NCSA Regional Workshop Report

Hanoi, Vietnam
26-28 October 2005

Global Support Programme
Capacity Development for global environmental management
Introduction

The National Capacity Self-Assessment is the first Pathway of the GEF Strategic Approach to develop capacity for environmental management. It is an opportunity for countries to broadly review their prevailing environmental issues, guided by the provisions and requirements of the global environmental conventions to which they are a party. The NCSA is intended to plan a national strategy that will lead to systematic strengthening of capacity for management of the country's priority environmental issues. In 2005, 154 countries were engaged in the NCSA Programme: the Final report and Action Plan have been completed in 34 countries, the Inception report in 22 countries, the Assessment report in 47 countries, and the Formulation report in 50 countries.

To support these countries' efforts, the two GEF Implementing Agencies, UNDP and UNEP, and their joint Global Support Program convened a regional workshop in Hanoi, Viet Nam from 26 to 28 October 2005 for seven countries that are nearing completion of their NCSA projects. Malaysia, who is at the early stage of NCSA process, also participated in the workshop. The purpose of this workshop was to review progress, share experiences, draw lessons and provide additional support and guidance to the NCSA teams.

Workshop Programme

The workshop brought together NCSA project directors and managers from seven Asian countries that are at the advance stages or near completion of their NCSA projects, for them to work with the Global Support Programme and GEF Implementing Agencies, UNDP and UNEP on a set of learning-training objectives:

- To share NCSA experiences, techniques and lessons;
- To review and evaluate the NCSA outputs produced;
- To facilitate completion of an effective NCSA and Action Plan; and
- To facilitate development of a follow-up programme of capacity building, including design of specific actions and proposals.

The workshop agenda introduced the GEF Strategic Approach to capacity building; reviewed progress made globally in the overall NCSA programme; evaluated the NCSA process in Asia through group discussions, analysis of strengths and weaknesses, lessons learned and best practices. The agenda also included review, development and implementation of Capacity Action Plans.

The participants included the following:

- NCSA managers in Asia that are at advance stages or near completion of NCSA implementation: Bhutan, Cambodia, China, Indonesia, Lao People’s Republic, Philippines and Viet Nam;
- GEF Implementing Agencies, UNDP and UNEP (global, regional and country offices);
- Global Support Programme to the NCSA program and GEF capacity building.

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

All abstracts from breakout groups and presentations made by participants, as well as the list of participants are annexed in this report.

Record of the Workshop

Day 1 – the GEF, NCSA Process

Session 1: Opening Session

---

1 Malaysia, who is at the early stage of NCSA process, also attended the workshop.
Refer to Annex II for statements

The first day of the workshop was opened by Mr. Pham Khoi Nguyen, Vice Minister from the Ministry of Natural Resources and Environment in Vietnam, Mr. Subinay Nandy, Deputy Resident Representation of UNDP Vietnam and Mr. Ravi Sharma of the GEF in Washington DC.

Session 2: Overview of the NCSA program in Asia and globally

Refer to Annex III for presentation

The Coordinator of the GSP 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 NCSA program (Pathway I), capacity development components of GEF (Pathway II etc), targeted capacity development projects (strategy 3) and LDC-SIDS country programs (strategy 4).

Plenary discussion focused on the following:

- NCSA country-level assessment may lead to regional initiatives.
- Capacity at various levels (regional, national and local) will provide better appreciation of country capacity.
- NCSA reports distinguish various levels of capacity (individual, systemic or policy, institutional). There is also the difference between content of capacity and levels/tiers of capacity.
- Definition of capacity as an ambiguous concept.
- Countries must reflect on how capacity was captured in their NCSA process.

Session 3: Status report on each NCSA project

Refer to Annex IV for country reports

Seven countries (Bhutan, Cambodia, China, Indonesia, Lao People’s Republic, Philippines and Viet Nam) presented status reports of their respective NCSA projects.

Common issues highlighted during the presentations:

- Need for technical expertise, advice and financial capacity for countries to support the NCSA process.
- Need for active and effective engagement of stakeholders in the NCSA.
- Countries should submit an e-copy of Outputs or a list of outputs in order for GSP to provide feedback and related assistance.
- Language problems as the outputs need to be translated into English, which also slows down the process.

Session 4: Evaluation of the NCSA Process-Lessons from Asia

Refer to Annex V for group exercise results

The purpose of this component was for the country NCSA teams to review and evaluate their experiences in formulating and conducting the NCSA capacity assessment and planning exercise. Each of the seven teams had gone through the recommended sequence of Steps in a comparable way.

The seven country teams were divided in three groups consisting of two or three countries. Each group had a facilitator and a reporter. They conducted a simple analysis of the positive and negative aspects that have been experienced during each of the steps of the NCSA project formulation and formulation process. Groups were also tasked to note down examples of Good Practices and to highlight lessons learned which they will pass on.
Some workshop participants were from UNDP country offices. They formed a separate group discussion and focussed on the NCSA process from their distinct perspective. This group prepared a report as an outcome of the discussion.

Information gained was beneficial to the NCSA programme and can contribute to the introduction of improvements to the NCSA process. This particular exercise is relevant to countries who are aiming to institutionalise and maintain a capacity assessment and development system beyond the life of the NCSA project.

Key conclusions:

1. Inception
   - Provide sufficient time for inception;
   - Have multi-stakeholder/multi-level commitment;
   - A log frame or work plan should be developed and updated.

2. Stock-taking
   - Stock-taking needs to be a continuing activity;
   - Utilise existing action plans;
   - No clear consensus on the definition of common and cross-cutting issues

3. Action Plan
   - A clear logical structure of the Action Plan is essential.
   - Donor commitment is important in supporting NCSA Action Plan.

4. Other Lessons and Best Practices
   - Technical should be separate from thematic work.
   - The international consultant should come at the early stage of the process and provide guidance and feedback to the countries.
   - A clear definition on methodology and terminology is necessary.
   - Countries should learn from others’ experiences.

Day 2 – NCSA Results, GEF Support to Capacity Development

Session 5: Review of NCSA Results

Refer to Annex VI for results

The second day of the workshop focussed on results achieved from the NCSA process. As the country teams had all progressed through most, if not all of the recommended NCSA process, the workshop provided an opportunity to review and compare these results they had achieved. Each invited NCSA team was asked by the GSP to prepare a summary listing of the key results achieved from the major Steps of the NCSA process. Printouts of the seven sets of national results were shared across the teams and a series of questions was posed to the plenary group to prompt discussion of the substantive contents. This session achieved the purpose of focussing on the specific results achieved by an NCSA and it introduced the idea of being able to monitor and evaluate these results against what was planned and expected.

The objectives of this session are:

   - To introduce an evaluation method;
   - To assist in the effective completion of the NCSA;
   - To share results across the region; and
   - To learn from one another, look for opportunities, possible collaboration, cost-effectiveness and synergy

The GSP Coordinator presented a draft tool for planning and M&E for the NCSA Project Framework. It is summarised in Table 1.
Table 1: NCSA Project Framework

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
<th>Objectives &amp; Expected Results</th>
<th>PERFORMANCE INDICATORS</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NCSA Program Goal</strong></td>
<td>Management of the country’s environmental issues in the context of sustainable development</td>
<td>▪ Mechanisms in place to address the top priority issues</td>
</tr>
<tr>
<td><strong>NCSA Project Purpose</strong></td>
<td>To build capacity for environmental management &amp; sustainable development</td>
<td></td>
</tr>
<tr>
<td><strong>NCSA Objective 1.</strong></td>
<td>1. Agreed Strategy and Action Plan for development of country capacity for environmental management &amp; sustainable development.</td>
<td></td>
</tr>
<tr>
<td><strong>NCSA Results 1.1</strong></td>
<td>Country Capacity Development Planning</td>
<td>▪ Written proposals/ action plans linked to CD strategy</td>
</tr>
<tr>
<td></td>
<td>▪ Plans for CD actions</td>
<td>▪ Endorsements from appropriate &quot;whole-of-government&quot; body; from peak national NGO body; from peak private sector body</td>
</tr>
<tr>
<td></td>
<td>▪ Multi-stakeholder support for proposed NCD objectives and Strategy</td>
<td>▪ CD Strategy (or elements) incorporated into agreed donor programs</td>
</tr>
<tr>
<td></td>
<td>▪ Identification of financial and technical assistance</td>
<td>▪ MoAs or equivalent signed</td>
</tr>
<tr>
<td></td>
<td>▪ Partnerships formed for implementation of CD strategy</td>
<td>▪ Action Plan outlines strategies and actions to address capacity needs over a medium-long time-frame and across all sections of society.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ NCD Strategy is linked to national sustainable development plans and programs</td>
</tr>
<tr>
<td><strong>NCSA Objective 2.</strong></td>
<td>2. Determination of capacity needs to manage the country’s priority issues/ priority objectives for environmental management (biodiversity, land degradation and climate change, etc).</td>
<td>▪ LIST of priority capacity needs – thematic and cross-cutting – that are selected for action</td>
</tr>
<tr>
<td><strong>NCSA Results 2.1</strong></td>
<td>Cross-cutting analysis</td>
<td>▪ LIST of possible CD objectives, strategies and actions to address priority issues and needs, related to each thematic area and cross-cutting.</td>
</tr>
<tr>
<td></td>
<td>▪ Identification of priority capacity strengths, constraints and needs that cut across more than one MEAs.</td>
<td>▪ LIST of country strengths, constraints and needs, both substantive and operational, common to &gt;1 MEA.</td>
</tr>
<tr>
<td></td>
<td>▪ Identification of cross-cutting objectives and priority opportunities for linkages and synergies across MEAs.</td>
<td>▪ LIST of opportunities for linkages and synergies, both substantive and operational, across &gt;1 MEA.</td>
</tr>
<tr>
<td><strong>NCSA Results 2.2</strong></td>
<td>Thematic Assessments</td>
<td>▪ LIST of MEA provisions and decisions relevant to the country, from each Convention.</td>
</tr>
<tr>
<td></td>
<td>▪ Identification of environmental objectives relevant to the country from the CBD, CCC and CCD</td>
<td>▪ LIST of past and current activities, both substantive and operational, related to each MEA.</td>
</tr>
<tr>
<td></td>
<td>▪ Identification of past and current activities in the country related to implementation of each MEA.</td>
<td>▪ LIST of country’s capacity strengths, weaknesses and needs for each MEA - at individual, institutional and system levels.</td>
</tr>
<tr>
<td></td>
<td>▪ Assessment of capacity issues/ needs to address priority env. objectives</td>
<td></td>
</tr>
<tr>
<td><strong>NCSA Results 2.3</strong></td>
<td>Stocktaking</td>
<td>▪ LIST of past and current activities related to capacity, environmental management and sustainable development.</td>
</tr>
<tr>
<td></td>
<td>▪ Review of past and current activities in the country relevant to management of environmental issues</td>
<td>▪ LIST of issues and lessons identified from past and current activities.</td>
</tr>
<tr>
<td></td>
<td>▪ Identification of issues and lessons for capacity development from past and current activities</td>
<td></td>
</tr>
<tr>
<td><strong>NCSA Results 2.4</strong></td>
<td>Inception</td>
<td>▪ NCSA project work plan</td>
</tr>
<tr>
<td></td>
<td>▪ Planning of the NCSA project</td>
<td>▪ Project logical framework</td>
</tr>
<tr>
<td></td>
<td>▪ Engagement of stakeholders</td>
<td>▪ Stakeholder analysis</td>
</tr>
<tr>
<td></td>
<td>▪ Efficient administration</td>
<td>▪ Key country stakeholders – national-regional-local Government, NGOs, Private Sector, and National Convention Focal Points – are active participants in the NCSA process and other relevant players.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ NCSA activities are conducted by national and regional experts.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ The NCSA is linked to a relevant national institution.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>▪ An existing coordination mechanism plays an important</td>
</tr>
</tbody>
</table>
Day 3 – Capacity Action Plans

Session 6: Development of Capacity Action Plans

Refer to Annex VII for guidelines and Annex VIII for presentation

The third day of the workshop focussed on the aim to strengthen the Action Plans being produced through the review and clarification of best practices and enabling each team to work in detail on developing its Plan.

