H-C. “Idea generation in groups: A basis for creativity in organizations”, *Organizational Behavior and Human Decision Processes*, 2000, pg. 76–87.

<sup>196</sup> Stasser, G., Vaughan, S. I., & Stewart, D. D. “Pooling unshared information: The benefits of knowing how access to information is distributed among group members” *Organizational Behavior and Human Decision Processes*, 2000, pg. 102–116.

<sup>197</sup> Deborah Eade, “Capacity-Building: An approach to people-centred development”, Oxfam GB, 1997.

informal meetings acquire formal importance since their final reports become crucial tools to be shared with other activities.<sup>198</sup>

Fukuda-Parr, Lopes and Malik, add that involving governments, organizations and civil society in national forums of knowledge sharing, enhances local accountability: it creates an important bridge among people and institutions. Additionally, it is a way to transparently monitor the implementation of plans.<sup>199</sup>

A very far-reaching example is the Australian Marine and Coastal Community Network (MCCN) launched in 1993 by the Australian Government. The Network is non-political and its neutrality allows the most disparate groups (state and local governments, experts, conservation NGOs, etc.) to use it as a device to disseminate information on Capacity-building in coastal and marine matters. While the Commonwealth Coastal Action Program of Australia formally executed formal approaches of Capacity-Building, the Network was a unique occasion meant to bring people with the same interests together. Bi-monthly newsletter, state level inserts and workshops are examples of ways to periodically inform each other. More than 8000 participants could share their lessons and experiences in coastal and marine matters. A full-time Regional Coordinator was hosted by an organization of every Australian state and its duty was to spread information and answer questions of the community. Hosting organisations included fisheries organisations, conservation groups and local government structures.

The thought of scholars and this final example, permit to convene that networking has different shapes and gives unique additional value to projects. Synergies and cooperation do not only help developing countries in coping with change, but also allow rich countries to help each other and meliorate their approach.

Conferences have great value as well; their formal nature makes them vital occasions to shape the development of new policies. In the specific case of UN environmental conferences, Haas observes that they helped governmental elites to

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<sup>198</sup> Ibid.

<sup>199</sup> Ibid, part 3: Knowledge.

become aware and acquire new competences to pursue a sustainable growth.<sup>200</sup> Many times, side events accompany UN conferences, in order to strengthen networking and trust building. For example, NGOs usually assist by setting up forums.

NGOs have been rapidly acquiring a key role for the UN and its agencies: they collect common opinions and act directly on the field to implement UN resolutions. This made NGOs extremely influential in the international community<sup>201</sup>

NGOs play as intermediaries in North-South relationship and take part in both main conferences that in related workshops. Anyway, there is a gap between southern NGOs and northern NGOs, mainly given by the connection with donors. The relationship of the latter ones is closer with funding entities and this give them easier access to conferences and better influence in policies building.<sup>202</sup>

As Zettler claims “ One barrier is the uneven access of NGOs from the North, or developed countries, versus the South, or developing countries. While the number of NGOs in consultative status from the South is increasing every year, the vast majority is from the North”.<sup>203</sup>

These considerations strengthen the statements of chapter number 2 about participation. It can be concluded that the formal and informal limits encountered by NGOs are seriously challenging equal participation. Anyway, when introducing the presentations given at the Durban Forums, it will be possible to recognize some inclusive progresses.

Finally, electronic networking gives simple access to databases and reports. Owing to what Rawassizadeh claims, new technology tools permit continuous

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<sup>200</sup> Peter M. Haas, “UN Conference and Constructivist Governance of the Environment”, *Global Governance*, 2002, pg. 73-91.

<sup>201</sup> Angela Zettler, “Ngo Participation At The United Nations: Barriers And Solutions”, Seton Hall University, December 2009.

<sup>202</sup> Deborah Eade, “Capacity-Building: An approach to people-centred development”, Oxfam GB, 1997.

<sup>203</sup> Angela Zettler, “Ngo Participation At The United Nations: Barriers And Solutions”, Seton Hall University, December 2009, pg. 5.



flow of information and bring a series of benefits to users.<sup>204</sup> For instance, Zimbardo and Lieppe believe that constant observation will modify actors' behaviors: as long as stakeholders know that they can be continuously observed, they will perform their best.<sup>205</sup>

A very good lesson is given by the 'WISE Coastal Practices for Sustainable Development'. UNESCO established this web-based forum of discussion in 1999 with the scope to compare ideal models with enacted strategies in order to identify the appropriate compromise. 21 programmes of coastal protection were initiated and monitored. Still in the area of coastal conservation, Parks et al. highlighted the necessity of learning networks to meliorate the communication among different projects, enhance the support to the ones acting on the field and identify best practices.<sup>206</sup>

Considerations made insofar permit to conclude that international networks of knowledge sharing can have a great role in tracking activities. In the specific function of the Durban Forum, it is very useful to report the statement of Hemmati:

“No matter which category of dialogue is being considered, the key question in this context is “how do we know that participatory dialogue is working?” It is argued that participatory dialogue processes, instead of suggesting already made tools for monitoring and evaluation, or applying predetermined objectives, indicators and techniques should include facilitating the development of M&E questions, measures and methods”.<sup>207</sup>

Such a comment is extremely relevant to the topic since it reinforces the core principle of this thesis. We can recognize the remarkable validity of forums in

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<sup>204</sup> Reza Rawassizadeh, “Towards sharing life-log information with society”, Taylor & Francis, Vienna, Austria, November 2012, <http://www.cs.ucr.edu/~rezar/files/papers/Towards%20Sharing%20Life-Log%20Information%20with%20Society.pdf>.

<sup>205</sup> Zimbardo, P.G. and Lieppe, M.R., “The psychology of attitude change and social influence”, McGraw-Hill, NY, 1991.

