NCSA Regional Workshop Report

Colombo, Sri Lanka
8-10 November 2005

Global Support Programme
Capacity Development for global environmental management
**Introduction**

The Global Environment Facility (GEF) is supporting a programme to enhance countries' capacity to manage their global and national environmental issues. The first component is the National Capacity Self-Assessment (NCSA), a GEF Enabling Activity introduced in 2002 and implemented by UNDP, UNEP and the World Bank. In 2005, 150 countries were engaged in the NCSA programme.

The GEF, UNDP and UNEP established a joint Global Support Programme for the NCSAs, and through this mechanism have organised a series of workshops for NCSA teams in different regions.

20 Asian countries are participating in the NCSA programme: eight (nine including Mongolia) are nearing completion while 12 (11 excl Mongolia) are at early stages. A regional workshop for the NCSA project teams from these 12 countries was held in Colombo, Sri Lanka, from eight to ten November 2005. It was convened by UNDP and UNEP in conjunction with the Global Support Programme (GSP).

This is a report on the proceedings of the Colombo workshop. Abstracts from break-out groups and presentations made during the workshop are recorded in Annexes to the report.

**Workshop Programme**

The workshop brought together NCSA project directors and managers to work with the Global Support Programme and GEF Implementing Agencies, UNDP and UNEP on a set of learning-training objectives:

- To strengthen the NCSA programme in Asia and globally;
- To share NCSA experiences, techniques and lessons;
- To facilitate planning, implementation and completion of effective NCSAs.

The three-day programme introduced the GEF Strategic Approach to capacity building; reviewed progress being made globally in the overall NCSA programme; and worked systematically through the capacity assessment and planning issues facing countries undertaking the NCSA. Each country team considered the implementation of its project, shared experiences with other participants and developed its plans for completing the assessment and strategic planning process.

**Participants**

Refer to Annex I for the list of participants and contact details.

The participants included the following:

- NCSA managers in Asia that are at early stages of NCSA implementation\(^1\): India, Iran, Malaysia, Maldives, Pakistan, Sri Lanka, Timor Leste;
- Expert resource persons and partner agencies;
- GEF Implementing Agencies, UNDP and UNEP (global, regional and country offices);
- Global Support Programme to the NCSA program and GEF capacity building.

**Record of Workshop**

**Day 1 - Capacity Building, the GEF and NCSA**

The first day of the workshop comprised an overview of the NCSA programme in Asia and globally; a status report on the NCSA projects in each of the seven countries; a discussion on capacity for environmental management, and the challenges of the NCSA; and an introductory briefing on how to organise and implement an NCSA project.

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\(^1\) The remaining four early stage NCSAs, Afghanistan, Bangladesh, Nepal and Thailand, were not able to attend the workshop. Mongolia is an 'advanced-NCSA' country but was unable to attend both the Hanoi and Colombo workshops.
Session 1: Overview of the NCSA programme in Asia and globally

Refer to Annex II for the presentation.

The Coordinator of the GSP, Peter Hunnam, presented a summary of the development of the NCSA as the most extensive enabling activity supported by the GEF. He outlined the international context of the NCSA, including Multilateral Environmental Agreements (MEAs), the GEF and the Capacity Development Initiative. He also outlined the GEF Strategic Approach to capacity development, comprising the current NCSA programme (Pathway I); and three proposed Pathways subsequent to the NCSA: II - strengthening the capacity development components of regular GEF projects; III - targeted capacity development projects; and IV - LDC-SIDS country capacity-building programs.

Plenary discussion clarified the following points:

- NCSA follow-up, capacity-building actions can and should address individual Focal Areas/Conventions, and not be limited to just ‘cross-cutting’ issues.
- Co-financing is not required for the proposed Pathway III GEF capacity-building medium-sized projects (MSPs). However, partnership is important.
- The Resource allocation framework (RAF) is coming into effect for GEF biodiversity and climate change programmes in GEF-4.

Session 2: Status report on each NCSA project

Refer to Annex III for country reports.

Team leaders from 7 countries (India, Iran, Malaysia, Maldives, Pakistan, Sri Lanka and Timor Leste) presented status reports on the formulation and implementation of their respective NCSA projects. The reported progress of their NCSAs is summarised in Table 1.

### TABLE 1: NCSA Progress and Completion Plans in 12 Asian Countries

<table>
<thead>
<tr>
<th>Country/Activity</th>
<th>Formulation</th>
<th>Inception</th>
<th>Stocktaking</th>
<th>Thematic assessments</th>
<th>Cross-cutting analysis</th>
<th>NCSA Report</th>
<th>Action Plan</th>
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<tbody>
<tr>
<td>Afghanistan</td>
<td></td>
<td></td>
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<tr>
<td>Bangladesh</td>
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<tr>
<td>Mongolia</td>
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<td>May 2004</td>
<td>Jul 2004</td>
<td>Sept 2005</td>
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<tr>
<td>Nepal</td>
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<td></td>
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<td></td>
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<tr>
<td>Pakistan</td>
<td>Aug 2004</td>
<td>Nov 2005</td>
<td></td>
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<tr>
<td>Thailand</td>
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</tbody>
</table>

The progress review highlighted a number of common issues experienced by the NCSA teams:

- The NCSA is a challenging process to organise and carry out. There is a need for consistent and clear guidelines and technical assistance.
- It is difficult to ensure adequate effective engagement of stakeholders in the NCSA.
- Issues of "ownership" and management of the NCSA arise between government agencies.
Countries lack national consultants or experts with skills to support the NCSA process. NCSA projects have had to adjust to institutional and personnel changes in government during inception and implementation. It is essential but difficult to integrate the NCSA with other existing programmes and projects.

Session 3: Capacity to Manage Environmental Issues: the State-Pressure-Response Model

Refer to Annex IV.

Capacity development specialist Bill Carter introduced the concept of capacity for environmental management, using the "Pressure - State -Response" model. This led to a small-group exercise to analyse capacity needs by applying the model to a hypothetical environmental issue. A number of lessons for the NCSA were drawn from the exercise:

- The importance of recognising and engaging multiple stakeholders.
- The diversity of potential responses to a specific Pressure or issue.
- Using the resource kit as a guideline, and employing other analytical and planning techniques as required.
- The complex set of tasks involved in an NCSA requires the team to follow clear strategies.
- The importance of conducting adequate analysis of an issue before deciding on a specific response.

Session 4: Rising to the Challenges of the NCSA

Refer to Annex V.

IUCN's Regional Biodiversity Programme officer, Bhujang Dharmaji, outlined the range of opportunities and challenges facing the NCSA, by drawing on issues raised in the May 2005 edition of the IUCN BioLog Newsletter (Vol.5 No.1). These include the question of "mainstreaming"; using the NCSA as a tool for sustainable development; and linking at country-level with the Millenium Development Goals.

Session 5: Organising and Implementing the NCSA Project

The GSP Coordinator outlined how the NCSA Enabling Activity has been designed and administered. Each country's NCSA is a $200,000 GEF grant for a national team to implement an approved Project Proposal. NCSA project formulation and implementation is supported and administered by one of the GEF Implementing Agencies - UNDP, UNEP or, in the case of Nigeria, the World Bank.

A set of operating principles for NCSAs were specified by the GEF, and these have been incorporated into a common Resource Kit prepared by UNDP and UNEP. The latest version of this Kit was circulated recently as a .pdf file, and additional printed copies were handed out to participants in the Colombo workshop.

A range of questions and lessons on how exactly to implement, complete, evaluate and follow-up on the NCSA have emerged through the trials of the early NSCAs, and these are to be explored further and addressed through the Colombo workshop.

Day 2 - Implementing the NCSA

The second day of the workshop focused on the business of planning how to implement the NCSA. Sessions included, introducing the logical framework approach to structure the NCSA implementation plan; a plenary "brainstorming" exercise to determine the possible hierarchy of objectives for the NCSA; participatory evaluation of the NCSA project formulation and Inception; and small-group work to prepare NCSA implementation plans and work plans.

Session 6: NCSA Goals and Objectives - Brainstorming

The overall Goal to which the NCSA will contribute:
• To improve environmental governance in the country.
• Conservation and management of natural resources and the environment.
• To address environmental issues.