The GSP Coordinator presented a set of summary guidelines for NCSA Action Planning. 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.

Short presentations were made on the Action Plans produced by three countries: Estonia, Gambia and Uganda. This was followed by country teams working separately with a facilitator on reviewing and developing their own Action Plans.

The following issues were addressed:

- For those teams who were in the process of near completion of their Action Plans, introduction and discussion of the guidelines of Action Planning came in too late.
- For those who are still in the process of developing their Action Plans, the session proved to be stimulating. The break-out work encouraged project teams to review and strengthen their ideas and confidence in completing their Action Plans.
- The guidelines suggested different approaches and more rigour than what the teams have initially been considering.

Session 7: Implementation of Capacity Action Plans, GEF and Capacity Development

Refer to Annex IX for presentation

One of the aims of the workshop was to facilitate development of a project or action proposal as a follow-up to each of these advanced NCSAs.

UNDP-GEF’s Capacity Development Specialist, Tom Twining-Ward made a presentation on GEF’s support to capacity development. He highlighted the importance of capacity development and indicated that the GEF business plan identifies capacity development as a ‘strategic priority that cuts across all focal areas’, calling for GEF to foster synergies among global environmental conventions. He further outlined the importance of the NCSA as a strategic positioning tool and framework for countries and entry point to access funds from other GEF ‘pathways’.

Session 8: Workshop Conclusion and 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 IX.
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 the steps they might take to overcome them.
ANNEX I

LIST OF PARTICIPANTS

BHUTAN
Harka Gurung
National Project Director
Phone: +975 2 323384
Email: iyotharka@hotmail.com, harkabgurung@nec.gov.bt

Sonam Rabgye
Programme Assistant
UNDP Bhutan
Phone: +975 2 322424
Email: sonam_rabgye@undp.org, sonam_dol@hotmail.com

Karma Tshering
National Programme Manager
Phone: +975 2 323384
Email: ktshering@nec.gov.bt, ktshering@hotmail.com

CAMBODIA
Miho Hayashi
NCSA Focal Point
UNDP Cambodia
Phone: +855 12 713276
Email: miho.hayashi@undp.org

Eng Kimsan
Assistant to the National Lead Consultant
Phone: +855 12 409339
Email: engkimsan@yahoo.com, ksan_eng@hotmail.com

Mam Kosal
Team Leader for Biodiversity and Climate Change Working Groups
NCSA
Phone: +855 12 593007
Email: mm_ksl@yahoo.com

Ben Malayang
International Lead Consultant
Email: beniilim@yahoo.com

Oum Pisey
National Project Manager
NCSA
Phone: +855 12 702239
Email: Cambio_coer@online.com.kh, piseyoum@hotmail.com

CHINA
Wen Gang
Senior Programme Officer
GEF, China
Phone: +86 10 6833 4510
Email: wengang@gefchina.org.cn

INDONESIA
Lukas Laksono Adhyakso
NCSA Focal Point
UNDP Indonesia
Phone: +62 21 314 1308
Email: lukas.adhyakso@undp.org

Jo Kumala Dewi
Deputy National Program Director
Phone: +62 21 8590 1080, 816 136 0998
Email: jodewi@menlh.go.id

Inar Ichsana
National Program Director
Phone: +62 21 8590 9533, 8590 1080
Email: inar@menlh.go.id

Priyo Budhi Sayoko
Environment Unit
UNDP Indonesia
Phone: +62 21 314 1308 ext. 169
Email: budhi.sayoko@undp.org

Susanti Withaningsih
Consultant/Facilitator for CBD
Phone: +62 21 8590 1080, 815 7306 8441
Email: tuten_210@yahoo.com

LAO PEOPLE’S DEM. REPUBLIC
Somnuk Chanthaseth
Project Core Team
Phone: +856 20 224 4905

Keophouthone Intrivong
National Consultant
Phone: +856 21 218712
Email: xayveth@yahoo.com

Xayaveth Vixay
National Project Director
Phone: +856 21 218712
Email: xayveth@yahoo.com

Khamvieng Xayabouth
Project Core Team
Email: kv_xay@yahoo.com

MALAYSIA
Chong Poon Chai
Principal Asst. Secretary
Conservation and Environment Division
Ministry of Natural Resources and Environment
Phone: +60 3 8885 8026

Khairus Masnan Abdul Khalid
Principal Asst. Secretary
Conservation and Environment Division
Ministry of Natural Resources and Environment
Phone: +60 3 8885 8024

PHILIPPINES
Clarissa Arida
Programme Manager
UNDP Philippines
Phone: +63 2 901 0223
Email: clarissa.arida@undp.org

Maria Lourdes Ferrer
Project Coordinator
NCSA
Phone: +63 2 926 8065
Email: ondet_ferrer@undp.org

Sharon Gil
Programme Assistant
UNDP Philippines
Phone: +63 2 901 1060
Email: sharon.gil@undp.org

Maria Socorro Mallare
Technical Staff
NCSA
Phone: +63 2 926 2689
Email: masoccoro_mallare@yahoo.com

Analiza Rebuelta-The
National Project Director
NCSA
GEF Operations Focal Point
Phone: +63 2 925185
Email: analiza@denr.gov.ph

VIET NAM
Thu Ba Huynh
Programme Officer
UNDP
Phone: +84 4 942 1495, ext. 187, 988 563549
Email: huynh.thu.ba@undp.org

Nguyen Huy Thang
Group Head of CBD
Phone: +84 4 624 5408, 08 388 6668
Email: thang_fipi@yahoo.com

Huynh Thi Mai
National Project Coordinator
Phone: 84 4 773 4245
Email: maiht2004@yahoo.com

Vu Thu Hanh
Group Head of CCD
Phone: +84 4 556 6236
Email: vuthuhanh_vt64@yahoo.com

Hoang Viet Cuong
Group Head of FCCC
Phone: +84 4 266 2544
Email: hv_cuong@yahoo.com

RESOURCE PERSONS/WORKSHOP ORGANISERS
Dennis Fenton
Consultant
Phone: +32 67 557101
Email: gc411085@belgacom.net

Abdul-Majeid Haddad
Email: abdul-majeid.haddad@unep.org

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

Ravi Sharma
Senior Environment Specialist
GEF Secretariat
Email: rsharma@thegef.org

Tom Twining-Ward
Capacity Development Advisor
UNDP
Phone: +1 212 906 6591
Email: tom.twining-ward@undp.org

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

WELCOME REMARKS, OPENING STATEMENTS

Dr. Pham Khoi Nguyen – Senior Vice-Minister of Natural Resources & Environment, Vietnam

Your Excellency, Mr. Subinay Nandy, Deputy Resident Representative of UNDP Vietnam, distinguished guests, Ladies and Gentlemen,

It is my great honor, on behalf of the Vietnamese Government to participate and deliver my opening speech to you at this important workshop. I would like to express my gratefulness and my warmest welcome to all of our distinguished guests who are representatives of countries that are implementing NCSA projects in the region and of international organizations. I also would like to take this opportunity to convey my special gratefulness for the effective and efficient support of the UNDP-UNEP-GEF Global Support Programme to Asian countries in general and to Vietnam in particular so far.

NCSA Asia regional workshop is an important forum for regional countries to together communicate about the outputs produced during the NCSA implementation process thereof, to exchange experiences, to analyze strengths and weakness in the implementation of Rio outcomes. The purpose of this workshop is to identify the opportunities for all levels to manage the global environment and to ensure that NCSA produces quality outputs which enable countries to effectively implement their environmental action plans.

To be a member of the Asia NCSA e-network, Vietnam has actively participated in this important e-forum and has received the effective assistance from the NCSA Global Support Programme.

In order to successfully implement the NCSA project, we have to try our best efforts, at the same time, be supported and assisted by the Global Support Programme, international organizations and especially to share information and exchange experience with regional countries.

To be a country to implement NCSA project, Vietnam will closely cooperate with the GEF and regional countries to share information and exchange experiences, for strengthening the national and regional capacities to manage the global environment.

Once again, I would like to sincerely thank UNDP-UNEP-GEF NCSA Global Support Programme for its supporting the organization of the Asia Regional NCSA workshop in Hanoi. I would like to thank the delegates from regional countries and international organizations. Your active participation today will make this workshop succeed and its outcomes become reality.

I wish you all good health, happiness and success. Thank you very much for your attention.

Ravi Sharma - Senior Environment Specialist, GEF Secretariat, Washington D.C.

Honourable Vice Minister Pham Khoi Nguyen, UNDP Deputy Resident Representative, colleagues from the UNDP and UNEP GEF family and friends, I am pleased to welcome you all to this beautiful city of Hanoi with so many friendly people and a good climate.

It is a privilege, Mr. Vice Minister, to be here and for this we thank you and the UNDP for hosting this regional workshop in Hanoi. I also thank the participants from 8 countries who have all come here to help the international community understand what are the real priorities and gaps at the national level, and where action is needed to build capacity.

Mr. Vice Minister, capacity building has always been a critical element of GEF projects as we recognize that this is what will sustain the results of these projects in the longer term.