<sup>206</sup> Parks, Llewellyn, Dutton, Pomeroy, “Learning networks called for by conservation practitioners”, Intercoast Network, 2001, 38 pg. 69-86.

<sup>207</sup> Minu Hemmati, “Participatory Dialogue: Towards a Stable, Safe and Just Society for All”, United Nations. Department of Economic and Social Affairs, 2007, pg. 273.

enhancing participatory dialogues and specifically the assessment phase. Impulses given by questioning and investigating are great triggers to self-reflection, adjustment and re-implementation of strategies.

Nevertheless, it is worth stressing that the limit of these discussion meetings is the impossibility to measure their impact on the environment.

The dilemma lies in the complexity to obtain quantitative results about the effectiveness of physical and virtual meetings. Haas claims that expecting precise results from informal conferences and workshops would be unreasonable.<sup>208</sup>

Surely, where binding decisions are taken, the ways to keep track of impacts are multiple, but when it comes to discussion networks, evaluation barriers are consistent.

On the basis of what has been discussed insofar, it can be concluded that common measurements in Capacity-building do not exist and the effects of the Durban Forum are either not measurable. It has been commented how forums and other networks are facilitating the share of information and even the comparison of assessment methodologies. The scope of this thesis was to recognize evident barriers and re-address expectations towards the Durban Forum.

The next paragraph provides examples of some presentations given during the meetings. With the appropriate kind of interpretation, these kinds of information become extremely precious feedbacks about international Capacity-building actions.

## **4.2 Examples of lessons learned and shared experiences**

In this final section are considered some of the experiences and ideas discussed from 2012 until today in the 4 Durban Forums. Presenters from UN bodies, country Parties and organizations, talked about successful stories, but also about limits and challenges, giving a cause for reflection to all the participants. They discussed experiences related to the creation of enabling environments and

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<sup>208</sup> Peter M. Haas, "UN Conference and Constructivist Governance of the Environment", *Global Governance*, 2002, pg. 73-91.

assessment strategies for adaptation and mitigation actions.

#### **4.2.1 Session 1: youth participation**

During the first meeting of the Durban Forum, held in May 2012, Graham Reeder gave a presentation on adaptation, on behalf of the Youth NGO constituency (YOUNGO). Given the great number of young people in the developing world it is worth noting that LDCs give priority to youth and they invest a lot in young populations, the majority of their people. For this reason, the involvement and access of youth in NAPs is essential. The presenter talked about the action of the International Youth Climate Movement that works to improve networking among groups of activists to deal with climate. Most of the people involved are very young and participate in campaigns and negotiations giving great contribution to CB programmes.

Anyway, Mr. Reeder highlights that funds are usually unable to guarantee youth participation in international activities. CB negotiations are very important for every stakeholder and participation should always be guaranteed to motivate their future commitment in projects. For instance, in 2011 Norway financed southern youth attendance at COP 17. It was then introduced the work of Snigdha Kar, from the Indian Youth Climate Network, who teaches in schools to raise awareness on sustainable development. It is very frequent to have young people involved in this informal education programmes, the YOUNGO often provides extracurricular activities led by young people for children. Surely, the inclusion of climate change issues in official school programmes would be a great tool. In the mean time the organization continues to provide support to local communities. The second example was the radio programme 'Climate Talk', conducted by Ebrima Dem, from the African Youth Initiative on Climate Change in Gambia. It was reported that in one year the programme gave consistent support as a vehicle of information from policymakers towards communities. It also improved public involvement in adaptation activities.

The third case reported the work of the World Association of Girl Guides and Girl Scouts in Madagascar. Here the staff started to train women in agriculture and

teach them how to improve their quality of life. After that, women are supported in designing projects that could generate local incomes. Girl Guiding and Girl Scouting delivered a crucial service through informal teaching approaches, which sensitized young women to climate change and provided trainers with real-life experiences in climate adaptation and mitigation.

The final remarks concerned mainly financing. As a matter of fact, despite the work of volunteers, it was noted how CB activities are limited by the lack of financial support. Tom Lafford<sup>209</sup> provided information on financing to prove that GEF allocated only \$289.1 million to mitigation activities, while local governments, together with awareness campaigns, raised the majority of money. Economic support for adaptation activities is higher, but there is little improvement in results. The presenter considered also the urge to build clear PIs to measure effectiveness of specific projects and the need for a better coordination in CB.<sup>210</sup>

#### **4.2.2 Session 2: gender and climate change**

At the second meeting of the Durban Forum, in June 2013, a representative of the International Union for Conservation of Nature (IUCN) talked about the way the Union assists communities, specifically women, in climate change plans. They have been committed since 2007 in helping women's organizations to strengthen the relation between gender and climate change. IUCN, together with the Global Gender and Climate Alliance (GGCA) and other 83 United Nations organizations, has been leading a CB initiative to develop 12 national strategies. The project was conducted in countries as Nigeria, Egypt and Tanzania to empower stakeholders in the implementation of strategies and plans related to gender and CC. It was a good exercise to understand that national actors are vital for the success of these plans and to highlight the important linkage between gender and mitigation.

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<sup>209</sup> Fellow member Tom Lafford of UK Youth Climate Coalition

<sup>210</sup> Graham Reeder, "Leadership, Participation & Support YOUNGO", UNFCCC, Bonn, Germany, 22 May 2012, H 16.00, [http://unfccc.int/files/cooperation\\_and\\_support/capacity\\_building/application/pdf/5\\_youngo\\_reeder.pdf](http://unfccc.int/files/cooperation_and_support/capacity_building/application/pdf/5_youngo_reeder.pdf).