Additional ideas:
• To facilitate production in clean environment and to make our products competitive
• Efficient delivery of environmental improvement and improved social well-being
• Preserved environment, by preserving biodiversity, combating desertification and saving from hazards of climate change.
• To achieve the global Convention goals

Main objectives of the NCSA (expected results):
• To build capacity in the country to address priority environmental issues.
• To develop the required capacity for environmental management.
• To enhance country capacity in environmental management.
• To build capacity for global environment management.
• To identify national needs and priorities for capacity building in biodiversity, climate change and land degradation thematic areas.
• To identify the capacity needs of the three thematic areas in the country.
• To assess capacity needs and constraints in implementing national obligations of UN Conventions.
• To enhance capacity of stakeholders to implement MEAs
• To identify priority capacity needs for individual, institution and systemic levels.
• To develop capacity for sustainable management of the environment.
• To effectively plan and utilize GEF resources
• Comprehensive capacity building
• Establish linkages/ coordination with ongoing programs
• To emphasise the multi-dimensional importance of environment and effects of pollution.
• To prepare an action plan for prioritized capacity building
• To identify capacity constraints and plan actions to remove them
• To build the capacity to respond to any environmental disaster in time like earthquake and floods.

Session 7: Participatory Evaluation of NCSA Project Formulation and Inception

Refer to Annex VI for findings of the evaluation

The majority of NCSA teams who participated in Colombo had completed the tasks of NCSA project formulation and Inception (Step 1 of the NCSA implementation process). In small groups, participants evaluated the effectiveness and efficiency with which these stages had been completed.

Discussion of Lessons Learned
• GEF allows NCSA processes to be flexible, country driven exercises, not bound excessively by project administrative procedures.
• Bhutan provides one example of a country that produced its own guide and methodology for implementing the NCSA, during Inception.
• To engage stakeholders - by marketing the NCSA as benefiting different stakeholders – identifying win:win situations for each stakeholder participating in the NCSA process – promoting the NCSA project not in monetary terms but as adding value on top of current projects.
• To continually up-date and maintain relations with stakeholders, due to turnover of individuals - for better integration and buy-in.
• To emphasise the NCSA addressing national priorities, related to national obligations.
• To engage the three national focal points - for UNCCD, UNFCCC and CBD - relate the NCSA to current activities under the three Conventions, promote capacity building for each of the Conventions, and for synergetic links between them.
• Plan stakeholder consultations carefully – where, when and how; because of limited resources and time, need to strike a balance in engaging the stakeholders in a country.
• At the thematic phase, regional workshops could be conducted to make it more consultative.
• It is an effective use of NCSA project resources to train the implementing team and steering committee members; and to build linkages and partnerships outside the project.
• Where there is a lack of resource people to conduct the NCSA, use project funds to first train the people to support the project.
• It is useful for the NCSA to include a report writing workshop - adds value for stakeholders to attend the workshop - use the workshops to build capacity of stakeholders and the project team.

Session 8: Group Planning of NCSA Implementation

Refer to Annex VII for results of this group exercise

In the period following the Colombo workshop, the participating NCSA teams will be carrying out the main recommended Steps of the NCSA - Stock-Taking, Thematic Assessments, and Cross-Cutting Analysis. Working in small groups, participants reviewed the guidelines and instructions they had received, and planned how they would carry out the assessment work. Each group considered the purpose behind each Step; the results they might expect to obtain; tools available for use; difficulties that might be encountered; and lessons they would apply.

Each group prepared a generic plan for NCSA implementation.

Session 9: Lessons learned from Bhutan NCSA and from the Hanoi NCSA Workshop

Asian countries that have completed their NCSAs met in Hanoi in October 2005 and reviewed what they had achieved. The workshop compiled a group evaluation of the NCSA process, identifying the Positive and Negative lessons they were able to draw from it. The summary of lessons from Hanoi was presented to the Colombo workshop participants. (Refer to the NCSA Workshop Record from Hanoi, October 2005, for the detailed list of lessons presented).

The team leader from Bhutan NCSA, Karma Tsheiring, acted as a resource person for the Colombo workshop. He was able to share Bhutan’s experiences and lessons - based on having completed the NCSA - with the workshop participants. Discussion points are summarised below:

• NCSA Steering Committee - The Committee’s composition was based on the need to integrate the NCSA work plan into national development plans. Members included a state representative and representatives from the government civil service and treasury ministry. The Committee was chaired by the environment ministry. The Philippines provides another strong model, where the national Sustainable Development Committee serves also as the NCSA steering committee.

• Selection and size of the Working Groups (WGs) - Identification of the stakeholders and formation of WGs were conducted during the formulation phase. The generic rule for the WGs was five-seven representatives. The lead person in each WG was the focal point for the relevant Convention.

• Relative complexity of institutions in countries - There is a significant need to provide additional guidance on how best to organise the NCSA in countries that are large with complex arrays of stakeholders. In Iran for example, there are more than 200 universities and about 500 registered environmental NGOs. Mechanisms for effective information exchange and adequate engagement of stakeholders are crucial.

• Approval of NCSA Action Plans by government - It is important to determine in advance what level of government endorsement or ratification of the NCSA final report and Action Plan is required. The formal process may take considerable time in some countries, whereas the NCSA project is time-bound. Assistance may be required from the GEF or IAs to facilitate quicker approval of Action Plans by government. In Bhutan, the NCSA Capacity Action Plan is not a national government policy document, so the approval process is not so onerous.
DAY 3 - Developing the NCSA Action Plan

The third day of the workshop focussed on completion and follow-up to the NCSA, by preparing an effective Plan for capacity development in the country.

Session 10: Draft Guidelines for Preparation of the NCSA Action Plan

Refer to Annex VIII

The GSP Coordinator presented a set of draft guidelines on the preparation of an effective Action Plan at the conclusion of the NCSA. The following points were highlighted:

- Why prepare an Action Plan? What is it for?
- What is the overall goal of the action plan?
- What is the specific Purpose (main objective) of the CAP?
- Important properties of your action plan
- What should you call it?
- What should your action plan include?
- How should you prepare your action plan?
- Possible Priority Criteria for actions
- What sorts of Actions might be included?
- Implementation of the action plan.

Session 11: Preparation of National Capacity Development Strategies and Action Plans

Refer to Annex IX.

Workshop participants worked in their country teams to apply the guidelines to the task of preparing the NCSA Action Plan. Each country team developed a preliminary plan for carrying out this Step.

Session 12: Workshop Conclusion

A number of key issues had arisen during the course of the workshop. These were discussed and addressed in the following concluding remarks:

- Language: The NCSA project team should work in the language(s) that is the most useful for its members and the country. The GEF and IAs request translation of key output documents into English.

- Support: In order to position and use the NCSA to the greatest effect, draw on the Implementing Agencies, the Global Support Program, the GEF and its Country Dialogue process. Ask them for the specific assistance or guidance that you require. It is valuable for the NCSA programme overall if countries provide the GSP and IAs with copies of draft and final outputs for review.

- Adaptive Management: It is important to progressively adapt the NCSA Project - plan, structure, scope, duration - to suit the circumstances that are encountered in the country. It is a country-driven self-assessment of capacity needs, so ensure that the project is not a strait-jacket constraining what you need to do. Adapt the NCSA, of course, in consultation with the relevant IA office(s).

- Strategic Framework rather than Shopping List: The NCSA project should be used to plan and establish a "strategic framework" for systematic capacity development in the country. This could be a planned programme of CD actions, aimed at strengthening critical components of the system for environmental governance. The project could be used to "institutionalise the NCSA" by creating the programme management structure and initiating the programme's implementation.

- Problem Analysis in Planning: Make extensive use of Problem Analysis or Mapping tools, when developing the CD Strategy and Action Plan, and designing follow-up actions and projects.
• Integrated Approaches: The NCSA should not be implemented as simply another Enabling Activity, but as a mechanism for linking and integrating capacity development efforts across multiple focal areas and sectors. The national CD strategy should be planned to serve other relevant national strategies, and should be connected with other relevant programmes and projects.

• Substantive Cross-Cutting Objectives: Determine substantive cross-cutting issues and objectives - those that address environmental objectives under >1 MEA; rather than opportunities for achieving operational efficiencies - such as enhanced reporting, information systems or M&E to serve multiple MEAs.

• Remember the GEF Strategic Approach: the Action Plan should aim to strengthen CD in regular GEF projects; to use stand-alone CD projects to tackle critical system gaps; to guide Country Capacity Action Programs supported by the GEF in LDCs and SIDSs.

Session 13: Workshop Evaluation

Refer to Annex X.

Participants in the workshop filled in evaluation sheets with their assessment of the workshop arrangements and sessions. The results are collated in Annex X.