A recent undertaking by GEF Implementing Agencies to common role of capacity building in GEF projects found that GEF support for capacity building activities in all its focal areas exceeded US$1.46billion as of end 2002. This is incorporated into our 1,500 projects that are supported by GEF. Recognizing also that capacity building is not a ‘one size fits all’ formula, the NCSA projects were supported for country-level assessments of specific needs and priorities among 153 countries.

Meeting the enthusiasm shown by all countries in undertaking the NCSAs, GEF funded a Global Support Program to provide countries with methodological support and knowledge management mechanisms. The GSP is managed by UNDP and UNEP jointly. The Coordinator, Peter Hunnam, has travelled all the way from Australia to New York to provide us with his extensive experience and knowledge at the ground level, exactly what the countries ask for.
One of the important areas in which the GSP is going to make its contribution is developing indicators to monitor progress in capacity built and its impact on global multilateral environmental agreements (MEAs).

The NCSA can be what you want it to be in your countries – it is really up to you. NCSAs have the potential to be a powerful tool in helping countries mobilize and allocate limited resources to build critical capacity for implementing MEAs. As a participant in an NCSA workshop organized recently in Georgia stated: “NCSAs are not only an assessment or an action plan, but about shaping the mind sets, approaches and attitudes that are so critical for global environmental management.”

Therefore, how strategically the NCSAs are designed to optimize its impacts will also determine the support a country will attract as a follow-up exercise. I believe the 8 countries present here are the leaders in this region and we look forward to hear about your work and plans. Thank you.

Subinay Nandy – Deputy Resident Representative, UNDP Vietnam

Dear Vice Minister Pham Khoi Nguyen, Chairman of the GEF Vietnam; colleagues and friends

It is our pleasure to welcome you all to Vietnam and to this event. Thank you to the Government of Vietnam for accepting to host the event here. Sincere thanks to our colleagues from the Regional GEF Team for selecting Hanoi as the venue for this event.

This workshop brings together more than 30 participants from 8 countries. This is an opportunity to learn from each other. We hope it will provide excellent opportunities for participants from different countries, to share views, knowledge, problems, and best practices for mutual learning on capacity building for dealing with global environmental challenges.

The UN University’s Institute for Environment and Human Security reported recently that the worsening natural environment may force about 50 million people from their homes in the next five years. These “environmental refugees” will be the consequence of floods, storms, desertification, shrinking freshwater supplies, and rising sea levels. This is related to climate change and other environmental factors. Gradual environmental deterioration already displaces about 10 million people per year, and the situation could get worse.

Research also revealed that unprecedented loss of biodiversity has reduced the amount of food available to the world’s 900 million rural poor. The UN Deputy Secretary-General Louise Fréchette called for worldwide attention to biodiversity conservation, highlighting the growing interdependence among countries and the expansion of trade in agricultural goods and services. "Maintaining biodiversity for food security is as much a global priority as a local one,” she said.

In Viet Nam, the economy relies heavily on agriculture with about 75% of the population living in rural areas. The poorest people in Viet Nam live in remote, isolated and disaster-prone areas. Their livelihoods depend on natural resources and they are especially vulnerable to environmental degradation.

We are aware that that without sufficient local capacity, development, any kind of development, is unlikely to succeed. During the past decades significant resources have gone into "technical co-operation", the majority of which was aimed at capacity development. However, many efforts have failed to recognize the critical importance of country ownership and leadership, and they have failed to consider the broader political context within which capacity development efforts take place.

All countries must take responsibility for global environmental challenges. There are steadily increasing requests from the global Conventions to enhance efforts to build the capacity of developing countries to meet their objectives and obligations, including reporting requirements under the Conventions.

National Capacity Self-Assessments (NCSA) are strategic for understanding the country context and the root causes of weaknesses that prevent a country from meeting these objectives and obligations and for mainstreaming Multilateral Environmental Agreements into national policy frameworks. They help develop appropriate measures to improve capacities.

We are very proud that UNDP has provided support to the formulation and implementation of NCSA projects in more than 100 countries under the GEF Pathway I. This is one way UNDP engages in capacity building. UNDP Vietnam works closely with the Government and others to strengthen national capacity to address environmental challenges. The areas in which we provide support include biodiversity conservation, natural disaster management, sustainable energy, climate change adaptation, sustainable land management, and persistent organic pollutants. UNDP Viet Nam will continue to support initiatives in these areas in the next five years within the UN Development Assistance Framework, as part of our contribution to achieving the MDGs. We expect that this will help Viet Nam to fulfil its obligations under several Multilateral Environmental Agreements.

As you may recognize that you are here at the right time. It is Autumn so you have the best weather of the year. Please do enjoy the beauty of Vietnam! We wish you success and a wonderful time here. Thank you very much.
ANNEX III

OVERVIEW – GEF STRATEGIC APPROACH, NCSA PROGRAMME AND GLOBAL SUPPORT PROGRAMME

GEF support for Capacity Development

Capacity Development Initiative

GEF Strategic Approach to capacity development

National Capacity Self-Assessment

Strategy I – NCSA program
  • assessment of the country’s capacity issues and needs
  • country capacity development planning

Strategy II – CD components of GEF Projects
  • enhanced impacts on capacity – regular GEF projects

Strategy III – targeted CD Projects
  • build capacity to address a specific strategic issue

Strategy IV – LDC-SIDS Country Programs
  • critical improvements in capacities of LDC-SIDS countries

Support Program for NCSA

Resource Indicators

Training Workshops

Regular Exchanges

Global Support Programme
Capacity Building for Environmental Governance

ANNEX IV

OVERVIEW – GEF STRATEGIC APPROACH, NCSA PROGRAMME AND GLOBAL SUPPORT PROGRAMME

Suggested NCSA Assessment & Planning Process

Step 1. INCEPTION

Step 2. THEMATIC ASSESSMENTS
  Output

Step 3. CROSS-CUTTING ANALYSIS
  Output

Step 4. CROSS-CUTTING ANALYSIS
  Output

Step 5. REPORT & ACTION PLAN
  Output

Capacity to manage...

Engagement and Consensus of Stakeholders

Management of Environmental Issues

Planning, Policy & Decision-making

Information & Knowledge

Global Support Programme
Capacity Building for Environmental Governance

ANNEX V

OVERVIEW – GEF STRATEGIC APPROACH, NCSA PROGRAMME AND GLOBAL SUPPORT PROGRAMME

Capacity Building Targets

System

Individual

Institution

Global Support Programme
Capacity Building for Environmental Governance

ANNEX VI

OVERVIEW – GEF STRATEGIC APPROACH, NCSA PROGRAMME AND GLOBAL SUPPORT PROGRAMME

Global Support Programme
Capacity Building for Environmental Governance

ANNEX IV

COUNTRY REPORTS ON NCSA STATUS

BHUTAN

1. Background
- Bhutan is party to 12 MEAs
- Bhutan signed CBDC & UNFCCC on 11th June 1992, ratified both on 25th August 1995
- On 20th August 2003, signed CCD and ratified on 13 November 2003
- NCSA Project started in March 2005

2. Process of NCSA

2.1. Process Procedure

- Inception Phase
- Stock-taking Phase
- Thematic Assessment Phase

2.2. Assessment Procedures

- As per ToRs
- National priority
- Relevant organization
- Review of literatures, documents, etc
- Face to face interviews
- Collection of information by three graduates

3. Process of NCSA

3.1. Personnel

- Steering Committee (4 members)
- Task Force (4 members)

- Thematic Working Group
  - CBD Working Group (9 members)
  - CCD Working Group (7 members)
  - UNFCCC Working Group (3 members)

- Local Consultant
- National Consultant

4. Inception Phase

- Inception Workshop
- Main objective:
  - Identifying Working Group
  - Draft Work plan
  - Draft ToRs
  - Methodology Kits for NCSA

5. Stock-taking Phase

6. Thematic Assessment Phase

- By the local consultant
- Stock-taking very poor, so the LC also did stock-takings
- Meetings with individual working group members
- Meetings with relevant stakeholders
- Regional workshops
- Meeting to agree on profile format
CAMBODIA

**Cross Cutting Phase**
- Local Consultant
- CC and Prioritization done together
- Two day workshop
- Thematic Working Group Members and other relevant stakeholders involved

**NCSA and Action Plan**
- Cross-cutting and Prioritization workshop
- Draft developed by LC
- First draft circulated
- Revised draft circulated
- Targeted to finalize by first/second week on Nw

**Plan of Action**
- Cross-cutting priority one, two...
- Approval from the commission, endorsed by the Working Group through Steering Committee
- Implementing agency to be decided

**Constraints**
- Difficulties in fixing the dates for any workshops/meetings
- Difficulties in getting nominations
- Difficulties in getting working group members (right kind), endorsement...
- Full time-commitments very difficult
- Difficult in getting comments and feedback
- Budget/reporting format

**Recommendations**
- Making a list of relevant agencies
- Making a list of possible working group members
- Reviewing Work Plan and Budget
- Maintaining Budget Status with the PM
- Incentives
- Updating and briefing of the relevant and involved agencies head

**Expectations**
- Learn and share experiences on NCSA development in the region
- Explore lessons learned on pragmatic approaches to NCSA implementation
- Finalize PDF-A proposal to implement the NCSA Action Plan.

**Initial Startup of the Project**
September 2004-January 2005:
- Recruitment of all resource persons
- Launched the NCSA Project.
- Gathering data.
**Principles of Process**

- Base upon multi-Stakeholder consultation and decision-making
- Emphasis on linkages with national sustainable development goals and holistic approach (CMDGs, NSDP, NAPs, SEDPs II & III, GAP etc.)
- Response to capacity development priorities identified by CBD, UNFCCC, and UNCCD
- Ensure national ownership and leadership
- Promote partnership and cross-institutional coordination

**Methods**

- Multiple Data Sourcing
  - Secondary Data Sourcing (Desktop Assessment)
  - Participatory (primary)
  - Consultative (interviews, and workshops)
- Multiple Validation
- Initiation of Early Buy-ins
- "South-South" Collaboration (ASEAN, UNDP)

**Expected Outputs VS Actual Outputs**

- **Mandatory Outputs**
  - Consultative Stock-Taking
  - Thematic Capacity Profiles
  - Capacity Assessment
  - Analysis of Potential Synergies
- **Optional Outputs**
  - Action Plan and Resource Mobilization Strategy
  - Monitoring and Evaluation Mechanism

- **Actual Outputs**
  - Consultative Stock-Taking + Public Buy-in
  - Thematic Capacity Profiles
  - Capacity Assessment
  - Analysis of Potential Synergies
  - Action Plan
  - Resource Mobilization Plan
  - Monitoring and Evaluation Plan
  - Recommendations
  - Proposal Synopse

**Stakeholders**

- Public Sector: ministries and their departments involved
- Academic: universities involved
- Civil society: NGOs and IOs
- Private Sector
- Provincial line agencies

**Lists of Actual Outputs**

1. NCSA Stock-Taking Report
2. NCSA Action Plan
3. NCSA Resource Mobilization Plan
4. NCSA M&E Plan
5. Developed and maintained NCSA-biodiversity website: [www.biodiversity.org](http://www.biodiversity.org)
6. 15 SCA’s capacity on survey and related skills developed.
7. Proceedings for three National Stakeholders workshops and Senior Officials Briefing on NCSA.