Right after the speech, a representative of Nepal introduced a practical example. She described Nepal as one of the most vulnerable countries from the climate change perspective. The speaker added that a census of 2011 registered only 57.4 % of Nepalese women to have received school education and 65 % of women working in the agriculture field. Additionally, the World Economic Gender Report has scored Nepal 126 out of 135 on gender gap.<sup>211</sup> This scenario shows how Nepalese women are usually marginalized and made even more vulnerable than other groups to CC. For this reason, the government of Nepal together with the Nepalese Ministry of Science felt the need to formulate a climate change Gender Action Plan (ccGAP). This plan enables women to make meaningful contributions to national climate change agendas. Anyway, some challenges are still encountered, as the limited time frame, the lack of human and financial resources and complexity of the subject.

Several questions were then addressed to the speaker, in order to clarify how to include women in CC processes. The representative remarked that ownership promotion is the best way to do it: for instance by sharing information and involving them in the design of each step of projects. A practical example was the 3 days workshop organized in Kathmandu to raise CC awareness of women from government, NGOs and INGOs. Discussions included CC linkage with gender, adaptation&mitigation measures, CB and National Communications. After three days, specific areas of intervention were identified.<sup>212</sup>

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<sup>211</sup> Ricardo Hausmann, Harvard University Laura D. Tyson, University of California, Berkeley Saadia Zahidi, World Economic Forum, "The Global Gender Gap Report 2011: Rankings and Scores", World Economic Forum Geneva, Switzerland 2011, [http://www3.weforum.org/docs/GGGR11/GGGR11\\_Rankings-Scores.pdf](http://www3.weforum.org/docs/GGGR11/GGGR11_Rankings-Scores.pdf)

<sup>212</sup> Meena Khanal, "Building Capacity of the Stakeholders for the Formulation of Climate Change Gender Action Plan (ccGAP) in Nepal", UNFCCC, Durban Forum, Bonn, Germany, 4 June 2013, H. 16.30- 16.50, [http://unfccc.int/files/cooperation\\_and\\_support/capacity\\_building/application/pdf/df2cbg01.pdf](http://unfccc.int/files/cooperation_and_support/capacity_building/application/pdf/df2cbg01.pdf).

### **4.2.3 Session 3: enabling environment**

The third session of the Forum was held in June 2014. The first part was dedicated to the enhancement and/or creation of enabling environments, which means assuring a set of conditions that meliorate CB performances.

Mr. Rawlestone Moore, the spoke person of the GEF, introduced cases of intervention to support countries in developing innovative approaches towards both adaptation and mitigation. GEF was able to reach and sensitize many high-level government officials about CC in order to promote country-driven projects.

The first presented case was the UNDP project of Coastal Afforestation in Bangladesh to reduce communities' vulnerability towards CC, by adopting a range of community-based adaptation interventions and strengthening the resilience coastal ecosystems. Activities promoted climate risk reduction, measures to be incorporated into coastal area management, revision of national policies and new adaptation policies for disaster management.

The intervention in Afghanistan aimed at enhancing adaptive capacity and reducing community vulnerability to CC through a better coordination of local and national institutions. The project concerned the integration of CC in relevant policies, concrete actions to meliorate water delivery and improvement of forecasting capacities.

In Mexico the World Bank implemented the 'High-Efficiency Lighting Project' (ILUMEX) to help local governments to switch to compact fluorescent light bulbs (CFLBs). Carried out activities were related to the development of institutional models promoting energy efficiency initiatives and to the provision of subsidies to apply innovative technologies.

In Egypt a solar thermal power project was carried out thanks to the usage of modern structures financed by private entities: Egypt developed large-scale renewable energy programmes. Its success showed the feasibility of hybrid solar thermal power generation and positioned the country as an international expert in the area.

These examples showed a range of implementation strategies aiming at scaling up local and national institutional capacities. Mr. Moore concluded by informing the Forum about CB support provided by the GEF: the cross-cutting capacity of the GEF in developing strategies proved to be extremely good at catalyzing efforts among different fields.<sup>213</sup>

#### **4.2.4 Session 4: Intended Nationally Determined Contribution on Climate Change**

On the second day of the 4<sup>th</sup> meeting of the Durban Forum, held in June 2015, some countries discussed good practices and challenges related to the preparation of INDCs.

In the case of Chile, Meike Sophie Siemens, from the Ministry of Environment, presented the draft preparation of the Chilean INDC, which required four months of public consultations.

She talked about the national circumstances of Chile, stressing the high vulnerability of the country in terms of CC impacts and the deep social inequities among the population. Because of CC, the lack of resources usually affects the most vulnerable layers of the society. When referring to building adaptation capacities, instead, Chile has valuable experiences and it is now facing the challenge, but also opportunity, to turn CC into a subject of study in universities. Online platforms for management and dissemination of information are provided to students and teachers.

Concerning technology transfer the country received significant international support. Nevertheless, to improve technology skills and develop a national strategy, more work is necessary. Although a relevant part of the national budget has been designated to technological development and CC mitigation, a consistent part of investment comes from international donors.

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<sup>213</sup> Rawlestone Moore, GEF, “Enhancement and/or creation of an enabling environment”, UNFCCC, Durban Forum ,Bonn, Germany, 12 June 2014, H. 11.15-12.20, [http://unfccc.int/files/cooperation\\_and\\_support/capacity\\_building/application/pdf/5\\_moore\\_nobio.pdf](http://unfccc.int/files/cooperation_and_support/capacity_building/application/pdf/5_moore_nobio.pdf)

Chile is completely lacking a CC finance strategy and it requires an evaluation of possible available funds to support climate action.

In terms of mitigation, three types of commitments were studied: deviation below a business as usual scenario (BAU), trajectories (in absolute values) and Emissions Intensity Goals (ton/GDP). Their INDC was finally framed with the last type of goal.