Country Clinics

Following the main workshop, the GSP Coordinator and IA staff held "clinic" sessions with individual NCSA country teams, to discuss any challenges or issues they are facing and steps they might take to overcome them.
ANNEX I

LIST OF PARTICIPANTS

INDIA
Sujata Arora
Additional Director for NCSA Project
Government expert on Biodiversity
Phone: +91 11 2436 4595
Email: Sujata@nic.in

Rajasree Ray
Deputy Secretary
Government expert on climate change
Phone: +91 11 2436 1223
Email: Rajasree.r@nic.in

Usha Rao
Programme Analyst
UNDP-India
Phone: +91 11 2462 8877 Ext. 251
Email: usha.rao@undp.org

Nayanika Singh
GEF Consultant
National NCSA Coordinator
Phone: +91 11 2436 9567, +91 98 1025 4814
Email: Nayanika.singh@nic.in

Silvio Simonit
Programme Officer
UNDP-India
Phone: +91 11 2462 8877 Ext. 262
Email: silvio.simonit@undp.org

IRAN
Alireza Esmaelizadeh
GEF Focal Point
Ministry of Foreign Affairs
Phone: +98 912 257 6127
Email: aesmaelizadeh@mfa.gov.ir,
aresmaelizadeh@yahoo.com

Asghar Mohammadi Fazel
National Project Manager
Phone: +98 912 125 1308
Email: Amfazel@gmail.com

MALAYSIA
Choong Poon Chai
Principal Asst. Secretary
Conservation and Environment Division
Ministry of Natural Resources and Environment
Phone: +603 2095 9122 Ext. 3332
Email: poonchai@nre.gov.my

Khairus Masnan Abdul Khalid
Principal Asst. Secretary
Conservation and Environment Division
Ministry of Natural Resources and Environment
Phone: +603 2095 9122 Ext. 3332
Email: khairus@nre.gov.my

Ginny Ng
Programme Officer
UNDP-Malaysia
Phone: +603 2095 9122
Email: ginny.ng@undp.org

PAKISTAN
Fazal Hakeem
Section Officer (Water)
Ministry of Environment
NCSA National Project Coordinator
Phone: +92 51 920 7950
Email: Fazalhakeem2@hotmail.com

Kalimullah Shirazi
Deputy Secretary (L/W)
NCSA National Project Manager
Phone: +92 51 920 2960
Email: kalimullahshirazi@hotmail.com

SRI LANKA
Senaka Basnayake
Thematic Consultant-Climate Change
Phone: +94 11 267 6259
Email: senakaba@yahoo.com

Jinie Dela
Thematic Consultant-Biodiversity
Phone: +94 38 559 0241
Email: jinni@sltnet.lk

Jagath Gunawardana
Legal and Policy Expert
Phone: +94 11 285 4781
Email: jqssa@mail.ewisl.net

Anura Jayathilake
National Project Coordinator
Phone: +94 11 288 7452
Email: ncsa@sltnet.lk

TH Karanatilleke
Capacity Development Expert
Phone: +94 11 286 3812
Email: tikirihk@sltnet.lk

KA Nandasena
Global Support Programme
Capacity Development for global environmental management

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Thematic Consultant-Land Degradation
Phone: +94 81 238 8354
Email: kanande@pdn.ac.lk

M. Watson
National Project Manager
Phone: +94 11 441 0236
Email: ncsa@sitnet.lk

TIMOR LESTE
Paula Lopes da Cruz
Deputy Project Manager
UNDP-Timor Leste
Phone: +670 723 1016
Email: hernani.silva@undp.org

Flaminio Xavier
Biodiversity Thematic Working Group Team
Leader
Focal Point for Biodiversity
Department of Energy
Phone: +670 723 1016

RESOURCE PERSONS
R.W. (Bill) Carter
Advisor
School of Natural and Rural Systems
Management
University of Queensland
Phone: +61 7 5460 1023, 1321
Email: wcarter@uqg.uq.edu.au

Bhujang Dharmaji

Senior Program Officer
IUCN Regional Biodiversity Programme, Asia
Phone: +94 11 471 0439
Email: rao@iucnsl.org

Karma Tshering
Program Officer
National Environment Commission
Kingdom of Bhutan
Phone: +975 2 323 384
Email: ktshering@nec.gov.bt

WORKSHOP ORGANISERS
Peter Hunnam
Global Manager
Global Support Programme
UNDP-GEF
Phone: +1 212 906 5348
Email: peter.hunnam@undp.org

Hiroko Sugimoto
Asso. Programme Officer
UNEP-DGÉF
Phone: +254 20 625 075
Email: hiroko.sugimoto@unep.org

Yumiko Yasuda
Portfolio Manager
RCU Bangkok
UNDP-GEF
Phone: +66 2 288 2729
Email: yumiko.yasuda@undp.org
ANNEX II

OVERVIEW – GEF STRATEGIC APPROACH, NCSA PROGRAM AND GLOBAL SUPPORT PROGRAM
ANNEX III

COUNTRY PRESENTATIONS ON NCSA STATUS

MALAYSIA

<table>
<thead>
<tr>
<th>Stage</th>
<th>Start – Completion dates (achieved or planned)</th>
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<tbody>
<tr>
<td>Completion of project document</td>
<td>December 2005</td>
</tr>
<tr>
<td>Project formulation</td>
<td>January 2006 – May 2006</td>
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<tr>
<td>Inception</td>
<td>June – July 2006</td>
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<td>Stocktaking</td>
<td>August 2006 – November 2006</td>
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<td>Thematic Assessments</td>
<td>December 2006 – March 2007</td>
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<td>Cross-cutting Analysis</td>
<td>April 2007 – June 2007</td>
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Output documents

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<th>Brief description of product</th>
<th>Current status of product</th>
<th>Final copies should be provided to GSP and IA</th>
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<tr>
<td>Proposal for GEF funding for NCSA</td>
<td>32 pages, word document</td>
<td>Draft</td>
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<td>Contents:</td>
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<td></td>
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<tr>
<td>• Background, context and related work</td>
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<tr>
<td>• Objectives and linkages to ongoing activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Project activities: (1. Establishment of coordination and support mechanism; 2. stocktaking; 3. thematic assessment; 4. national stakeholder round table dialogue; 5. in-depth analysis of priority areas and cross-cutting capacity needs assessment; 6. development of project report and action plans)</td>
<td></td>
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<tr>
<td>• Institutional arrangement (PSC, PMG, NPD)</td>
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<tr>
<td>• Schedule</td>
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</tr>
<tr>
<td>• Budget</td>
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INDIA

Background

- Significant in spite of tremendous capacity – potential GEF linkages
- Started in December 2004 with the aim of identifying capacity needs and constraints for global environment management in India
- Limited to three conventions – Climate Change, Biodiversity and Land Degradation but encompasses broader sectoral issues and inter-linkages
- Final output – NCSA National Action Plan

Institutional arrangement

- Overall management through the GEF Cell (NPD – IC Division, Ministry of Environment and Forests (MoEF), Government of India)
- NCSA Steering Committee chaired by Special Secretary, MoEF (three meetings held)
- Members include Joint Secretary level officers from concerned thematic divisions in MoEF, Department of Economic Affairs and UNDP India office

Status so far...