**Status of Cambodia’s NCSA Reports**

- Reports: Start-Point (October 2004)
- Inception Launching: August-December 2004
- Boosting: January-March 2006
- Thematic Assessments: February-May 2005
- Data Collection: March-June 2005
- NCSA Report (105 pages): April-August 2005
- Action Plan + RMP + MAC + Proposals (50 pages): July-September 2005
- Proceeding 132 pages (1st Stakeholder Consultation Workshop): March 21, 2005
- Proceeding 147 pages (2nd Stakeholder Consultation Workshop): June 30, 2005
- Proceeding 147 pages: Senior Officials Briefing: September 20, 2005
- Proceeding 110 pages: 3rd Stakeholder Consultation Workshop: October 15, 2005
CHINA

The areas for China national capacity building needs under UNCBD, UNFCCC, UNCCD and for cross-cutting issues are described here. These areas are also the priority ones for future actions with GEF funding support. The specific needs within each of these areas are not provided upon the requirement of constraining description size, but as an example, only in cross-cutting part, the specific needs are briefly shown. Due to the same requirement, background information, methodologies, working procedures and analyses supportive for reaching the assessment results are also not included here. Doing so is to facilitate quick reviewing and general discussion within this NCSA Asia Workshop. However, all above mention components are all key and necessary for one to understand China national capacity building needs and why and how we know that those are the needs. For more information to have full understanding about the needs, please read the assessment reports, the formal outputs of NCSA China project that have been approved by the Chinese government. NCSA China project has almost physically finished except a closing meeting.

1. National capability building needs under UNCBD

Based on thorough analyses and assessment, twelve areas in priority of capacity building were determined in the report of national capability building needs under UNCBD, including:
- Construction of related policies, laws, regulations and institutions;
- Identification, inventory and monitoring of biodiversity;
- In situ conservation of biodiversity;
- Ex situ conservation of biodiversity;
- Safety management of genetically modified organisms;
- Management and control of alien invasive species;
- Access to and benefit sharing from genetic resources and traditional knowledge;
- Scientific research, human resources and technology transfer;
- Publicity, education and public participation;
- Data management and information exchange;
- Capacity building of local government;
- Capacity building of non-government organizations.

2. National capability building needs under UNFCCC

Based on thorough analyses and assessment, eleven areas in priority were determined in the report of national capability building needs under UNFCCC, including:
- Institutional and organizational capacity building;
- Creation and enhancement of enabling environment;
- China’s national communication on climate change and national greenhouse gas inventory;
- National climate change program;
- Vulnerability and adaptation;
- Mitigation policy option assessment;
- Research and systematic observation;
- Technology development and transfer;
- Clean Development Mechanism (CDM);
- Education, training and public awareness;
- Information network and database.

Among them, the most urgent capacity building needs in the near term are as follows:
- Establishment of the CDM management center;
- Initiation of the second national communication, through which to enhance the national capacity in this regard.
3. National capacity building needs under UNCCD

Based on thorough analyses and assessment, nine areas in priority for capacity building were determined in the report of national capability building needs under UNCCD, including:

- To perfect institutions and to enhance management;
- To perfect laws and regulations, enhance law popularization, improve law implementing environment, and to strengthen law enforcement;
- To enhance the program and project management to heighten benefits;
- To enhance human resources training;
- To enhance information sharing;
- To enhance scientific support capacity;
- To enhance capacity building in desertification monitoring;
- To enhance international cooperation;
- To improve negotiation capacity.

4. National capacity building needs for cross-cutting issues

To determine the cross-cutting areas of capacity building, it is necessary to judge the restriction of those criteria in Section 4.1 on the shared priority areas of capacity buildings under the three Conventions. Firstly, in those shared priority areas, there are no barriers of applying the criteria. Therefore, the shared priority areas of capacity buildings under the three Conventions can be used as cross-cutting areas. Secondly, as indicated in Section 3.2, in the needs for national capacity building under the three Conventions, the specific contents present big differences even though they are in the same category of priority area. Thus, it is necessary to have further integrated understanding about the priorities in capacity building cross-cutting areas with the criteria in Section 4.1. The logic process is composed of understanding the bases, identifying the barriers or problems, and finally, determining the priorities in each of capacity building cross-cutting areas.

To determine the priorities in capacity building cross-cutting areas, according to the criteria, the following aspects are considered:

1. To develop capacity building in cross-cutting areas based on those national capacity building efforts under the three Conventions, and to ensure and facilitate the mainstream activities for implementing the three Conventions;
2. To seek synergy among national capacity building efforts under the three Conventions;
3. To be practical, i.e. to be capable of leading to specific issues and showing pilot demonstrations with good practices; and
4. To be able to enhance cost-effectiveness of using funding support, on the basis of the above three considerations.

Based on the needs for national capacity buildings under the three Conventions, particularly the shared priority areas, the cross-cutting areas of capacity building proposed in this report are:

- Policies, regulations, infrastructure and coordination;
  1. To reinforce the development of laws, regulations and policies at both state level and local level.
  2. To improve the coordination of management activities between and among administrations at both state and local levels.
  3. To encourage local governments to play a more active role in environmental protection activities and to enhance local institutions and their capacities to provide technical support.
  4. To enhance capacity of the infrastructure and teams that support implementing the three Conventions.

- Public awareness;
  1. To set up and improve the connections between and among those contents and activities of capacity building for public awareness under the three conventions.
  2. To strengthen environment education via mainstream channels of education.
(3) To promote public awareness in regions with backward socio-economic development conditions based on the national actions and national support to the infrastructure construction in those regions.

(4) To improve laws and policies for public involvement, to enhance public understanding of rule-by-law for environmental protection, and to strengthen the guidance for public involvement actions.

(5) To enhance the involvement of various media, especially mainstream media, in environmental promotion on climate change and combating desertification.

(6) To systematically strengthen science popularization and knowledge dissemination in the whole society.

- Scientific research (“scientific research” here referred to include researches in fields of natural science, humanities and social science);
  (1) To strengthen capacity for basic science development and for research inter-linkage.
  (2) To enhance the service of scientific research for national sustainable development.
  (3) To emphasize fostering human resources who possess multi-disciplinary and comprehensive knowledge, to encourage inter-exchange of those human resources among different sectors, institutions and agencies, to push forward the reorganization of those human resources, and to concentrate those human resources to support cross-cutting and multi-disciplinary studies.
  (4) To remove prejudice that researchers have towards other disciplines.
  (5) To expand international cooperation, and to improve research methodologies and approaches.

- Monitoring and assessment;
  (1) To strengthen demand and demonstration.
  (2) To enhance capacity building for comprehensive monitoring and assessment.
  (3) To reinforce team building and improvement for monitoring and assessment.
  (4) To enhance capacities for international cooperation.

- Information sharing and dissemination.
  (1) To make clear the relationship and reasonable work allocation between and among information capacity building within cross-cutting areas and under the three conventions, and to clearly understand the demands for information capacity building within cross-cutting areas.
  (2) To establish the systems to support information acquisition.
  (3) To study and develop coordination mechanisms for collecting comprehensive information.
  (4) To facilitate the establishment of favourable environment for developing information sharing policies.
  (5) To establish information network systems.

**INDONESIA**

**Structure Project**

**Steering Committee**

**EXECUTING AGENCY**

- NATIONAL PROJECT DIRECTOR (NPD)
- DEPUTY NPD
- PROJECT MANAGER & TEAM OF ADMINISTRATIVE AND TECHNICAL SUPPORT STAFF

Implemented by Working Group on Synergies

**Other NCSA Stakeholders**

- Governments
  * Local Environmental Management Agencies, such as Sumatera, Kalimantan, Java, Sulawesi, Bali, NTT and NTB.
  * Related government institutions, such as Ministry of Foreign Affairs, Ministry of Finance, Government Secretariat, National Park Agencies, such as Sumatera (Ministry of Environment), Kalimantan (Trangcy Planning), Java (Marapower, Central Sulawesi (Eve Eco), Bali (Bali Nature))
  * Academia: University of Indonesia (Jakarta); ENU and Palembang University (South Sumatera); Padjadjaran University (West Java); University (East Java); Hasan University (Yogyakarta); University (Central Sulawesi); University (North Sulawesi); North Sumatera University (North Sumatera); Udayana University (Bali)

- Local NGOs

**NCSA Home Institution**

Ministry of Environment as Executing Agency

Assistant Deputy for Environmental International Analyses

**NCSA Process**

**No. Stage** | **Start and Completion** | **Highlights and Issues**
--- | --- | ---
1 | Project Development | 2000 - 2001
2 | Preparatory | April - June 2000
3 | Implementation | April - September 2001
4 | Execution | October 2000 - March 2001
5 | Control | April - July 2001
6 | Evaluation | August - October 2001
7 | Action Plan | September 2001 - May 2002
8 | NCSA Report | October - December 2001

**NCSA Home Institution**

Ministry of Environment as Executing Agency

Assistant Deputy for Environmental International Analyses

**NCSA Process**

**No. Stage** | **Start and Completion** | **Highlights and Issues**
--- | --- | ---
1 | Project Development | 2000 - 2001
2 | Preparatory | April - June 2000
3 | Implementation | April - September 2001
4 | Execution | October 2000 - March 2001
5 | Control | April - July 2001
6 | Evaluation | August - October 2001
7 | Action Plan | September 2001 - May 2002
8 | NCSA Report | October - December 2001

**NCSA Home Institution**

G...
Output Produced

<table>
<thead>
<tr>
<th>Output Type</th>
<th>Description of Product</th>
<th>Status of Product</th>
<th>Final Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 document</td>
<td>Inception</td>
<td>Final</td>
<td>Executive summary and draft report submitted</td>
</tr>
<tr>
<td>2 documents</td>
<td>Stocktaking</td>
<td>Draft</td>
<td>Executive summary and draft report submitted</td>
</tr>
<tr>
<td>2 documents</td>
<td>Thematic Profile</td>
<td>Final</td>
<td>Executive summary and draft report submitted</td>
</tr>
<tr>
<td>2 documents</td>
<td>Priority Issues</td>
<td>Final</td>
<td>Executive summary and draft report submitted</td>
</tr>
<tr>
<td>1 document</td>
<td>Cross-cutting Analysis</td>
<td>Final</td>
<td>Executive summary and draft report submitted</td>
</tr>
<tr>
<td>1 document</td>
<td>NCSA Report</td>
<td>Draft</td>
<td>Not yet</td>
</tr>
<tr>
<td>1 document</td>
<td>Action Plan</td>
<td>Draft</td>
<td>Executive summary submitted</td>
</tr>
</tbody>
</table>

LAO PEOPLE’S DEM. REPUBLIC

BACKGROUND

- Project number and title: 0003344 National Capacity Needs Self Assessment for Global Environmental Management (NCSA)
- Project starting date: 1st Oct. 2004
- Estimated completion: June 2006
- Total Budget: USD 200,000
- Donor: GEF

Main objectives of the project

- Identification and characterization of the nature of critical capacity constraints and priority capacity needs faced by Lao PDR in the area of global environment.