Apart from this, Chile has its own Forestry Sector goals. The country, with its own resources, will restore around 100.000 acres of deteriorated forestland with an estimated investment of US\$250 millions. The forest contribution, as dissociated from the GDP, aims at enhancing environmental attributes of forests and not only those ones that are purely business oriented.

The process to get to the final INDC was then presented: during the Climate Change Summit in New York 2014, the president of Chile mentioned that by the 17<sup>th</sup> of December the country would have presented its version for public consultation. The draft was reviewed and officially presented in June.

The presenter talked about the lessons learned for the INDC preparation process. Resources for its drafting and implementation are here reported: MAPS-Chile Project, Low Emission CB Project, inputs from the Chile's first Biennial Update Report, usage of Adaptation Plans and of NAMAs. These instruments put information and inputs together to take technical decisions.

The MAPS project is ongoing since 2012, it is highly important for the INDC and it involves hundreds of participants from NGOs, public and private sector. Through the help of 100 consultants, MAPS analyses possible scenarios of CC mitigation actions in Chile. It is a participatory action primarily conducted by the government and it is meant to provide a support to all the stakeholders involved in mitigation programmes. The project aims at providing quantitative scenarios for 2020, 2030 and 2050.

Technical resources gathered from the LECB-Chile project, permitted to update the GHG Inventory, design institutional arrangement for generic MRV



Framework and promote the ‘HuellaChile’ carbon management programme to foster mitigation action for the private sector. Additionally, Chile adopted a methodology developed by the UNDP to track public climate expenditure analysis (CPEIR methodology).

Regarding institutional arrangements, Chile believes that the participation of the President in the climate Summit in Lima was essential to push other ministries of the country to feel CC as a priority.

As a matter of fact, the Presidential mandate was indicating that the ministerial Council for Sustainability should be also called ‘Climate Change Council’ (this proves the up scaling of the subject). Chile has now a Climate Change Department from the Ministry of Environment as a coordinating body, they have CC focal points at the inter ministerial and regional levels, the INDC working group and a designed National Inventory System to deliver updated inventory values. The speaker reported that Chile received consistent support for the Forestry Sector Goals and specific contributions will be included in the report of Chile’s final INDC.

The representative concluded that 4 months of public consultations resulted extremely useful; they provided good feedbacks and new perspectives from other sectors and experts. Nevertheless, she remarked that this is just a first step towards CC Action plan implementation.<sup>214</sup>

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<sup>214</sup> Meike Sophie Siemens, “Building capacity for the preparation of INDCs”, UNFCCC, Durban Forum, Bonn, Germany, Monday 8 June 2015, H. 10.00-13.00, [http://customers.metafusion.com/wcm/150601\\_5044\\_UNFCCC\\_SB42\\_Bonn/download/6\\_Chile\\_rev.pdf](http://customers.metafusion.com/wcm/150601_5044_UNFCCC_SB42_Bonn/download/6_Chile_rev.pdf)

Given the information contained in these presentations, we can draw several conclusions. Apparently, for the funds matter, which is a very important concern for poor countries, things are moving but slow progresses are limiting GEF efforts in providing economic support. Despite the difficulties, actions of mitigation and adaptation (focal points of Paris) are ongoing and developing countries are demonstrating a growing commitment and will in adopting new technologies. Finally, the fight for inclusion in negotiations is always present and youth participation is a top priority of both countries and organizations. Simply by recalling what four presentations proved, it has been possible to give a quick and clear overview on CB activities. Attending all the meetings could give an extended version of what is showed here and could prove that countries exchanged comments on M&E strategies as well. Anyway, the main goal of this work was to demonstrate that answering questions as: “Where are we?” “Where are we going?” “How can we get there?” is just another way to monitor and evaluate Capacity-building.

## 5 Conclusion

In the first chapter it was retraced the history of Capacity-building and how to define this concept. Generally speaking, Capacity-building refers to the improvement of the necessary capacities to perform specific actions and achieve development goals.

In order to explain the complexity of capacity development, it was mentioned the division provided by Hildebrand and Grindle that showed the multidimensionality of Capacity-building and the strong interlink among dimensions. The shift in the Capacity-building perception was precisely given by its cross-cutting nature. As a matter of fact, the initial approach of developed countries followed only one path: the implementation of donor-funded projects. The failure of this strategy led to some rethinking right after the Cold war era and again in the mid 1990s. Evidence showed that Capacity-building is made of so much more than simple training. Thanks to the vision of some authors, it was concluded that fixing performance deficiencies only prevents locals from developing new capabilities.

Changes could not result from external impositions, while a good sense of ownership improves skills' development in every sector. Previous paradigms were extremely ineffective because they smothered country-owned initiatives and relied solely on external competences and technologies. New awareness led to the inclusion of recipients in every part of projects and to the strengthening of many different aspects of a country.

Good evidence was given by the UN study on six developing countries between 1980 and 1995. This process of evaluation provided very useful results: it was shown that every country is influenced by different variables. For instance, in some of the six countries, political corruption and instability became triggers for institutional reforms; while in others it resulted as an obstacle. Additionally, some of the observed nations registered negative growth rates, while others were economically flourishing.

Given this broad scenario, the UN designed ad-hoc strategies of intervention for each country, including aspects of budgetary revision, monitoring techniques and

policy reforms. The division between individual, organizational and systemic levels became more flexible and interchangeable: ministries and representatives of various agencies were pushed to work in an interdependent system to improve their performances. Capacity-building was rapidly perceived as complex reality made of human resources, public and private sphere dealing with poverty, climate change, maternal conditions, children care and many other problems. Mobilization of the social capital became a priority: feelings of inclusion and ownership were perceived as key factors for the success of CB.

In the same chapter it was discussed the growing importance of NGOs. Given the bottom-up approach that donors and agencies are pursuing, NGOs played a key role in communities' mobilization. These organizations have trans-national nature since they lie between societies, local governments and international organizations. NGOs can intervene simultaneously as domestic and international actors that put groups in contact in the name of common values.