- NCSA Project Inception Workshop in Feb 05
- Focal points within MoEF and UNDP approved the ToRs and suggested the names of the experts/ institutions
- Final selection of the candidates done by NCSA Steering Committee in Oct 05

- Process of selecting consultants to prepare thematic and crosscutting reports will be finalized by end of Nov 05

Planned Timeline:

Nov 05: Issue contracts to thematic consultants

First week of Dec 05: Orientation (One day)
9 Dec 05 - April 06: Establish linkages & Stocktaking
May 06 - Aug 06: Thematic Assessment & Report
May 06 - 14 Oct 06: Cross-cutting Assessment & Report
15 Oct 06 - Nov 06: NCSA National Action Plan
Dec 06: Final NCSA workshop

Findings from Inception

- Objectives of Inception
- To launch the NCSA project and seek participation and commitments of all key stakeholders
- To create awareness on the NCSA approaches and tools
- To review the terms of reference developed for the 3 thematic and crosscutting divisions
- To agree on the common outputs of the NCSA process and action plan

Common Capacity Issues

- Technical and Technological (data, techniques,...)
- Institutional
Assessment of capacity level and function

<table>
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<th>Functions/level</th>
<th>Individual</th>
<th>Institutions, intra-institutions</th>
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<td>no</td>
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<td>Monitoring and evaluation</td>
<td>No</td>
<td>National level-yes, others-no</td>
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Challenges
- NCSA is a process driven project
- Motivational factors
- Multi-stakeholder participation and consultation
- Inter ministerial - interdepartmental coordination
- Core capacity not widespread (few experts/officials)
- Absence of knowledge management systems
- Limited resources
- Not keeping in touch with other NCSA teams
- Not much emphasis paid by Indian team on setting mutually acceptable deadlines and sticking to them

Opportunities
- Holistic capacity development
- Streamlined mechanism for implementation - better governance
- Effective coordination for resource mobilization
- Better Coordination a) Orientation day: on same wave length, mutually acceptable deadlines and work on report format; b) Monitoring and Evaluation – on a regular basis by all the core project participants; c) Email group at India level; d) Regular communication with other NCSA teams

IRAN
- NCSA is currently a new process related to the country.
- A national consultant was hired by UNDP to produce the project document.
- A national workshop was held to compare the process in preparation of the project document.
- Only recently was the project approved.
- The project team is experienced in implementing projects related to the three Conventions.
- A challenge in the process is to integrate the work operationally – to prepare projects that would be integrated and linked to the NCSA action plan; integration with other GEF projects; coordination arrangements with the different Ministries due to constant changes within the Ministries.

MALDIVES

Work plan

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<th>Time Frame (2005)</th>
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<td></td>
<td>Q1</td>
</tr>
<tr>
<td>Pre Assessment Activities (Establish PM team, PSC, TWG, NCSA Inception etc)</td>
<td>X</td>
</tr>
<tr>
<td>Assessment &amp; Prioritization (Baseline assessments, review reports, prioritization)</td>
<td></td>
</tr>
<tr>
<td>Detailed Assessments (In-depth sectoral assessments, develop action plans/activities)</td>
<td>X</td>
</tr>
</tbody>
</table>

NCSA Project Status
- Project document signed: December 2004
- Project Inception work started in January 2005
- Final Inception Workshop held in May 2005
- Presently undertaking the stocktaking

IRAN
- NCSA is being implemented under an Integrated Climate Change Strategy (ICCS) project
- National Adaptation Plan of Action (NAPA) Technology Needs Assessment (TNA)
- Project Implementation Unit set up
- Recruitment of project staff
- Institutional and office setup
- Establishment of Project Steering Committee
- Establishment of NCSA Technical team
- Work Plans developed

Project Management Arrangements
- Project implemented by: Ministry of Environment, Energy and Water (Project Office)
- Assisted by UNDP Country Office
- Project Implementation Unit Composition:
  - National Project Director - Abdullahi Majeed (Deputy Minister, MEC)
  - National Project Manager - Mizna Mohamed
  - Project Assistants - Mohamed Faizan & Hussain Nabeel

Implementation Structure
NCSA Steering Committee composition:
- National Commission for Protection of the Environment (NCPE)
- Focal Points of the UN Environmental Conventions,
- representatives from Government ministries/departments,
- UNDP
- Non-governmental organization.

NCPE
- Ministry of Environment Energy & Water
- Ministry of Planning & National Development
- Ministry of Atolls Development
- Ministry of Tourism & civil aviation
- Ministry of Health
- Ministry of Fisheries, Agriculture & Marine Resources
- Ministry of Transport & Communication
- Ministry of Housing and Urban Development

Others
- Maldives Association of Construction Industry
- UNDP
- Ministry of Communication Science & Technology
- Ministry of Finance & Treasury
- Ministry of Economic Development & Trade
- Maldives Fishermen’s Association

Stakeholders and Partners
27 key stakeholders identified for technical team; includes government, private sector and NGOs

A four member team identified as key management team with representation from:
- Project Manager
- Environment Ministry
- Ministry of Fisheries, Agriculture and Marine Resources
- Private sector

The team underwent a special training on integrated project implementation
Some of the training outputs include - methodologies, work plans

Inception – Highlights & Issues
- Difficulties in recruiting project staff
  - Lack of interested candidates
  - Lack of physical office space and facilities
  - Project implementation office is physically separate from home institution
  - Delays in getting project inputs/decisions
  - Changes in government structure and Environment Ministry (July and also in September 2005)
  - Changes in top level management, mandates etc
  - Institutional weakening
  - Administrative barriers
  - Changes to NCSA technical team members and steering committee

Natural occurrences – Tsunami in December 2004
- Changes in government priorities
- Limited human resources involved in tsunami related projects/assessments
- Difficulty in obtaining input from focal points and project teams
- Positive note – lots of assessments, capacity needs carried out for different sectors (marine, water, health etc)

Integrated Climate Change Strategy
- First attempt to undertake NCSA in an integrated manner with TNA and NAPA
- Complicated, no lessons learnt
- Resource and work duplication is minimised but it is a learning process → slow
- Easier to get input from stakeholders

Stock-taking
- Work is ongoing
- More difficult than initially anticipated
- Facing similar difficulties as Inception phase
- Limited human resources, time unavailability of focal points, changes in government structure; also lack of expertise and experience
- Expected to be completed end of November 2005

PAKISTAN

Has also initiated the NCSA process and faces the challenge of changes within the Ministry’s portfolio and offices.
TIMOR-LESTE

Project History
NCSA Draft Mid 2004
Approved GEF 22 Sep 2004
DOA 15 Oct 2004
DEX 23 March 2005
LPAC 15 Oct 2004
PRODOC 28 March 2005

Implementation Progress
2005 Outputs
Coordination and Inception
• Institutional arrangement (May 2005)
• National planning workshop (15 Sept 2005)
• ToRs of consultants for thematic assessment and cross-cutting analysis (Sep-Oct 05)

Stocktaking and Thematic Assessment
• Stakeholder consultation and quality control mechanism (Sep-Oct 05)
• Stock-take and thematic assessment

Achievements
Inception (completed - Sep 2005)
• PSC established (Dec 2004)
• PIE established (April 2005)
• Inception workshop (15 Sep 2005)
• ToRs of consultants for thematic assessment (Oct 05)
• Initial budget = 51,900.00/Revised = 26,700.00
• Total Expenditure = US$ 21,013.00

Sto-take and Thematic Assessment
• Thematic Working Groups established (Oct 2005)
• International Consultant selected - in hiring process
• National Consultants selected – in hiring process

Implementation Plan
Oct.05 - Feb.06: Stocktaking & Thematic Assessment
• Review conventions
• Prepare Stock-takes
• Id priorities within Them.Areas
• Assessment of capacity needs
March.06 - June.06: Cross-cutting Analysis
• Review Thematic Assessments;
• Id common issues & capacity constraints;
• Id priorities for indepth analysis;
• Assessment of capacity needs & opportunities for integrated CD.
July.06 - October.06: NCSA Document
• Review & consolidation of thematic assessment and synergies into NCSA Document and Action Plan

Highlights & Issues
• Report templates
• Project ownership – stakeholders are not very motivated
• Difficult in attracting international experts
• Scarce national experts
• Project might take slightly longer than 18 months as planned
Capacity assessment & acceding process to UNFCCC by GoTL
ANNEX IV

PRESENTATION ON CAPACITY AND ENVIRONMENTAL MANAGEMENT

What is capacity?
Capacity is the resources and processes that can be brought to performing a task (or achieving an objective).
Resources are the capitals that could be invested.
Capital is any resource that can be created or nurtured for sustainable benefit.

What is capacity?
This half-full glass has the capacity to take more drinking water!
But do I have the capacity to fill it?
I could fill it from a polluted stream!
But do I have the capacity to purify the water?
Do I have something to transport the water to my glass?
Can I get access to the stream?
Do I really need a full glass of water?
What I really want (and need) is a hamburger!

What capitals exist that give us capacity to do something?

Environmental (natural) capital
- a public good or part of a legally-protected asset in which parts are owned by the public
- the form of capital transformed to create financial and physical capital

Social capital
- includes community (networks, trust, networks, and shared values)
- determines a community's ability to address shared, explicit opportunities and be future-oriented
- it is not the sum of individual capitals. An individual's contribution is synergistic and potentiates others. Thus, it increases with use
- efforts to sustain and maintain them individual capacities are necessary to be raised into capital for the whole society

What capitals exist that give us capacity?

Financial capital
- readily convertible, transferable to existing resources
- amounts in the past and can be borrowed from the future
- built by using other forms of capital
- how can we best use it to benefit the environment and the well-being of humanity?