Challenges

- We are not sure whether results of the Assessment of national Capacity Needs and Cross-cutting Issues under three conventions will match GEF needs or not.
- The project team and the technical working group members have limited experience and capacity to carry out self assessment.
- Limited expertise on CCD, CBD, FCCC involved during consultation meeting/workshop.

Conclusion

- The activities carried out based on quarterly work plan and AWPP.
- The expenditure of the project is also carried out based on quarterly work plan.
- NCSA is new project for Asia. Currently some country has finished final report/action plan.
- Appreciate for support and cooperation from project team and UNDP.

Application of NCSA Principles

- National dimension of ownership and leadership are not well represented in the NCSA Project.
- The guideline is helpful to apply the NCSA Principles but it is very difficult to understand for the wide range stakeholders in a very short time.
- Multi-stakeholder participation, consultation and decision making process applied in the process of NCSA is costly and time consuming.
- There is a difficulty to relate setting priorities in thematic and crosscutting assessment to poverty alleviation, achieving MDGs and economic transition.

Future Work plan

- Develop a synthesis report (NCSA document) on assessment result will be written.
- Develop an action plan on NCSA Capacity Needs.
- Disseminate NCSA Action plan to public.
PHILIPPINES

Project Organization
- PCG/STEERING COMMITTEE
- PROJECT MANAGEMENT BOARD
- PROJECT DIRECTOR
- UNDP NCSA TEAM
- PROJECT COORDINATOR
- TA TEAM LEADER(S)
- CORE MGT. TEAM
- CONVENTION FOCAL POINTS
- THEMATIC EXPERTS

Three NCSA Principles
- FLEXIBILITY (countries to adopt their approaches)
- SELF-NESS (countries to do it themselves)
- COMPREHENSIVENESS (conventions; national SD strategies & issues; MDG, WEHAB, WSSD Pt; and cross-cutting issues)

Process
- ACTION PLANNING
  - July to Oct 2005
- STOCKTAKE
  - Jun 2004 to Jun 2005
- INCEPTION
  - Mar to May 2004
- MOBILIZATION
  - Nov 2003 to Mar 2004
- PROJECT FORMULATION
  - Early 2003 to Nov 2003

Inception
- Leveling-off on definition of “capacity” and other key concepts and principles to be adopted
- Development of detailed approach and methodology of study
- Drawing-up of workplan and timetables
- Agreement with TA Team on implementation arrangements and reporting system

Key concepts and principles
- CAPACITY NEEDS – What more is required in the country for it to better contribute to global efforts to protect the earth’s environment
- CAPACITY = CAPABILITY + COMMITMENT, where:
  - Capability is stock of technical & institutional capacity and know-how
  - Commitment is a stock of institutionalized resolve to undertake a sustained deployment of capabilities to achieve set objectives

Four dimensions of ‘capacity’
- TECHNICAL COMPETENCE: having sufficient people with appropriate technical skills
- FINANCIAL CAPABILITY: availability of sustainable funding to address the problems targeted under a convention in the country

Four dimensions of ‘capacity’ (cont’d)
- ADMINISTRATIVE ABILITY: having sufficient organizational capabilities and leadships with appropriate mandates to address the problems targeted in a convention
- LEGITIMACY: availability of public support for addressing the problems targeted in a convention
Global Support Programme  
Capacity Development for global environmental management  
Regional Workshop Report  
Hanoi, Vietnam  
26-28 October 2006

---

**Stocktaking**
- Desktop and Organizational Self-Assessment
- Thematic Assessment
- Cross-Cutting Analysis
- Regional Validation
- Preparation of Stocktaking Report

**Desktop and organizational self-assessment**
- Criteria setting for key documents and stakeholders
- Selection, procurement of key documents
- Review of key documents
- Listing, inventory of key stakeholders
- Development of Data Gathering Instruments (DGIs)
- Administration of DGIs

---

**Desktop assessment...**
Criteria for identifying key documents:
1. Identifies/discusses obligations
2. Contains relevant national laws and policies
3. Presents national intentions, strategies and plans
4. Describes ongoing programs, projects
5. Defines sectoral, national, regional, global activities, initiatives
6. Defines institutional mandates
7. Discusses state-of-the-art technologies, methodologies as well as relevant issues

**Desktop assessment...**
Criteria for identifying stakeholders:
Entities undertaking relevant programs, projects, initiatives, advocacies, R&D, funding, education & training, industrial/commercial enterprises, mandates

---

**Selection, procurement of key documents**
- CLIMATE CHANGE 19 Documents
- BIODIVERSITY 30 Documents
- LAND DEGRADATION 16 Documents
- INSTITUTIONS 27 Documents

**Who are the stakeholders?**
- Makes/influences policy and decisions
- Could "champion" the capacity-bld initiative
- Could provide financial and technical resources?
- Would be impacted by thematic issues
- Direct/indirect beneficiary
- Has no "voice" and needs special attention
- Representative of those impacted
- Is likely to support or oppose the initiative

**Who are the stakeholders?**
- Responsible for implementation
- Represents political forces "out there"
- Is/might be interested in/affected by thematic issues
- Has certain interests and positions on issues
- Has information & expertise that might be helpful
- Has been/involved in similar initiatives
- Has expressed interest to get involved
- Might be interested in contributing to the NCSA

---

*Image below showing arrows and shapes likely related to the content.*
**Desktop assessment...**
- Data Gathering Instruments used:
  1. Survey Questionnaires
  2. Focus Group Discussions
  3. Interviews
- Respondents: Convention Focal Points, Key Partners

**Thematic Assessment Approach and Method**
1. Identification of obligations
2. Identification of capacities being done to comply with obligations
3. Identification and assessment of surpluses and deficits of capacities relative to obligations using the Likert scale
4. Identification and assessment of key drivers & constraints to existing capacities
5. Identification of do-able measures to manipulate the drivers and constraints toward achieving MEA-related country targets

**Integration and Cross-cutting framework**
- Climate Change
- Overfishing
- Wildlife Health
- Forests (FAO, WHO, WSSC)
- Land Degradation
- Biodiversity

**Difference between common and cross-cutting issues**
- Common issues: capacity constraints resulting from unique technical or administrative demands at the individual, institutional and systemic level for meeting the obligations in two or three conventions
- Cross-cutting issues: capacity constraints in two or three thematic areas resulting from the unique institutional environment and macro-level/general issues in the country

**Regional consultations**
- Objectives:
  - To validate the self-assessments done by the FPAs and key partners
  - To conduct assessment of regional partners from various sectors
  - To solicit suggestions from the field on as possible criteria for prioritizing capacities, possible M&E framework and resource mobilization and sustainability mechanisms

**Action Planning**
- Identification and prioritization of activities to address capacity needs
- Formulation of Monitoring and Evaluation Framework
- Formulation of Resource Mobilization and Sustainability Mechanism
- Preparation of project capsules

**Major project outputs**
- Inception Report - Approved
- Stocktaking Report - Approved
- NCSA Document - For final approval by Steering Com.
**VIET NAM**

**Introduction**

- The NCSA Project preparation was initiated in mid-2000 and the final NCSA project document was approved and signed in 11 June 2004.
- The Project started in October 2004 and will end in March 2006.

**Project Management Arrangements**

- UNDP in Hanoi coordinates MONRE- DoE is NCSA executive agency.
- Project Inception Phase was carried out in October-December 2004, during which the core NCSA team (MONRE, NPC and PA), a team of national consultants (10) and STA were recruited.
- Steering Committee was established (6 persons: MONRE, MARD, MPI).
- NCSA Stakeholders’ Partners: National Focal Points for 3 Rio Conventions, national agencies, national universities, local institutions, and non-government institutions.

**NCSA Process**

1. **Project formulation:**
   - The NCSA Project preparation was initiated in mid-2000 and the final NCSA project document was approved and signed in 11 June 2004.

2. **Inception:**
   - A Project Inception Phase was carried out in November-December 2004, during which the core NCSA team, a team of national consultants and an international STA were recruited.
   - Moreover, a detailed work plan and ToTs for all STA members and consultants were prepared.
   - The Inception Report was prepared for comments before ratified in January 2005.

**NCSA Process**

3. **Thematic Assessments:**
   - Based on the SAWDs/Stock-taking Reports, three Thematic Assessments were prepared in similar fashion for 3 Rio Conventions by the local team of national consultants.
   - The initial Report Outlines were prepared in a participatory fashion locally, after which the STA provided comments and inputs.
   - The draft reports were widely circulated for comments and also discussed during the continuous National Consultation process carried out through national workshops held in Sep-Oct.

4. **Cross-cutting Analysis:**
   - Based on the Thematic Assessments and the revised NCSA Tool Kit Guidelines, a detailed Report outline was prepared by the local NCSA team.
   - The STA will be in Vietnam during a period of approx. 3 weeks in October-November 2005 to work closely with the NCSA team in their finalization of the CC analysis, along with their preparation of the Action Plan, NCSA Report and a new MSP proposal.
   - It is anticipated that this proposal will be prepared and finalized by end of December 2005/January 2006.