An example of NGO was extensively analyzed with the Africa Climate Change Resilience Alliance (ACCRA). This organization was established in 2009 and works to enhance adaptive capacity of people in Ethiopia, Uganda and Mozambique. It aims to support national decision-making process with the scope of reducing vulnerability of communities. This alliance supports national consortiums to lead, design, co-produce and deliver integrated and specific context researches.

The last part of the chapter traced the history of the Durban Forum together with each development stage of the future legal accord on CC. Evidence showed that major difficulties could be found in the unbalanced role played by countries in each negotiating session. In Durban, in 2011, Parties finally decided to draft and adopt a legally binding text by 2015. In the same round of meetings, works on the text of the Durban Forum started: it was established that the Durban Forum would have met every year during the UNFCCC negotiating sessions as an occasion to share experiences and lessons learned.

In the second chapter it was addressed the core of this work. It was analysed the process of Monitoring and Evaluation of CB interventions. This phase is vital for

countries, donors and partner agencies because allows keeping track of processes and progresses in order to better orientate interventions. Monitoring is a continuous observation process, which gives results while the project is still on going. The aim is to guarantee the right functioning of the plan and to alert about deviations from the original set of objectives. Whereas, evaluation is the final stage that defines the quality of the project. These two passages are complementary and depend on a careful and clear planning and goals setting. However, despite the centrality that CB acquired in these last decades, measuring capacity is still an intrinsic issue because it depends on several aspects that hardly permit to elaborate a unique method.

Scholars report that in developing countries the urge to improve performances is notably increasing and, in order to do it, it is necessary to design effective ways of M&E. Many governments are trying to meliorate the measurement strategies of their programmes because most of the external agencies tend to report only their results rather than general outcomes and information are not always reliable.

Researchers accepted the new call with enthusiasm, but their approaches are now split in two schools of thought. For example Bertha Briceño, who studied three countries of Latin America (Mexico, Colombia, Chile), got to the conclusion that M&E strategies have to be tailor-made. Results showed that lessons from other countries can be useful, but no model can be exported the way it is. External variables and specific circumstances could affect the evolution of the method.

On the same way, another scholar stated that countries are extremely different in terms of development, local policy and many other variables. For this reason the analysis will always be different, likewise recommendations.

The vast majority of literature got to the same conclusion. Anyway, some general steps could be taken into consideration, as the ones provided by the USAID, which designed a Six Steps box specifically addressed to monitor CB. In conclusion, good practices of M&E can be outlined but setting standard measures is risky because it might lead to wrong conclusions. Each context is different and global criteria seem unthinkable.

Another very relevant aspect, related to M&E strategies, is referred to indicators: tools that help in the identification of capacities, weaknesses and achievable goals. Within the chapter, it was made a clear distinction between capacity indicators and performance indicators. Capacity and performance are complementary but not alike. A performance can be a good measure for capacities but the relation is not linear: as a matter of fact, a performance can be poor even if people have good capabilities. Generally speaking, several difficulties arise when building indicators. This is exemplified in the reciprocal influence of each CB level. It was finally stated that generalizations should be avoided again. Tracing generic indicators is not possible; they need to fit the single case. Pre-existing indicators based on the same organizational ratio can be adopted, but it is then necessary to readapt them to the new case. Many models have been developed but it has been demonstrated how application depends on single cases. What is needed are data, lessons and useful information in accessible forms for all the stakeholders, in order to develop new tools.

In 2007 and in 2008, the UNFCCC held two workshops to discuss M&E and the development of common indicators. The share of experience and challenges led to the conclusion that it was not possible to adopt common performance indicators to assess CB programmes. Participants recognized that no single approach towards M&E could be applied and that the designing of methodologies has to be country-based. Additionally, there was common agreement on the complexity in the identifications of common indicators and that their use is often quite limited because making generalizations is not possible. Indicators have to be tailor-made, because they are subjective tools of a nation, however countries are still encountering difficulties in obtaining national performance evaluations because aggregating performance indicators at the project-level is not an easy task.

The only exception was the Expert Group on Technology Transfer, which delivered a report in 2009 on performance indicators in TT.

The methodology used aimed to check in which measure changes can be attributed to the technology transfer policies. The adopted strategy led to the

conclusion that the process of development of PIs is possible in this field, whereas for other broader areas, as CB, it is quite complex.

In 2015, as the adoption of the legally binding text is approaching, developing countries felt the urge to renovate their requests. In June 2015 they submitted some important considerations concerning the development of performance indicators and added observations about their vision of the Durban Forum. In this section of the chapter it was explained what Least Developed Countries are complaining for and what they are suggesting. The LDCs strongly believe that in order to obtain effective cooperation and good results, methods of monitoring, reporting and evaluating should be proactively enacted. These countries are stressing the need of common baselines and indicators that a single body should use to keep track of the activities and their achievements. It was suggested the establishment of a *Capacity-building Coordination Committee (CBCC)* created under the Convention and its Kyoto Protocol to monitor and evaluate national and international activities of CB and regulate the correct implementation of the CB Frameworks. Additionally, it should overview the organization of the Durban Forum and its success, which means: verifying the outcomes of the presented programmes, checking the information provided by Parties as the stage of implementation of the institutions in developing countries, controlling the quality of the collaboration between the private sector and the institutions, following the capacity-building efforts of developed countries at both national and sub-national levels to promote enabling environments in developing countries, evaluating the reason why the number of capacity gaps reported in NCs is still high and so on. Is it also considered very important the advisory function of this body, which should assure advisory services to those developing countries continuing to register poor results and face considerable challenges. The LDCs delineated a very precise vision of the Durban Forum and they insist on its formalization and qualification to actively intervene in the CB action.