Physical capital
- includes infrastructure, equipment and technology
- often built from investing financial capital to convert natural capital
- the conversion process often involves impacts that create a decline in environmental quality
- but can be used to create other forms of capital

What capitals exist that give us capacity?

Human capital
- a subset of social capital
- useful because it emphasizes that individual knowledge and skills need to be considered separately when planning how to use the basket of capitals to achieve goals.

Knowledge capital
- a subset of human and social capitals
- it can be stored in physical, electronic and oral form
- if access to knowledge is eroded, distorted or never gained, community dysfunction and environmental decline follow

So the NCSA task is... (in my words)?
Identify what is the status of capitals in your country?
Identify what capitals are available for investment?
What capitals are needed to invest in achieving obligations?
What is the shortfall, and how might the international community invest its capitals?

Using a pressure-state-response framework for assessing capacity needs

In summary: capacity is about the ability to use, focus and invest capital to achieve goals.
So, the task is to plan how to do this.
Global Support Programme
Capacity Development for global environmental management
Regional Workshop Report
Colombo, Sri Lanka
8-10 November 2005

Some things that emerge that we need capacity to address
Policies & programmes – vision, legislation, plans
Implementation ability – resources, management systems
Knowledge – timely and useful information
Success measurement – monitoring and evaluation
Empowered communities – institutions, stakeholders, individuals
Systems – to link and facilitate

Breakout group Task 1
Applying the Pressure-State-Response model

Tasks
1. Define – Identify an environmental problem the group would like to address. What are the physical, social, economic and any other factors? What are the human activities that contribute to this problem? Who is affected, who causes the problem?
2. Response – How would you address the problem? What range of activities could be done? What is required to make this happen?
3. Capacity assessment
   4. What capacity needs exist to address the problem? What is needed to reduce the impacts from each cause of the problem?
   5. How would you know if the actions are having the desired effect? What is needed to make an assessment?

For each area of focus, where is there scope to share available capacity?

What are our capacity needs to measure and monitor?

What are our capacity needs to ensure responsive institutions?

What are our capacity needs to ensure informed policy?

What are our capacity needs to inform and mobilise?

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ANNEX V

PRESENTATION BY IUCN REGIONAL BIODIVERSITY PROGRAMME

Overarching Goal

- IUCN-Biodig is the regional newsletter to facilitate global thinking into local actions by plugging the policy spaces.
- Biolog-2005 addressed National Capacity Self Assessment for Global Environment Management (NCSA), an activity that is currently being implemented in about 147 countries across the globe.
- Biolog can be accessed through Global NCSA website (http://nassa.undp.org).

View from Gland

The view from gland section addressed some of the issues that are key to achieving sustainable development and considers NCSA as a vehicle towards this end. It raises some critical issues on achieving sustainable development at country level by setting a few challenges to address:

- What SD targets does the nation wish to achieve in the next year or decade?
- The role of multilateral and regional biodiversity activities under which a seemingly diverse set of challenges might be addressed more effectively, enhancing return on investment in capacity development.

View from Gland (contd..)

- What is the public health capacity that will be required to deal with changing health patterns under climate change?
- How well informed are water resources agencies on biodiversity issues?
- Are climate change scenarios considered by irrigation agencies while implementing long term strategies?
- What capacities will be required in the various agencies to address the three Rio conventions, even though their particular role may not be immediately obvious.

Perspectives

The Perspectives section addresses the role of institutional coordinating bodies as well as the role of NCSA in achieving synergies among Rio conventions. A few food for thought issues that come out from this section includes:

- Is systemic level coordination a better starting point?
- Does institutional coordinating bodies need enabling mechanisms to be effective?
- Is multi-stakeholder multi-sectoral policy-making body effective than an exclusive Government only multi-sectoral policy making body?

In-focus

The In-focus section features UNEP-GEF’s experience in implementing NCSA in about 35 countries across the globe. This section addressed the following aspects of NCSA:

- Design of the Assessment Process
- Assessment Inception
- Stocktaking and Profiling
- Thematic Assessments
- Cross-Thematic Assessment or Synergies
- Development and Endorsement of the Action Plan

Country round up

The Country round-up section covers status of NCSA implementation in:

- Bangladesh
- India
- Sri Lanka

Regional round up

Regional round up section covered UNDP-GEF’s NCSA implementation experience in Asia-Pacific and Europe addressing following issues:

- National benefits due to NCSA implementation
- Lessons learnt and best practice guidelines while implementing NCSA
ANNEX VI

GROUP REVIEW OF NCSA PROJECT FORMULATION

Lengthy process
- GEF has lengthy and complicated procedures
- Time consuming financial procedures
- The government has a lengthy process of approving projects
- Delay in approval – almost six months even after GEF approval

Too much preparatory work – ‘perfectionist’ approach
- A modal ministry should be identified to coordinate within the government and also to have a holistic approach.
- Bureaucratic complications
- Bureaucratic complications
- Multiplicity of cross-cutting issues
- Procedural hurdles in availing the formal window opportunity

Inadequate guidance and support
- No guidance on process at the time of formulation
- Obscurity of the components of various conventions
- Too much focus on concept without much clarity
- Project manager had trouble understanding relation between workplan and budget line in prodoc because was not involved in the formulation of the project.

Competition
- Institutional competition

Communication
- Inter-institutional communication constraints
- Intra-institutional communication constraints
- Lack of consultation with thematic divisions in Ministry.

Ownership
- Formulation should specifically be based on National circumstances
- Lack of country ownership.
- Lack of commitment
- Lack of commitment from government partners and follow-up.
- Focal point of Rio Convention in government should have been involved right from the initial stages of NCSA project.
- Low involvement/ consultation of others planning for key environmental plans/ programs
- Lack of awareness amongst the stakeholders
- Lack of interest by stakeholders.

Changes of personnel/ ministry
- Changes within the government leads to breakdown and delays.
- Turn over of government staff
- Restructuring of Ministry
- No continuity.

Lack of human capacity
- Unavailability of local consultants
- Lack of capacity to implement
- Lack of individual capacity within the Ministry
- Lack of stakeholder involvement and awareness

Difficulty in involving project team formulation
- All stakeholders should be involved from the beginning.

Language
- Major NCSA working language barriers in some countries.
## ANNEX VII

### GROUP PLANNING OF NCSA IMPLEMENTATION STEPS

#### Stocktaking – Group 1

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Planned Results/Outputs</th>
<th>Planned Actions</th>
<th>Tools to use</th>
<th>Issues expected</th>
<th>Lessons to learn</th>
</tr>
</thead>
<tbody>
<tr>
<td>To effectively conduct thematic assessment</td>
<td>List of obligations under each convention</td>
<td>Collect available data on capacity needs</td>
<td>Questionnaire surveys</td>
<td>Low response to questionnaires</td>
<td>Keeping names of mailing list</td>
</tr>
<tr>
<td>To learn from past capacity assessment</td>
<td>An evaluation Report on past and ongoing activities</td>
<td>Review existing documents and activities</td>
<td>Developing dynamic websites</td>
<td>Low participation to meetings</td>
<td>Sending books/Cds for NGOs</td>
</tr>
<tr>
<td>To access knowledge for Capacity Development</td>
<td>List of Major capacity gaps</td>
<td>Review of convention documents</td>
<td>Group discussion with stakeholders</td>
<td>Lack of interest and understanding in stakeholders</td>
<td>Providing free/cheap internet access</td>
</tr>
<tr>
<td>To identify capacity needs in stock taking exercise</td>
<td>Baseline appraisal report</td>
<td>To identify past/existing environmental issues</td>
<td></td>
<td>Lack of motivation and political will</td>
<td>Giving limited access to Uni Documents</td>
</tr>
<tr>
<td></td>
<td>Identification of key stakeholders</td>
<td>To review National Action Plans , legislation, policy, and programmes</td>
<td></td>
<td>Communication/technical barrier</td>
<td></td>
</tr>
</tbody>
</table>