5. **Outputs:**
   - The Action plan will be prepared in parallel during the period of November-December 2005 and it is anticipated it will be finalized by end of December 2005.
ANNEX V

EVALUATION OF THE NCSA PROCESS IN ASIA – LESSONS LEARNED

<table>
<thead>
<tr>
<th>Positive Lessons</th>
<th>Negative Lessons</th>
</tr>
</thead>
<tbody>
<tr>
<td>↑ Early involvement of the 3 MEA focal points.</td>
<td>↓ Formulation process takes time and is complicated.</td>
</tr>
<tr>
<td>↑ Assistance from the IA/UNDP CO.</td>
<td>↓ There is often insufficient government interest in the early stage of the formulation process.</td>
</tr>
<tr>
<td>↑ Using existing capacities of national executing agencies.</td>
<td>↓ No PDF grant was used in project formulation.</td>
</tr>
<tr>
<td>↑ Wide consultation; country wide process.</td>
<td>↓ Change of IA half-way through formulation process.</td>
</tr>
<tr>
<td>↑ Generated awareness of the MEAs.</td>
<td>↓ Change of IA’s financial and administrative system during formulation.</td>
</tr>
<tr>
<td>↑ Enabled learning by doing.</td>
<td>↓ Not conducted at Provincial level.</td>
</tr>
<tr>
<td>↑ Same people were involved in both formulation and implementation process.</td>
<td>↓ Not clear on what decisions are required in the country to formulate the NCSA project; what elements; participants; process; admin.; products; outcome</td>
</tr>
<tr>
<td>↑ The initiative is driven by the government</td>
<td>↓ The results of the CDI were not communicated to the right stakeholders.</td>
</tr>
<tr>
<td></td>
<td>↓ The Resource Kit did not provide indicators for quality process or products.</td>
</tr>
<tr>
<td></td>
<td>↓ Few national consultants skilled in project design</td>
</tr>
<tr>
<td></td>
<td>↓ Insufficient capacity among stakeholders hinders the formulation process.</td>
</tr>
<tr>
<td></td>
<td>↓ There are often political issues in selecting an Implementing Agency</td>
</tr>
<tr>
<td></td>
<td>↓ There is often inadequate communication between UNDP HQ and the CO.</td>
</tr>
<tr>
<td></td>
<td>↓ GEF IA coordination with UNDP focal point is weak in some cases.</td>
</tr>
<tr>
<td></td>
<td>↓ In some countries the process is UNDP-driven (through the work of UNDP-supported consultants)</td>
</tr>
<tr>
<td></td>
<td>↓ Lengthy processes in recruitment</td>
</tr>
<tr>
<td></td>
<td>↓ Lengthy process introducing ATLAS</td>
</tr>
<tr>
<td></td>
<td>↓ COs and implementing agency often lack human resources; thus some narrowing down the scope</td>
</tr>
</tbody>
</table>
Global Support Programme  
Capacity Development for global environmental management  
Regional Workshop Report  
Hanoi, Vietnam  
26-28 October 2006

<table>
<thead>
<tr>
<th>INCEPTION</th>
<th>STOCK-TAKING AND THEMATIC ASSESSMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>↑ Sufficient time was allowed for inception</td>
<td>↓ Should have developed and updated the logframe</td>
</tr>
<tr>
<td>↑ Getting buy-in from multiple stakeholders and commitments from multiple levels</td>
<td>↓ Private sector not involved adequately</td>
</tr>
<tr>
<td>↑ Enabled levelling-off among all groups on key concepts and methodology.</td>
<td>↓ Inception would have been used better if we had better formulation</td>
</tr>
<tr>
<td>↑ Identified potential stakeholders.</td>
<td>↓ Redundant to formulate if you had good formulation stage</td>
</tr>
<tr>
<td>↑ Inception phase provided opportunities for adaption of other countries practices</td>
<td>↓ Recruiting of national consultant and appointing technical team</td>
</tr>
<tr>
<td>↑ Strategic tool to gain collaboration from relevant agencies.</td>
<td>↓ Due to geographical extent, some countries have undertaken a complex process of consultations among numerous local stakeholders.</td>
</tr>
<tr>
<td>↑ Able to form three Working Groups.</td>
<td>↓ There are issues associated with having to use international consultants.</td>
</tr>
<tr>
<td>↑ Allow for constant evaluation of agreements made during inception, e.g. definition of cross-cutting; to adjust through learning by doing (adaptive management)*</td>
<td>↓ Strict application of NEX is important.</td>
</tr>
<tr>
<td>↑ Producing reports and getting consensus from project team.</td>
<td>↓ In some cases there is a lack of awareness of the contents of the conventions among stakeholders</td>
</tr>
<tr>
<td>↑ International consultant should give feedback to national team and not produce reports.</td>
<td></td>
</tr>
<tr>
<td>↑ International consultant should come early in the process.</td>
<td></td>
</tr>
<tr>
<td>↑ Defining and agreeing on methodologies and terminologies by project team.</td>
<td></td>
</tr>
<tr>
<td>↑ Important to pick the most suitable government counterparts</td>
<td></td>
</tr>
<tr>
<td>↑ Essential step specifically in terms of:</td>
<td>↑ No clear guidelines for conducting the Stock-taking</td>
</tr>
<tr>
<td>• comprehensive outreach</td>
<td>↓ Analysis is difficult because of the wide range of issues covered.</td>
</tr>
<tr>
<td>• extensive dialogue</td>
<td>↓ Not helpful. Should be part of Thematic assessment. It is the same thing</td>
</tr>
<tr>
<td>• networking</td>
<td>↓ No consensus about “common” and “cross-cutting” definitions, even among GEF, UNDP, UNEP.</td>
</tr>
<tr>
<td>• inventory</td>
<td>↓ Linkage with MDG was confusing/ repetitive</td>
</tr>
<tr>
<td>• information dissemination particularly on the MEAs covered</td>
<td>↓ Linking with sustainable development goals was difficult, duplicative</td>
</tr>
<tr>
<td>↑ Needs to be a continuing activity*</td>
<td>↓ No clear guidance on how to link.</td>
</tr>
<tr>
<td>↑ Provides the baseline for the assessment</td>
<td>↓ Formally asking for information document from government agencies do not work well.</td>
</tr>
<tr>
<td>↑ Provides opportunities to link with overall national sustainable developments goals.</td>
<td>↓ Confusing terminologies and not well-defined methodologies.</td>
</tr>
<tr>
<td>↑ WG members were made aware of obligations by each Convention.</td>
<td>↓ Insufficient knowledge about the Conventions.</td>
</tr>
<tr>
<td>↑ Utilize already existing assessments and strategies (NBSAP, TNA, INC, NAP, etc.)*</td>
<td>↓ Criteria for prioritization are not clear in guidelines.</td>
</tr>
<tr>
<td>↑ Use questionnaires and focus groups.</td>
<td>↓ No evaluation tools available to assess project outputs.</td>
</tr>
<tr>
<td>↑ Reviewing of convention requirements</td>
<td>↓ Do not assign all technical work to thematic working groups (Too busy to do)*</td>
</tr>
<tr>
<td>↑ Prioritization is essential</td>
<td>↓ May not lead to refinement and synthesis of previous action plans developed separately for each convention.</td>
</tr>
<tr>
<td>↑ Enabled multi-stakeholder consultation</td>
<td></td>
</tr>
<tr>
<td>↑ Enabled validation and further collection of information.</td>
<td></td>
</tr>
<tr>
<td>↑ Substantial new information on the 3 Conventions is shared through the process.</td>
<td></td>
</tr>
</tbody>
</table>

of the project  
Requirement for longer project duration.
Provides a systematic assessment of national implementation of the conventions.
Removal of sectoral ego; gaps and overlaps are minimized.
Increased collaborations to achieve synergies.

**CROSS-CUTTING**

- It is important to focus on the substantive (environmental) cross-cutting requirements/objectives from the MEAs.
- Simple visual representation can be used to identify the capacity needs of 3 thematic areas.
- It is a useful educational process for convention focal points to be aware of linkages (mutual learning between and among the 3 focal points).
- Substantial increase of awareness due to the cross-cutting nature of the issues.

- Need for clear and consistent interpretation of the guidelines.
- The different cross-cutting analysis methods recommended produced different results:
  - Substantive issues
  - Management and operational issues
  - Confusion over cross-cutting and common issues
  - Dealing with new concept of synergies
  - Organization of the cross-cutting report
  - Linking NCSA outputs to MDGs and country programming documents is not straightforward.

**FINAL NCSA REPORT and ACTION PLAN**

- The structure should be a broader strategic framework/a chapeau, which would include plans for specific actions.
- It serves as the groundwork/foundation for development of regular GEF projects.
- Enables prioritization of the action agenda
- The process used generates high country ownership of the priority decisions made (compared to other Action Plans).
- The process enables identification of the key agencies responsible for specific capacity actions.
- The process makes it clear who are the stakeholders and how they are involved.
- Coordination of inter-ministerial focal points is essential.
- Full government ownership and UNDP playing a supporting role are important.
- The planning process provides a good basis for decision making.
- The NCSA plan provides opportunities for mainstreaming.
- It is useful to learn from other countries, not re-invent the wheel.
- Donor commitment should be sought to support NCSA action plan implementation; by linking the CD strategy with the donors’ strategies.
- The NCSA process promotes coordination among stakeholders.
- It helps countries in the region to share technical assistance and learn from the process.
- NCSA increased governments understanding of the conventions.
- Government interest in developing country capacity was stimulated.

- It was misleading to indicate that an Action Plan is optional; it is the essential product of the NCSA.
- Essential to have a clear logical structure for the action plan.
- Action Plan needs to be specific, however that binds us to the result (may want to leave room for modification).
- No clear guidance on how we can monitor and evaluate Action Plan implementation.
- It is a sensitive issue if the NCSA finds capacity problems of transparency and accountability.
- Government has the impression that its conduct is being evaluated.
- Support for the NCSA outcome from UNDP senior management is essential.
- There is resentment from stakeholders to doing yet another assessment activity; many have been done in the past.
- A number of issues relate to the NCSA Project Steering committee: does not always work; competent people are too busy; difficult to get their commitment.
- It is a challenge to integrate the NCSA into the mainstream of government planning.