It would be wrong assuming that there is a total rejection of the Forum. The Group, as the European Union, appreciates the possibility to take part to the meeting and to discuss programmes and ideas. Not by chance, it was reported the

statement of the EU, contained in the same document. The Union is highly committed in CB and welcomes the scope and the efforts of the Forum because it recognizes its utility. The mandate of the Durban Forum concerns monitoring and evaluating capacities in developing countries through dialogue and asking for formalization would undermine the mandate of this workshop.

Some requests will probably be adopted in Paris in December and the Forum could be invested with some new functions, but no institutionalization will take place. What has been contested to the Durban Forum depends on erroneous perceptions.

As a matter of fact, the third chapter started with the assumption that M&E do not necessarily entail to follow pre-established guidelines; comparison through dialogue can be effective as well. Evidence showed that sharing practices through direct interaction could be more useful than sharing formal documents.

In this network era, common platforms and forums for dialogue are new ways to enhance the active participation of developing countries.

Globalization is setting new targets and speeding the way CB knowledge can be exchanged. New tools to obtain information, like online workshops and portals, are leaving conventional cooperation models behind. Thanks to these new technology systems, transnational cooperation is increasing and there is a consistent flow of information among experts, researchers, governments and societies. Forums, instead, permit direct interaction, knowledge sharing and exchange of experiences. Here stakeholders get together and update each other about the progresses they achieved.

Anyway, knowledge sharing is not a linear process of communication, it is a learning system related to innovations that can be adapted and applied locally. Given the length and complexity of this scope, it is necessary to make sure that the receiving country is able to elaborate knowledge. Once knowledge sharing has been implemented, an effective re-creation must be enacted.



To guarantee a good level of internalization the delivered information have to be accessible and easy to understand, so that users will be capable to adapt them to local needs. Ownership is an additional factor: recipients that feel a sense of belonging are more likely to be committed. When a good level of 'personalization' characterizes the implementation, stakeholders will put all their efforts in the project. Lastly, the level of satisfaction with the package of information received is very important because satisfaction can reduce the level of resistance in adaptation and application of knowledge.

Another great tool is the recipient context, as literature emphasizes, several features of the receiving organization/country have to be present.

Many authors stressed the role of learning capacities: the will to learn and the capacity to internalize knowledge are essential.

Lastly, the environment where the share happens is vital for the success of the internalization process. All the previously listed factors are deeply influenced by the context in which the process takes place. Context plays a key role in favoring good dialogue and enlarging participants networking, especially within international agencies.

All these factors are vital and permit to avoid complications and assure good internalization. Presentations and document sharing are important but not sufficient.

In the chapter were described different kinds of networks designed to share knowledge, as electronic networks, informal linking activities like workshops and formal conferences with clear purposes. Taking part in international networking permits to relate local actions with global realities; it triggers mobilization of every layer of the society and involves non-state actors in very important contexts.

In the case of workshops, the scope is to bring people together to discuss common concerns and endorse 'brain storming' activities. Several studies showed that in-group discussions focus more on shared ideas rather than information that only some members possess. Exposing groups to other people ideas is a way to share knowledge that leads to the formulation of very innovative concepts. These

meetings have to be well planned in terms of space, time, funding and participants in order to guarantee useful outcomes to all the stakeholders. Different background, languages and cultures have always to be considered when setting up an international workshop. Here the hosting country/organization is highly committed in creating a constructive and reliable atmosphere.

Additionally, inclusion of governments, organizations and civil society in national forums of knowledge sharing, enhances local accountability: it creates an important bridge among people and institutions. It is also a way to transparently monitor the implementation of plans. That is to say that workshops can have a valid function of assessment, based on the provision of new impulses for questioning and investigating.

Conferences have great value as well; their formal nature makes them vital occasions to shape the development of new policies. In the specific case of UN environmental conferences, they helped governments to become aware and acquire new competences to pursue a sustainable growth. Many times, side events accompany UN conferences, in order to strengthen networking and trust building. For example, NGOs usually assist by setting up forums.

NGOs have been rapidly acquiring a key role for the UN and its agencies: they collect common opinions and act directly on the field to implement UN resolutions. Anyway, there is a gap between southern NGOs and northern NGOs, mainly given by the connections with donors. The relationship of the latter ones is closer with funding entities and this give them easier access to conferences and better influence in policies building.

Lastly, electronic networking gives simple access to databases and reports. New technology tools permit continuous flow of information and bring a series of benefits to users. Constant observation will modify actors' behaviours: as long as stakeholders know that they can be continuously observed, they will perform their best.

The conclusion of the chapter permitted to highlight that in addition to the limits in M&E methodologies, is not even possible to measure the impact of discussion meetings on the environment.

The dilemma lies in the complexity to obtain quantitative results about the effectiveness of physical and virtual meetings.

The scope of this thesis was to prove that common measurements of CB do not exist and it ended up by showing that neither the effects of the Durban Forum can be measured. The Forum facilitates the share of information about assessment methodologies but also about CB plans that could entail gender issues, youth inclusion and INDCs development. It is an occasion to monitor and compare reciprocal results but it will never produce strict guidelines or measurable results. The four reported presentations provided a general overview about the kind of discussions taking place every year. The limits of the Forum depend on both its informal mandate and the general barriers that international agencies are still unable to overcome. When adopting the right perspective, the Forum can provide one of the best feedbacks about international reality of Capacity-building.