#### Stocktaking – Group 2

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Planned Results/Outputs</th>
<th>Planned Actions</th>
<th>Tools to use</th>
<th>Issues expected</th>
<th>Lessons to learn</th>
</tr>
</thead>
<tbody>
<tr>
<td>To identify capacity gaps within the country to implement the three main Conventions.</td>
<td>Database/inventory on past and current CD initiatives in relation to Conventions. Establishing a baseline Evaluation/synthesis of the lessons learnt</td>
<td>To gather information on past and existing capacity building efforts with regard to conventions. Analysis of past and current capacity development initiatives.</td>
<td>Information issues:</td>
<td>Involvement of higher official in accessing data. Informal networking</td>
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<td></td>
<td></td>
<td></td>
<td>• Access to information • Quality and reliability • Dissemination/need for exchange • Time/cost/availability • Problems of documentation • Confidentiality/pricing</td>
<td>Mutual exchange</td>
<td>Experts from Country Offices sharing methodology/solutions</td>
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<td></td>
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<td>Too many stakeholders to consult.</td>
<td>Diverse sources of information – journalists etc.</td>
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<td>Difficult to understand the terminology of Convention requirements.</td>
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<td>Difficulty in capturing knowledge</td>
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<td>Data not shared/ lack of willingness of official/ lack of appropriate methodology.</td>
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</tbody>
</table>
## Thematic Assessments – Group 1

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Planned Results/Outputs</th>
<th>Planned Actions</th>
<th>Tools to use</th>
<th>Issues expected</th>
<th>Lessons to learn</th>
</tr>
</thead>
<tbody>
<tr>
<td>To identify priorities in each convention area</td>
<td>Status report on implementation of conventions</td>
<td>Review of what has been done</td>
<td>Questionnaire survey</td>
<td>Difficult to get stakeholder participation</td>
<td>Time management</td>
</tr>
<tr>
<td>To assess performance in implementing the conventions</td>
<td>Priority list of needs</td>
<td>Analysis of strengths and constraints on national capacity</td>
<td>Roundtable discussion</td>
<td>Lack of high level commitment</td>
<td>How to customize incentives to get participation</td>
</tr>
<tr>
<td>To identify gaps and opportunities for each thematic area</td>
<td>List of COP decisions related to the implementation of the conventions</td>
<td>Compare currently available data</td>
<td>Workshops</td>
<td>Lack of knowledge and capacity among stakeholders</td>
<td>How good communication supports the assessment</td>
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<tr>
<td></td>
<td>Validated list of priority environmental objectives</td>
<td></td>
<td></td>
<td>Lack of guidance</td>
<td>Sector-specific activities for different stakeholders</td>
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<td>Regional presence of the institution conducting the assessment</td>
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</tbody>
</table>

## Thematic Assessments – Group 2

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Planned Results/Outputs</th>
<th>Planned Actions</th>
<th>Tools to use</th>
<th>Issues expected</th>
<th>Lessons to learn</th>
</tr>
</thead>
<tbody>
<tr>
<td>To determine capacity needs to address the country’s priority objectives under each MEA</td>
<td>List of priority capacity needs for each MEA</td>
<td>Identify key focal points</td>
<td></td>
<td>Should we include other issues/Conventions other than Rio – ambitious process</td>
<td>Simplify Conventions for better understanding and involvement of stakeholders for integration with national development plans.</td>
</tr>
<tr>
<td></td>
<td>List of target groups for capacity building</td>
<td>Obtaining information from the focal points on Country priorities</td>
<td></td>
<td>Conventions have a lot of jargon</td>
<td>Relate local concerns to global concerns</td>
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<td></td>
<td>Review of existing capacity (to address priority objectives)</td>
<td>Linking priorities to capacity assessment/Review capacity needs already identified</td>
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<td>Existing assessments may not be broad</td>
<td>Use the existing assessments/local</td>
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<tr>
<td></td>
<td>Validated list of priority environmental objectives</td>
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## Cross-cutting analysis – Group 1

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<th>Planned Actions</th>
<th>Tools to use</th>
<th>Issues expected</th>
<th>Lessons to learn</th>
</tr>
</thead>
<tbody>
<tr>
<td>To identify common requirements for all conventions</td>
<td>List of common issues and prioritization</td>
<td>Review of thematic assessments</td>
<td>Develop templates for collecting and analyzing information</td>
<td>Lack of common understanding among the conventions</td>
<td>Devise a practical strategy for cross cutting issues at the implementatio n stage</td>
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<tr>
<td>To identify common needs</td>
<td>List of common capacity needs</td>
<td>Identify common capacity needs</td>
<td>Discussions among thematic groups</td>
<td></td>
<td>Thematic working group to nominate representative to cross cutting</td>
</tr>
<tr>
<td>To identify priority strengths and weaknesses</td>
<td>Efficient resource management</td>
<td>Report on priority linkages between national development needs and MEAs under each thematic area</td>
<td>Mini-workshop</td>
<td></td>
<td>Chose a method for the cross cutting</td>
</tr>
<tr>
<td>To address country specific issues dealing with</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>


Cross-cutting analysis – Group 2

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Planned Results/Output</th>
<th>Planned Actions</th>
<th>Tools to use</th>
<th>Issues expected</th>
<th>Lessons to learn</th>
</tr>
</thead>
<tbody>
<tr>
<td>To identify capacity needs for cross-cutting areas.</td>
<td>List of common capacity needs. List of new capacity needs out of cross-cutting issues.</td>
<td>To identify common capacity needs To identify: • Cross-cutting issues • Synergies/ linkages among the three Conventions</td>
<td>Identification issues: • The starting point for the cross-cutting analysis • Lack of information among stakeholder s. • Mechanism to identify the cross cutting issues. How to identify the stakeholders in the cross-cutting analysis. Lack of clear understanding of ‘cross-cutting’ issues.</td>
<td>Identification responses: • Use thematic assessments as the starting point. • Involvement of local and scientific communities for information. Sharing of best practices.</td>
<td></td>
</tr>
</tbody>
</table>
ANNEX VIII

DRAFT GUIDELINE FOR NCSA CAPACITY ACTION PLANNING

Why prepare an Action Plan? What is it for?
- To ensure effective and efficient “follow-up to the NCSA”
- To mobilise support for “environmental capacity development”

What is the overall goal of the action plan?
- Improvements in the management of global and national environmental issues

What is the specific Purpose (main objective) of the CAP?
- to establish country program of capacity development for environmental management

Important properties of your action plan?
- to serve its purpose...
- to reach its key audiences...
- to be grabbed, owned, used and sustained...

- a written picture, informative, clear, user-friendly, structured, succinct, credible, relevant, convincing, stimulating, sellable, practicable...

- strategic, programmatic, integrated, connected

What should you call it?

What should your action plan consist of, include?

Vision, goals, objectives, strategies
- Priority actions, planned results, targets, indicators
- A "logical program-project framework"
- Clear strategic connections to (all) other key strategic plans
- Detailed priority action plans; Some quick and easy actions

Implementation strategy - schedule, "partners" "implementers"
- Business plan
- Resource needs, inputs, costs
- Resource mobilisation plan - sources, scheduling

Plan management procedures - maintenance, supervision, administration, communication, monitoring, reporting, evaluation, review, revision

How should you prepare your action plan?

Plan your plan - who, what, when, how ?
- look at others
- identify how you can improve on them
- look at the strategic plans that your’s must connect with

Do it
- review your NCSA results
- revisit the Linkages Study and Stakeholder Analysis
- outline the proposed hierarchy of goal and objectives
- develop the framework of strategies
- develop the timeline
- "nestle in" the chosen priority actions
- progressively append the details...

Complete it Get it ratified Hand it over Get it promoted

Possible Priority Criteria for actions ?
- can be implemented quickly
- feeds directly into upcoming projects
- can be integrated into larger initiatives
- fits into line agency work programmes and budgets
- saves money
- is legally required
- is politically attractive

**What sorts of Actions**

in one thematic area/ Convention
cross-cutting for >1 Convention
integrated into other enabling activities or projects

at various levels:
- policies and legislation
- plans and strategies
- programmes and operations, or
- projects and activities.

with different time frames: short, medium, or long term.

involving diverse combinations of participants

with varying cost implications:
- low or no cost
- will save money
- will generate funds
- can be done through reallocating existing resources
- can be inserted and add-value to existing programmes, projects and work plans
- government and non-government bodies
- would require new financing.