**ANNEX VI**

**REVIEW OF NCSA RESULTS ACHIEVED**

**BHUTAN**

**Theme-Specific Capacity Development Needs**

Theme-specific capacity development needs have been identified in the following order of priority:

- Inter-institutional coordination and collaboration strategy for biodiversity conservation
- National Biosafety Act
- Institutional strengthening of RSPN
- Development of infrastructure for protected area management
- National Coordination Unit for CBD
7. Expansion of ex-situ conservation programme

In the Climate Change Thematic Area
1. National Energy Policy and Strategy
2. Clean Development Mechanism framework and guidelines
3. Weather Monitoring and Forecasting Center
4. GHG Database and Inventory System
5. Waste Management Policy and Act
6. Natural Disaster Management Strategy
7. Strengthening of DGL for coordination of natural disaster management
8. Strengthening of RSTA
9. Institution for research and development of energy efficient devices and alternate energy
10. National Coordination Unit for Climate Change
11. Institutionalizing environmental management functions in the industrial agencies
12. Diversification of waste management measures

In the Land Degradation Thematic Area
1. National Action Programme to combat land degradation
2. Sustainable Land Management Policy
3. Grazing Act
4. Grazing management rules and guidelines
5. Land use management regulations and guidelines
6. Streamlining of legal provisions related to quarrying
7. Soil mapping and database
8. Development of information on grazing, with particular reference to carrying capacity and environmental impacts
9. Strengthening of NSSC for UNCCD related tasks
10. Monitoring and evaluation of FMUs

Cross-cutting Capacity Development Needs

The following cross-cutting areas have been identified based on discussions with the NCSA thematic working groups, additional information analysis and expert opinions from key people in the environment field:

1. Environmental Impact Assessment
2. Strategic Environmental Assessment
3. Harmonization of Environmental Management Laws
4. Public Awareness and Education for Environmental Management
5. Forest Fire Management
6. Strategic Planning for Environmental Management
7. Integrated Environmental Information Management System
8. Sustainable Financing Mechanism
9. Local Environmental Governance

Cross-cutting capacity development needs have been identified in the following order of priority:
1. Establishment of environmental units in MoA, MoIC and MoH, and in Dzongkhag Administrations
2. Training of personnel in the environmental units in line ministries and agencies and in Dzongkhag Administrations in environmental assessment, clearance and monitoring
3. Harmonization of environmental laws and associated regulations (NEPA or any other mechanism)
4. Forest fire fighting and communication equipment
5. National Forest Fire Management Strategy
6. Development of guidelines on forest fire management techniques
7. Training on forest fire prevention and control for forestry staff, local communities and armed personnel
8. Guidelines to implement environmental management provisions incorporated in the DYT and GYT Chathrims 2002
9. Training of DYT and GYT members on guidelines for implementation of environmental management provisions incorporated in the DYT and GYT Chathrims 2002
10. Training on strategic planning tools and techniques for staff with planning responsibility in various environmental management agencies
11. Creation of integrated environmental information management system and installation at dzongkhag, regional and central levels
12. Training of relevant staff in the application and functions of the integrated environmental information system
13. Creation of SEA Unit under Department of Planning
14. Development of SEA guidelines
15. Training of DoP officials in SEA concept, approaches and tools
16. Public-Private Partnership Strategy for environmental financing
17. Inter-institutional coordination and collaboration mechanism for environmental education and awareness
18. Integration of environmental education in educational institutes and programmes
19. Strategy for environmental education and awareness
20. Monitoring and evaluation of environmental education programmes
21. Training of staff of NECS, RSPN, NBC and City Corporation in environmental education and communication
22. Expansion of BTF funding portfolio to cover additional areas of environmental management especially in the brown sector

Opportunities for Synergy

The Five-Year Plan development process, National Environment Strategy and Action Plan, Millennium Development Goals, and processes involved in the preparation of Convention-related documents are the key opportunities to bring together multiple stakeholders to discuss issues that cut across various sectors, identify collective solutions, maximize impact and create synergy for environmentally sustainable development, drawing upon the comparative advantages of the various stakeholders.

Action Plan

Overall Objective

To strengthen the systemic, institutional and individual capacities of the Royal Government of Bhutan and its partners in the non-government, public and private sectors for effective implementation of the Rio Convention obligations consistent with national circumstances and needs for sustainable development as reflected in Bhutan 2020.

Immediate Objective

To address the identified capacity development priorities at the systemic, institutional and individual levels of the Royal Government of Bhutan and its partners in the non-government, public and private sectors for improved implementation of the Rio Convention obligations consistent with national circumstances and needs for sustainable development over the next five years as reflected in cross-sectoral and sectoral plans and programmes.

Outputs

- Policy and legal framework for environmentally sustainable development improved
- Implementation of environmental management mandates at the central, dzongkhag and geog levels improved
- Information and monitoring systems in the areas of biodiversity, climate change and land degradation strengthened
- Implementation capacity of NECS and MoA enhanced to effectively function as national focal agencies for the Rio Conventions
- Institutional mechanisms for environmental management strengthened
- Environmental financing mechanisms strengthened
- Environmental education and awareness programmes strengthened

The capacity development needs identified for the thematic and cross-cutting areas have been translated into activities under each of the aforesaid outputs. The Action Plan also provides a Table of Action, giving an overview of the capacity development activities in relation to the thematic area, type of capacity, level of priority, implementation timeframe, and responsible institution(s).

It will be extremely difficult to implement the Action Plan as a single, consolidated package. Therefore, based on the proposed Table of Action, the NECS – in consultation with the stakeholders involved in the NCsA process – will package the capacity development priorities into 3 to 5 detailed project proposals for funding consideration by RGoB, GEF, UNDP and other potential donors in the field of environmental management capacity development. Each project proposal will provide the rationale, work plan, implementation arrangements, budget, and co-financing arrangements.

Some project ideas

- Enhancing Environmental Management in Local Governance System, focusing on developing the capacity of DYTs and GYTs to implement the environmental provisions incorporated in the DYT and GYT Chathrims 2002. This would entail training workshops but also preparation of guidelines for implementation of the environmental management provisions.
- Strengthening Policy and Legal Framework for Environmental Management, aiming at reviewing and revising existing policies and legislations that contain ambiguities and contradictions, developing new policies and legislations (e.g. National Biosafety Act, Grazing Act and Waste Management Act) needed to ensure environmentally sustainable development consistent with Rio Convention obligations, conducting research to support development of policies and legislation, and developing instruments (guidelines,
information dissemination, training workshop, networking and coordination mechanisms) to support the implementation of the policies and legislations.

- Strengthening Information and Monitoring System for Environmental Management that includes creation of an integrated environmental information system covering biodiversity, climate change and land degradation aspects and a GHG database and inventory system to monitor GHG emission trends and issues. This will aid planning and decision-making as well as enable production of State of the Environment, National Communication to the UNFCCC, National GHG Inventory with greater accuracy and expeditiousness.

CAMBODIA

1. Understanding Capacity and capacity development:

Capacity is broadly defined as the ability of individuals, institutions and broader systems to perform their functions effectively, efficiently and in a sustainable way. Another word, capacity is capability with a commitment to achieve an objective. Capacity can be referred to as ability to perform the following functions:

- organizing and formulating policies, legislations, strategies and programmes;
- implementing and enforcing policies, legislations and strategies, often through projects, notably by mobilising and managing all required resources;
- building consensus and partnerships among all stakeholders;
- mobilizing information and knowledge;
- monitoring, evaluating, reporting and learning.

Capacity can be divided into four dimensions as follow:

**Legitimacy (Supporting constituency)**

This capacity includes whether the overall policy environment conducive for the institution to perform its mandate, and the availability of support and partners to work with to achieve tasks.

**Institutional capacity**

This refers to whether an institution is clearly mandated with responsibility to work on certain issues and is held publicly accountable. This also includes appropriate and defined structure, responsibility and availability of staff of relevant skills and knowledge as one assemble unit to perform designated mandate, sufficient information, and linkage with other institutions. This also consist ability to interact or work collectively in an effective manner. Appropriate governance in place such as effective flow of process in information sharing and decision making within the institution also form part of the institutional capacity.

**Human (technical) capacity:**

This can be referred to the availability of adequate and sufficiently skilled human resources that are appropriately deployed according to their skills, with their jobs correctly defined and understood. It also includes appropriate training obtained by the individuals and ability to advance and develop professionally as well as to hold accountable for their jobs. The ability to share and communicate with relevant groups including moral and motivation also form part of the individual capacity.

**Financial Capacity**

This includes the ability to obtain and raise fund and manage financial resources for implementing the mandated tasks.

As such, intervention in capacity development can be preceded through the following three levels:

- At the individual level, capacity development refers to the process of changing attitudes and behaviors, most frequently through imparting knowledge and developing skills through training. However it also involves learning by doing, participation, ownership, and processes associated with increasing performance through changes in management, motivation, morale, and levels of accountability and responsibility.
- Capacity development at the organizational level focuses on overall performance and functioning capabilities, such as developing mandates, tools, guidelines and information management systems for the ability of the organization to adapt to change. It aims to develop its constituent individuals and groups, as well as its relationship to the outside.
- At the systemic level capacity building is concerned with the creation of “enabling environments”, i.e., the overall policy, economic, regulatory, and accountability frameworks within which institutions and individuals operate. Relationships and processes between institutions, both formal and informal, as well as their mandates, are important.

2. Stock-Taking

---

1 UNDP/GEF. 2003. Capacity Development Indicators. UNDP/GEF Resource Kit (No. 4)
2 ‘Capacity Development Indicators, UNDP/GEF Resource Kit’, UNDP/GEF 2004
2.1 Paper collection and Review

Criteria for Collecting and Reviewing Documents
- Papers that describe Cambodia’s commitments to the Conventions in questions
- Papers that describe what and how Cambodia commit itself to achieve national sustainable development and poverty reduction
- Papers that may contain information on past capacity need assessment or development including on the methodology, activities and stakeholders,
- Proceedings of recent national and provincial workshops on subjects related to climate change (including energy efficiency, sustainable energy, CDM) and biodiversity.

2.2 Papers collected and reviewed

For both Climate Change and Biodiversity:
- UNDP/GEF National Capacity Self-Assessment: A Resource Tool Kit
- The RGC’s Policy Platform for the Third Legislature of the National Assembly (2004)
- National Poverty Reduction Strategy (2003-05)
- Second Five Year Socio-Economic Development Plan (2001-05)
- Cambodia’s Report to WSSD: National Assessment of Implementation of Agenda 21 -Progress, Challenges and Directions
- Cambodia’s Governance Action Plan (GAP)
- Capacity Building Practices of Cambodia’s Development Partners - Results of a Survey (Government - Donor Partnership Working Group, Cambodia Rehabilitation and Development Board, CDC, June 2004)

For Climate Change:
- Text of the UNFCCC and Kyoto Protocol, including selected CoP’s decisions,
- Cambodia’s Initial National Communication
- Cambodia’s National Action Plan for Climate Change (2001)
- Selected Outputs of UNDP/GEF funded Climate Change Enabling Activities Project (2001)
- Selected outputs of UNDP/GEF funded Project on Formulation of National Program of Actions for Adaptation to Climate Change, and Proceedings of Workshops from the said projects,
- Land Law
- MIME: Cambodia Power Sector Strategy (1999-2016),

For Biodiversity:
- Text of the CBD and Cartagena Protocol on Biosafety and UNFCCC and Kyoto Protocol, including selected CoP’s decisions,
- Cambodia’s National Biodiversity Strategy and Acton Plan (2002)
- Survey report on national capacity resources, uses of biotechnologies and existing national bilateral and multilateral cooperative programs on capacity building and R&D in Biotechnology, Cambodia (2003)
- Land Law
- MoC: Annual report (2002-03), Decision (No. 54) on Establishment of Negotiating Team for Cambodia Accession to WTO.
- DANIDA funded Coastal Zone Management Project
- Project on Biodiversity and Protected Area Management in Virachey NP
3. Primary information collection
3.1 Stakeholder identification process:
- Review the information such as reports and workshop proceedings regarding agencies that have been involved in past initiatives related to the conventions in question.
- Review the mandate and institutional structure for relevant agencies and stakeholders,
- Study the NGOs directory for NGOs with relevant activities
- Group discussion on the stakeholders.