# ANNEX I

## **Report of the Conference of the Parties on its twelfth session, held at Nairobi from 6 to 17 November 2006**

Addendum

### **Part Two: Action taken by the Conference of the Parties at its twelfth session**

#### CONTENTS

#### **Decisions adopted by the Conference of the Parties**

#### **Decision 4/CP.12**

#### **Capacity-building under the Convention**

*The Conference of the Parties,*

*Being guided by Articles 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 4/CP.9 and 9/CP.9,*

Recalling its decisions 2/CP.7 and 2/CP.10 calling on the Conference of the Parties,  
through the Subsidiary Body for Implementation, to regularly monitor the  
progress of the implementation of the capacity-building framework annexed to  
decision 2/CP.7 and the Subsidiary Body for Implementation to report to the  
Conference of the Parties at each of its sessions,

Recognizing that the purpose of regular monitoring should be to facilitate  
assessment of progress made, identification of gaps, and effectiveness of the  
implementation of the capacity-building framework and to support the  
comprehensive review,

Welcoming financial support from the Global Environment Facility as an operating  
entity of the financial mechanism in implementation of the capacity-  
building framework, while noting the need to provide adequate resources to  
support the effective implementation of the framework,

*Noting* the need for reporting on activities undertaken by multilateral, bilateral and private sector entities with respect to capacity-building pursuant to decision 2/CP.7,

*Reaffirming* that the first step of the monitoring was the establishment of the capacity-building framework,

*Acknowledging* that the implementation of the capacity-building framework is ongoing,

1. *Decides* that the following additional steps will be taken annually to regularly monitor the implementation of the capacity-building framework pursuant to decisions 2/CP.7 and 2/CP.10:

(a) Parties to be invited to submit information on the activities that they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10, which should include, inter alia, such elements as needs and gaps, experiences and lessons learned;

(b) The Global Environment Facility to provide a report on its progress in support of the implementation of the framework in its reports to the Conference of the Parties;

(c) The secretariat to produce a synthesis report in accordance with paragraph 9 of decision 2/CP.7, drawing upon information contained in national adaptation programmes of action, technology needs assessments and national capacity self assessment and the information contained in subparagraph (a) above;

(d) Parties to consider the Global Environment Facility report mentioned in subparagraph (b) above and the synthesis report described in subparagraph (c) above as a basis for regular monitoring and as a contribution to the comprehensive review of the capacity-building framework;

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2. *Requests* the secretariat to organize, before the thirteenth session of the Conference of the Parties, in collaboration with the Global Environment Facility and subject to the availability of resources, an expert workshop:

(a) To exchange views on experiences in monitoring and evaluation of capacity-building by Parties, and where relevant, multilateral, bilateral agencies as well as intergovernmental and non-governmental organizations;

(b) To discuss the work of the Global Environmental Facility with regard to the development of capacity-building performance indicators relevant for monitoring the implementation of the capacity-building framework;

3. *Requests* the secretariat to report on the outcome of the workshop for consideration by the Subsidiary Body for Implementation at its twenty-seventh session;

4. *Requests* the secretariat to develop a possible structured format for the synthesis report, for consideration by the Subsidiary Body for Implementation at its twenty-sixth session;

5. *Reiterates* its request to the Global Environment Facility, as an operating entity of the financial mechanism, to take into account the key factors for capacity-building as laid out in paragraph 1 of decision 2/CP.10 when supporting capacity-building activities in developing countries;

6. *Reiterates* its request to the Global Environment Facility to continue to provide financial resources to support the development of the information sources named in paragraph 1 (c), above, as appropriate, in accordance with decisions 2/CP.7, 6/CP.7, 4/CP.9, 2/CP.10 and 8/CP.10.

*7<sup>th</sup> plenary meeting*

*17 November 2006*

## **ANNEX II**

### **II. THE MARRAKESH ACCORDS**

#### **Decision 2/CP.7**

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

*The Conference of the Parties,*

*Being guided by Articles 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, paragraphs (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,*

*Recalling further its decision 5/CP.6, containing the Bonn Agreements on the implementation of the Buenos Aires Plan of Action,*

*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;

5.*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;

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

7.*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;

8.*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;

9.*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 to the Convention 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;

10.*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 paragraphs 9(b) and 9(c) above, and reporting to the Conference of the Parties at each of its sessions;



11. *Decides* to conduct a comprehensive review of the implementation of this framework at the ninth session of the Conference of the Parties, and every five years thereafter;

12. *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;

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13. *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 the framework annexed to the present decision with additional reference to priority areas for capacity building relating to the implementation of the Kyoto Protocol.

*8th plenary meeting*

*10 November 2001*

## ANNEX III

### **Report of the Conference of the Parties on its seventeenth session, held in Durban from 28 November to 11 December 2011**

Addendum

#### **Part Two: Action taken by the Conference of the Parties at its seventeenth session**

##### **VI. Capacity-building**

*Recalling* decisions 2/CP.7, 2/CP.10, 4/CP.12 and 1/CP.16,

*Also recalling* decision 1/CP.16, paragraphs 136 and 137, which request the consideration of ways to further enhance the monitoring and review of the effectiveness of capacity-building, and to further elaborate the modalities regarding institutional arrangements for capacity-building, for consideration by the Conference of the Parties at its seventeenth session,

*Reaffirming* that capacity-building is essential in enabling developing country Parties to participate fully in addressing the challenges of climate change, and to implement effectively their commitments under the Convention,

*Also reaffirming* that capacity-building should be a continuous, progressive and iterative process that is participatory, country-driven and consistent with national priorities and circumstances,

*Further reaffirming* the importance of taking into account gender aspects and acknowledging the role and needs of youth and persons with disabilities in capacity-building activities,

*Acknowledging* that capacity-building is cross-cutting in nature and an integral part of enhanced action on mitigation, adaptation, technology development and transfer, and access to financial resources,

*Noting with appreciation* the progress made across the bodies established under the Convention and the operating entities of the financial mechanism, including those agreed to in decision 1/CP.16, in integrating capacity-building into enhanced action on mitigation, adaptation, technology development and transfer, and access to financial resources,