**Implementation of the action plan**

- Approval and support
- Ownership and responsibility
- What body?
- Communication...promotion
- Mobilising resources
- Maintaining the ‘country program of capacity development’
- Monitoring progress, evaluating effectiveness, adapting the plan
**PRESENTATION OF COUNTRY PLANS**

**IRAN**

Goal: More effective implementation of RIO conventions

NCSA Objectives: Develop comprehensive capacity awareness and identification; and assessment of required needs and tools towards the overall goal of the project

AP objectives: To operationalize the elements explored in the NCSA process

Implementation mechanism for AP: Submission of the Action Plan to the High Council on Environment

Submission of the approved Action Plan to the Cabinet/Parliament, if required

**Stage of your NCSA:** Inception

**Objective:** Provision of needed facilities

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/Tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project staff</td>
<td>Recruitment process</td>
<td>Advertisement</td>
<td>4 weeks</td>
<td>NPD</td>
</tr>
<tr>
<td>Provision of office space</td>
<td>Negotiation with candidate institutions</td>
<td>Financial constrains Insufficient commitment of institutions</td>
<td>6-10 weeks</td>
<td>National Coordinator</td>
</tr>
<tr>
<td>Provision of Equipment</td>
<td>Purchase</td>
<td></td>
<td>2-3 weeks</td>
<td>Project team</td>
</tr>
<tr>
<td>PCC</td>
<td>Invitation of stakeholders</td>
<td>Communication</td>
<td>2-3 weeks</td>
<td>NC</td>
</tr>
<tr>
<td>PSC</td>
<td>Invitation of stakeholders</td>
<td>Communication</td>
<td>2-3 weeks</td>
<td>NPD</td>
</tr>
<tr>
<td>Dissemination and exchange of information</td>
<td>Inception workshop</td>
<td>Organization</td>
<td>4 weeks</td>
<td>NC</td>
</tr>
</tbody>
</table>

**Stage of your NCSA: Stocktaking**

**Objective:** understanding of past experiences (where we are now?)

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/Tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expert Team</td>
<td>Recruitment process</td>
<td>Advertisement</td>
<td>4 weeks</td>
<td>NPC</td>
</tr>
<tr>
<td>Databases</td>
<td>Exchange information with focal points and groups</td>
<td>Communication/ investigation/ interviews</td>
<td>8 weeks</td>
<td>NC</td>
</tr>
<tr>
<td>Establishment of baseline</td>
<td>Analysis of information</td>
<td>Possible shortage of information</td>
<td>2 weeks</td>
<td>NC</td>
</tr>
<tr>
<td>Dissemination, exchange, and analysis of information</td>
<td>Workshop</td>
<td>Organization</td>
<td>4 weeks</td>
<td>Project team</td>
</tr>
<tr>
<td>List of lessons learned</td>
<td>Analysis of past experiences</td>
<td>Relevant methodologies</td>
<td>8 weeks</td>
<td>Project team</td>
</tr>
</tbody>
</table>

**Stage of your NCSA: Thematic Assessment**

**Objective:** understanding of current situation of implementation of each convention, identification of future capacity needs

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/Tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thematic Expert Teams</td>
<td>Recruitment process</td>
<td>Advertisement</td>
<td>4 weeks</td>
<td>NC</td>
</tr>
<tr>
<td>Information gathering</td>
<td>Exchange of information with focal points and groups</td>
<td>Communication/ investigation/ interviews/ questionnaires/ visit/</td>
<td>8 weeks</td>
<td>NC</td>
</tr>
<tr>
<td>Verified information, identified priorities</td>
<td>Regional Workshops</td>
<td>Organization</td>
<td>10 weeks</td>
<td>Project team</td>
</tr>
<tr>
<td>List of capacity needs and capacity building measures</td>
<td>Information analysis</td>
<td>Communication/Consultation</td>
<td>8 weeks</td>
<td>Expert team</td>
</tr>
</tbody>
</table>

**Stage of your NCSA: Cross Cutting Issues**

**Objective:**

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/Tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expert Team</td>
<td>Recruitment process</td>
<td>Advertisement</td>
<td>2 weeks</td>
<td>NC</td>
</tr>
<tr>
<td>Identified environmental cross-cutting issues</td>
<td>workshop</td>
<td>Analysis/ Investigation/ discussion</td>
<td>3 weeks</td>
<td>Expert team</td>
</tr>
<tr>
<td>Verified and adjusted in-depth knowledge of the whole NCSA</td>
<td>workshop</td>
<td>Analysis/ Investigation/ Discussion</td>
<td>3 weeks</td>
<td>Expert team</td>
</tr>
</tbody>
</table>
MALAYSIA

**Goal of NCSA:** Malaysia will have the capacity to fulfill its international obligations and commitments to the three Rio Conventions.

**Objective of NCSA:** The primary objective of the NCSA is to identify priorities and needs for capacity building and enhancement to address global environmental management requirements through the fulfillment of Malaysia’s international obligations and commitments and incorporate the recommendations into the national development plans.

**Objective of Action Plan:** To formulate follow-up actions after the completion of the NCSA exercise.

**Implementation mechanism for Action Plan:** During the NCSA and formulation of the Action Plan, various multi-stakeholder consultative meeting will be held to ensure shared ownership of the result from the NCSA. To kick start the implementation of the Action Plan, the Conservation and Environment Mgmt Division within the NRE will organize a multi-stakeholder consultative workshop on the follow-up actions in implementing the Action Plan and to integrate the Action Plan into the respective agency’s annual capacity development plans.

**Stage of NCSA: Inception**

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formation of project mgmt team.</td>
<td>Inception workshop</td>
<td>Stakeholder consultation workshops</td>
<td>Jun-Jul 2006</td>
<td>CEMD/NRE</td>
</tr>
<tr>
<td></td>
<td></td>
<td>I1: some stakeholders may not be interested/I2: stakeholder lack the capacity to participate I3: lack of human capacity to form the project team.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Inception report</td>
<td>Inception workshop</td>
<td>Jun-Jul 2006</td>
<td>CEMD/NRE</td>
</tr>
</tbody>
</table>

**Stage of NCSA: Stocktaking**

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>List of past and ongoing capacity development initiatives; strengths and weaknesses</td>
<td>Identification of capacity needs for implementation of the three Conventions</td>
<td>National Biodiversity Policy and Action Plan (NBSAP), Initial National Communication (INC), CBD reports, Compliance and Opportunity Analysis report (DANIDA-COA), status reports on biodiversity Workshop</td>
<td>Aug-Nov 2006</td>
<td>CEMD/NRE</td>
</tr>
<tr>
<td></td>
<td>Desk review of various meeting decisions related to CBD mgmt</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Field verification, past and ongoing CBD, UNFCCC project.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lessons learnt from past and ongoing capacity development initiatives.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Brief report on the stocktaking exercise</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Stage of NCSA: Thematic Assessments**

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Summary of convention requirements and country obligations</td>
<td>Determining the scope of the thematic assessments in relation to Country priorities</td>
<td>Brief summary of stocktaking exercise, interviews, surveys, field verification.</td>
<td>Dec 2006 – Mar 2007</td>
<td>CEMD/NRE</td>
</tr>
<tr>
<td>Inventory of past and ongoing activities related to the thematic areas</td>
<td>Review of past and ongoing activities, which include projects and national initiatives</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Detailed analysis of strengths and constraints in national capacity related to the three conventions.</td>
<td>Identifying gaps in national capacity related to the three conventions</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**MALDIVES**

**Goal of NCSA:** Strengthening Environmental management for Sustainable Development of Maldives

**Objective of NCSA:** “Identify” capacity needs and Capacity gaps for Strengthening Environmental Management

Establish linkages, Synergies with other in-country programmes and projects

**Objective of Action Plan:** Establish a mechanism to implement Capacity Development Frame work (move forward)

**Implementation mechanism for Action Plan:** Partnership between Ministry of Planning and National Development and Ministry of Environment, Energy and Water, supported by line Ministries-key Role played by Ministry of Finance and Treasury

**SRI LANKA**

**Thematic Assessment**

**Objective:** Assess Status and CD needs in thematic areas, and priorities for capacity building

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capacity needs for prioritized areas</td>
<td>Validate capacity status and prioritise areas for detailed capacity assessments</td>
<td>Mini-workshops Roundtables Focus group discussions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Trained project staff to use tools</td>
<td>Training project staff on effective use of tools (W,I,Q)</td>
<td>Desk study Institutional visits</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Background</td>
<td>Review of in-country action plans and connected capacity assessments</td>
<td>Discussions/ meetings with</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Relationships/ linkages built with other capacity building initiatives (eg, NBSAPs)</td>
<td>In parallel with review of capacity needs</td>
<td>Mini-workshops Roundtables Focus group discussions</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Identification of capacity building requirements &amp; means</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Cross Cutting Assessment**

**Objective:**

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capacity needs for prioritized areas</td>
<td>Validate capacity status and prioritise areas for detailed capacity assessments</td>
<td>Group discussions Mini-workshops Roundtables Focus group discussions</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Action Plan**

**Goal:** Improvement in the management of global and national environmental issues

**Objective:** To establish a country programme for CD to enhance effectiveness of environmental management

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>How/tools</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Concept papers on selected projects (if funds permit)</td>
<td>Validate</td>
<td>Stakeholder consultations</td>
<td>Final Workshop</td>
<td>Convention Focal Point - MoENR</td>
</tr>
<tr>
<td>Strategy for implementing the AP</td>
<td>Steering Committee Endorsement</td>
<td>Presentation by project Team to St Comm</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TIMOR LESTE**

**Goal of NCSA:** To address global environmental management requirement

**Objective of NCSA:** To identify capacity constrains and actions to remove these constrains

**Objective of Action Plan:** To establish actions and mobilize resources for capacity building regarding environmental management

**Implementation mechanism for Action Plan:** Secretary of State for Environmental Coordination, Territorial Ordering and Physical Development, GoTL, National Secretariat for MEAs

**Stage of your NCSA:** Stocktaking and Thematic Assessment

**Objective:** ...To Assess capacity needs within thematic area

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>Tools</th>
<th>Issues and possible responses</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>List of country obligations under each conventions</td>
<td>Analysis of convention documents</td>
<td>Literature review</td>
<td>Language – get the documents translated in to Bahasa Indonesia</td>
<td>? 1 week</td>
<td>TWGs and Consultants</td>
</tr>
<tr>
<td>List of past and on-going activities</td>
<td>Stocktake of what has been done regarding the implementation of obligations</td>
<td>Questionnaire and survey</td>
<td>Lack of knowledge and capacity to actually to do stocktaking Get good use of consultancy services to train group members</td>
<td>? 1 month</td>
<td></td>
</tr>
<tr>
<td>List of capacity constrains and gaps</td>
<td>Identify major capacity gaps and opportunities for each thematic area</td>
<td>Group discussion Stakeholder consultation</td>
<td>Lack of high level support Raise awareness on NCSA benefits for each ministry/department/institution</td>
<td>? 1 month</td>
<td></td>
</tr>
<tr>
<td>List of priorities within each thematic area</td>
<td>Identify priorities for each thematic area</td>
<td>Group discussion Stakeholder consultation</td>
<td></td>
<td>? 1 month</td>
<td></td>
</tr>
</tbody>
</table>
**Stage of your NCSA: Cross-cutting Analysis**

**Objective:** To analyze cross-cutting issues and identify synergies for integrated capacity development

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>Tools</th>
<th>Issues and possible responses</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Established WG</td>
<td>Establish a sub set joint working group</td>
<td>Each Thematic group to nominate</td>
<td></td>
<td>1 day</td>
<td>SWG and Consultants</td>
</tr>
<tr>
<td>List of common issues and capacity constrains</td>
<td>Review the thematic assessments</td>
<td>Desk review</td>
<td>Lack of common definition on cross-cutting issues</td>
<td>1 month</td>
<td></td>
</tr>
<tr>
<td>List of priority issues</td>
<td>Identify prioritized cross-cutting issues for in-depth analysis</td>
<td>Desk review</td>
<td></td>
<td>1 month</td>
<td></td>
</tr>
<tr>
<td>Assessment of capacity constraints and opportunities</td>
<td></td>
<td>Group discussion and stakeholder consultation</td>
<td></td>
<td>2 months</td>
<td></td>
</tr>
</tbody>
</table>

**Stage of your NCSA: Report and Action Plan**

**Objective:** To establish actions for capacity building to address environmental issues

<table>
<thead>
<tr>
<th>Output</th>
<th>Activities</th>
<th>Tools</th>
<th>Issues and possible responses</th>
<th>Timeframe</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action Plan document</td>
<td>Review NCSA results</td>
<td>Desk review</td>
<td></td>
<td>2 weeks</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Review the existing linkages</td>
<td></td>
<td></td>
<td>2 weeks</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Write up the Report and Action Plan</td>
<td></td>
<td></td>
<td>3 months</td>
<td></td>
</tr>
</tbody>
</table>
### ANNEX X

## WORKSHOP EVALUATION

### Did the Workshop overall meet your expectations?

<table>
<thead>
<tr>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>21</td>
<td>0</td>
</tr>
</tbody>
</table>

### Other comments/ Suggestions for improvement

- Increase length to at least 5 days; time was a constraint in some sessions; presentations by a lot of countries take a lot of time; need more time to work on the NCSA mechanism and prepare a comprehensive Action Plan together.
- Well-organized; well focussed and managed to achieve the objectives set at the beginning; congratulations to the resource persons, facilitators and leader; very good and effective time management.
- Accommodation and food excellent.
- The informal atmosphere made me feel at ease.
- My doubts have been resolved.
- We are much more confident now about what our Action Plan will be.
- As we start the Assessment, we might need your further guidance.
- Very helpful to exchange knowledge, ideas, experience; country presentations were good and conveyed the workshop's message of success.
- An excellent experience which we should repeat; it would be very useful to repeat such a workshop at least once a year (twice is better); it will be an important mechanism for monitoring and following-up the NCSA progress; useful to rotate the countries in which workshop is held.
- Arrangement of break-out rooms could have been better.

### Quality of presentations and inputs

<table>
<thead>
<tr>
<th>Knowledge of resource persons</th>
</tr>
</thead>
<tbody>
<tr>
<td>17 generally +ve</td>
</tr>
<tr>
<td>good; very good; very knowledgeable</td>
</tr>
<tr>
<td>fair</td>
</tr>
</tbody>
</table>

### Style and pace of presentations

<table>
<thead>
<tr>
<th>19 generally +ve</th>
<th>7 generally -ve</th>
</tr>
</thead>
<tbody>
<tr>
<td>good; very good; effective use of Post-Its and wall posters</td>
<td>good enough; moderate</td>
</tr>
<tr>
<td>interesting and attractive</td>
<td>wide range of participants meant different levels of understanding</td>
</tr>
<tr>
<td>appropriate</td>
<td>some confusion in the complex discussions</td>
</tr>
<tr>
<td></td>
<td>could have been faster; some repetition of topics</td>
</tr>
<tr>
<td></td>
<td>not very attractive</td>
</tr>
</tbody>
</table>

### Small Group exercises

<table>
<thead>
<tr>
<th>19 generally +ve</th>
<th>1 generally -ve</th>
</tr>
</thead>
<tbody>
<tr>
<td>good; very good; excellent; useful; successful</td>
<td>should have had more</td>
</tr>
<tr>
<td>well-coordinated; well-organized</td>
<td></td>
</tr>
<tr>
<td>made people think; helpful in understanding the challenges</td>
<td></td>
</tr>
</tbody>
</table>

### How Useful or Not Useful were different Sessions?

<table>
<thead>
<tr>
<th>Usefull Sessions</th>
<th>Not Useful</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction to the NCSA program and GSP overall</td>
<td>More examples of completed NCSAs would have been useful.</td>
</tr>
<tr>
<td>Knowing status of other countries in the region; and their constraints and lessons learned.</td>
<td>Too much time spent on NCSA overview</td>
</tr>
<tr>
<td>Plenary discussions with good feedback.</td>
<td>Planning NCSA implementation was very time-consuming.</td>
</tr>
<tr>
<td>Break-out/ brain-storming sessions</td>
<td>Should have spent more time on national project planning and clinic</td>
</tr>
<tr>
<td>Understanding importance of Inception stage and obtaining high-level support</td>
<td></td>
</tr>
<tr>
<td>Introduction to Capacity and Capital</td>
<td></td>
</tr>
<tr>
<td>Planning NCSA implementation; understanding each Step/ activity</td>
<td></td>
</tr>
<tr>
<td>Understanding the Goals and Objectives of NCSA</td>
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<tr>
<td>Effective NCSA project management</td>
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<tr>
<td>Clarifying Cross-cutting.</td>
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<tr>
<td>NCSA Action Plan preparation</td>
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<td>Implementation of Action Plan follow-up</td>
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<tr>
<td>Lessons from Hanoi workshop</td>
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<tr>
<td>Bhutan's NCSA experiences</td>
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<td>direct interactions with Bhutan NCSA manager</td>
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<td>Final session concluding remarks</td>
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### Further Technical Support required

- GSP should share reports and analyses from other countries as they complete the NCSA process