*Also noting* decision 1/CP.16, paragraph 65, which encourages Parties to develop low-carbon development strategies or plans in the context of sustainable development, welcoming those Parties that have already begun the process of developing these strategies, and noting the important capacity-building outcomes that this process and related partnerships can provide,

*Further noting* that, while progress has been made, gaps still remain in addressing the priority issues identified in the framework for capacity-building in developing countries as contained in decision 2/CP.7,

144.*Requests* the Subsidiary Body for Implementation 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;

145.*Decides* that the Durban Forum should include as inputs, inter alia, any capacity- building elements contained in the reports prepared since the most recent session of the Durban Forum by the relevant bodies established under the Convention;

146.*Requests* the secretariat to compile and synthesize the reports prepared since the most recent session of the Durban Forum by the relevant bodies established under the Convention;

147.*Also requests* the secretariat to prepare a summary report on the Durban Forum for consideration by the Subsidiary Body for Implementation;

148.*Encourages* Parties to continue to provide information through the appropriate channels, including national communications, on the progress made in enhancing the capacity to address climate change;

149.*Invites* developing country Parties to report on progress made and measures taken in implementing and improving their enabling environments to build national capacity for mitigation and adaptation, and to include the needs relevant to enhancing the progress made on such measures in their communications on capacity-building priorities;

150.*Requests* the secretariat to continue to compile and synthesize the information provided by Annex I Parties and to summarize the information provided by non-Annex I Parties in their national communications and submissions, and to compile and synthesize information on capacity-building activities, including lessons learned, provided by the relevant bodies established under the Convention and by international and regional organizations;

151.*Also requests* the Subsidiary Body for Implementation, in its consideration of the third and subsequent comprehensive reviews of the implementation of the framework for capacity-building in developing countries, to include the reports of relevant bodies established under the Convention, as well as the summary reports on the Durban Forum referred to in paragraph 147 above, as additional inputs to these reviews;

152.*Encourages* the relevant bodies established under the Convention, including, inter alia, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Least Developed Countries Expert Group and the Global Environment Facility as an operating entity of the financial mechanism, to continue to elaborate and carry out work on capacity-building in an integrated manner, as appropriate, within their respective mandates;

153.*Recognizes* that there may be ways to further enhance the monitoring and review of the effectiveness of capacity-building;

154.*Decides* that, in addition to the topics outlined in paragraph 144 above, the first meeting of the Durban Forum, organized during the thirty-sixth session of the

Subsidiary Body for Implementation, shall explore potential ways to further enhance monitoring and review of the effectiveness of capacity-building;

155. *Also decides* that the financial resources for enhanced action on capacity-building in developing country Parties should be provided by Parties included in Annex II to the Convention and other Parties in a position to do so through the current and any future operating entities of the financial mechanism, as well as through various bilateral, regional and other multilateral channels, as appropriate;

156. *Requests* that the actions of the secretariat called for in this decision be undertaken subject to the availability of financial resources;

## **VII. Review: further definition of its scope and development of its modalities**

*Recalling* decision 1/CP.16, paragraphs 4 and 138–140,

157. *Reaffirms* that the review should periodically assess the adequacy of the long-term global goal, in the light of the ultimate objective of the Convention, and the overall progress made towards achieving it, in accordance with the relevant principles and provisions of the Convention;

158. *Confirms* that the first review should start in 2013 and should be concluded by 2015, when the Conference of the Parties shall take appropriate action based on the review;

159. *Agrees* that Parties will continue working on the scope of the review and considering its further definition, with a view to taking a decision at the Conference of the Parties at its eighteenth session;

160. *Also agrees* that the review should be guided by the principles of equity and common but differentiated responsibilities and respective capabilities and should take into account, inter alia, the following:

(a) The best available scientific knowledge, including the assessment reports of the Intergovernmental Panel on Climate Change;

(b) Observed impacts of climate change;

(c) An assessment of the overall aggregate effect of the steps taken by Parties in order to achieve the ultimate objective of the Convention;

(d) Consideration of strengthening the long-term global goal, referencing various matters presented by the science, including in relation to temperature rise of 1.5 degrees Celsius;

161. *Further agrees* that the review should be based on information from various sources, including the following:

(a) The assessment and special reports and technical papers of the Intergovernmental Panel on Climate Change;

(b) Submissions from Parties, national communications, first biennial update reports from developing country Parties and biennial reports from developed country Parties, national inventories, reports on international consultation and analysis, international analysis and review, and other relevant reports from Parties and processes under the Convention;

(c) Other relevant reports from United Nations agencies and other international organizations, including reports on emission projections, technology development, access, transfer and deployment, and reports on gross domestic product, including projections;

(d) Scientific information on the observed impacts of climate change, including that from reports coordinated by relevant regional and subregional agencies;

162. *Decides* that the review referred to in decision 1/CP.16, paragraphs 4 and 138, will be conducted with the assistance of the Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation, and that the work shall be supported by expert consideration of the inputs referred to in paragraph 161 above, inter alia, through workshops and other in-session and intersessional activities, as appropriate;

163. *Agrees* to further define, at its eighteenth session, the expert consideration of inputs referred to in paragraph 162 above, including the possible establishment of a review expert group, to provide technical support to the review;

164. *Decides* that the review should consist of several phases, including information gathering and compilation, technical assessment through the organization of workshops, technical studies and the preparation of synthesis reports;

165. *Requests* the subsidiary bodies to organize workshops, including for the consideration of the information referred to in paragraph 161 above;

166. *Also requests* the subsidiary bodies to report on their considerations and findings to the Conference of the Parties, which should address those considerations and provide any further guidance, as appropriate;

167. *Decides* that subsequent reviews should take place following the adoption of an assessment report of the Intergovernmental Panel on Climate Change or at least every seven years.

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