Guiding principle for identifying Stakeholders
Stakeholders were identified and selected through consultation with the following criteria:
- Who makes/influences related policy and decisions?
- Who could "champion" the capacity initiative?
- Who could provide financial and technical resources?
- Who would be affected by the project?
- Who are the direct/indirect beneficiaries?
- Who has no formal "voice" yet merits special attention?
- Who represents those impacted?
- Who is likely to support or oppose the initiative?
- Who is responsible for implementation?
- What political forces are there?
- Adequate representation in the sample.

Matrix for Stakeholder Analysis:

<table>
<thead>
<tr>
<th>Stakeholder Name</th>
<th>Stakeholder Interests, Position and Official Mandate</th>
<th>Reasons for Inclusion</th>
</tr>
</thead>
<tbody>
<tr>
<td>MoC</td>
<td>Deal with Import- Export, WTO accession, Control imported and exported products (quality and quantity)</td>
<td>Control movement of contaminated products and potentially LMOs, Facilitation and influence on trading and transfer on technology on CDM</td>
</tr>
<tr>
<td>CNMC</td>
<td>Coordinate for water and other resource management and development in the Mekong basin</td>
<td>Coordinating for development of Basin Development Plan, Facilitation with regard water resources development</td>
</tr>
<tr>
<td>DAALI</td>
<td>Crop production, Plant Quarantine, Plant protection, Land Improvement, Organic agriculture</td>
<td>Control of pest (IPM), Plant quarantine, Advice on use of appropriate chemicals, Promotion of appropriate farming technology, Influencing policy and practice of farming technology that reduce CH4</td>
</tr>
<tr>
<td>DCD/MRD</td>
<td>Community development to promote sustainable livelihood, Non-formal education, environmental awareness with regards sustainable use of resources.</td>
<td></td>
</tr>
<tr>
<td>DEEIE (MoE)</td>
<td>Promote awareness on environment an resources</td>
<td>Development of awareness materials and conduct awareness activities</td>
</tr>
<tr>
<td>DEIA (MoE)</td>
<td>Review EIA, Develop and enforcement of guidelines related to EIA</td>
<td>Assessing impacts from development activities on biological resources and livelihood, Assessing impacts from development activities with regards source of pollution and ambient air</td>
</tr>
<tr>
<td>DHAP</td>
<td>Promotion of animal production, veterinary, animal quarantine,</td>
<td>Policy and action in support animal production, appropriate framing techniques and control of introduced animal species, potentially LMOs, Appropriate animal raising techniques that reduce enteric fermentation.</td>
</tr>
<tr>
<td>DNCP (MoE)</td>
<td>Management and conservation of biodiversity, planning, Management</td>
<td>Direct engagement in the management and conservation initiatives, Community based resource management</td>
</tr>
<tr>
<td>DNRAEDM (MoE)</td>
<td>Collection, storage and processing data, mapping and GIS</td>
<td>Data base management and information sharing</td>
</tr>
<tr>
<td>DoF</td>
<td>Promotion of public participation, aquatic biodiversity conservation and sustainable use of aquatic resources, and potentially aquatic LMOs,</td>
<td>Control on introduced aquatic species, biodiversity conservation and sustainable use, promotion of fish production, Protection and rehabilitation of flooded forest and food security as adaptation measures to climate change</td>
</tr>
<tr>
<td>DoM/MoWRAM</td>
<td>Record and analysis weather variable</td>
<td>Provision of climate data and information on early warning</td>
</tr>
<tr>
<td>DPC (MoE)</td>
<td>Set standards and monitoring</td>
<td>Policy influence and, Promotion on appropriate</td>
</tr>
<tr>
<td><strong>Academic and Research Institutions</strong></td>
<td><strong>International Organisations</strong></td>
<td><strong>Non-governmental Organisation</strong></td>
</tr>
<tr>
<td>--------------------------------------</td>
<td>---------------------------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td><strong>DPLA (MoE)</strong></td>
<td><strong>ADB</strong></td>
<td><strong>CCEC</strong></td>
</tr>
<tr>
<td><strong>Natural Resources Strategic Planning, PA and other Law</strong></td>
<td><strong>Promote sectoral relation, policy dialogue, support country activities, coordinate aid, assist in external relations and information dissemination</strong></td>
<td><strong>Promote awareness and education on sustainable energy</strong></td>
</tr>
<tr>
<td><strong>Decision power in planning, policy, plan and legislation development</strong></td>
<td><strong>Funding and policy influence on biodiversity conservation</strong></td>
<td><strong>Introduction of sustainable energy</strong></td>
</tr>
<tr>
<td><strong>Influence on policy, implementation and promotion of awareness and secretariat of NDA</strong></td>
<td><strong>Funding and policy influence on energy sector</strong></td>
<td><strong>Cedac</strong></td>
</tr>
<tr>
<td><strong>FA</strong></td>
<td><strong>UNDP</strong></td>
<td><strong>CEDAC</strong></td>
</tr>
<tr>
<td><strong>Forestry policy, sustainable use of forest resources, Community forestry, Protection Forest, Wildlife Conservation</strong></td>
<td><strong>Advocate for change and connect countries to knowledge, experience and resources</strong></td>
<td><strong>Promotion of agricultural development</strong></td>
</tr>
<tr>
<td><strong>Forest policy and ground implementation related to protection of species and ecosystem</strong></td>
<td><strong>Influence policy decision, planning, and mobilize financial resources</strong></td>
<td><strong>Provision of knowledge and influence sustainable agricultural practices</strong></td>
</tr>
<tr>
<td><strong>Ensure forest cover and forest rehabilitation and implementation of CDM on reforestation and afforestation</strong></td>
<td><strong>Forest conservation as contribution to carbon sink</strong></td>
<td><strong>Influence policy decision on clean development practices</strong></td>
</tr>
<tr>
<td><strong>NCDM</strong></td>
<td><strong>WWF</strong></td>
<td><strong>FACT</strong></td>
</tr>
<tr>
<td><strong>Coordinate for rescuer, relief, warning, post disaster rehabilitation, education and awareness raising</strong></td>
<td><strong>Conservation of landscape, species and population; community education and development, Monitoring</strong></td>
<td><strong>People awareness raising on conservation of flooded forest and energy saving</strong></td>
</tr>
<tr>
<td><strong>Coordination for rescuer, relief and for post event rehabilitation</strong></td>
<td><strong>Funding, conservation planning, capacity development, In-service training</strong></td>
<td><strong>People awareness raising on conservation of flooded forest and energy saving</strong></td>
</tr>
<tr>
<td><strong>PPWMA</strong></td>
<td></td>
<td><strong>GERES-CFSP</strong></td>
</tr>
<tr>
<td><strong>Management of landfill site and waste collection</strong></td>
<td></td>
<td><strong>Promotion of sustainable energy</strong></td>
</tr>
<tr>
<td><strong>Promote capture of methane</strong></td>
<td></td>
<td><strong>Promotion of CDM, wood energy saving</strong></td>
</tr>
<tr>
<td><strong>Ream NP</strong></td>
<td></td>
<td><strong>Miup Baitong</strong></td>
</tr>
<tr>
<td><strong>Field management of protected area</strong></td>
<td></td>
<td><strong>Promotion of community based resource management, training, sustainable</strong></td>
</tr>
<tr>
<td><strong>Day to day planning and management of resources</strong></td>
<td></td>
<td><strong>Promotion of community based resource management, training, sustainable</strong></td>
</tr>
<tr>
<td><strong>Tamao Zoo</strong></td>
<td></td>
<td><strong>Environmental protection, preservation of indigenous knowledge, community resource</strong></td>
</tr>
<tr>
<td><strong>Wildlife rescue, Breeding, gene bank, naturalization, wildlife treatment</strong></td>
<td></td>
<td><strong>Promotion of community based resource management, training, sustainable</strong></td>
</tr>
<tr>
<td><strong>Ex-situ conservation, Conservation of genetic resources, preservation of endangered population,</strong></td>
<td></td>
<td><strong>Environmental protection, preservation of indigenous knowledge, community resource</strong></td>
</tr>
<tr>
<td><strong>Academic and Research Institutions</strong></td>
<td><strong>International Organisations</strong></td>
<td><strong>Non-governmental Organisation</strong></td>
</tr>
<tr>
<td><strong>CARDI</strong></td>
<td><strong>ADB</strong></td>
<td><strong>CCEC</strong></td>
</tr>
<tr>
<td><strong>Agricultural research and development, training, extension, potential seed bank,</strong></td>
<td><strong>Promote sectoral relation, policy dialogue, support country activities, coordinate aid, assist in external relations and information dissemination</strong></td>
<td><strong>Promote awareness and education on sustainable energy</strong></td>
</tr>
<tr>
<td><strong>Development of farming technology, new crop varieties, preservation of plant genetic resources, share technology,</strong></td>
<td><strong>Funding and policy influence on biodiversity conservation</strong></td>
<td><strong>Introduction of sustainable energy</strong></td>
</tr>
<tr>
<td><strong>Farming technology and seed that adapt to climate change</strong></td>
<td><strong>Funding and policy influence on energy sector</strong></td>
<td><strong>Cedac</strong></td>
</tr>
<tr>
<td><strong>IFReDI</strong></td>
<td><strong>UNDP</strong></td>
<td><strong>CEDAC</strong></td>
</tr>
<tr>
<td><strong>Research and development of fisheries</strong></td>
<td><strong>Advocate for change and connect countries to knowledge, experience and resources</strong></td>
<td><strong>Promotion of agricultural development</strong></td>
</tr>
<tr>
<td><strong>Promote the preservation of indigenous species in farming system</strong></td>
<td><strong>Influence policy decision, planning, and mobilize financial resources</strong></td>
<td><strong>Provision of knowledge and influence sustainable agricultural practices</strong></td>
</tr>
<tr>
<td><strong>Data and information from research on food for adaptation</strong></td>
<td><strong>Forest conservation as contribution to carbon sink</strong></td>
<td><strong>Influence policy decision on clean development practices</strong></td>
</tr>
<tr>
<td><strong>PAC</strong></td>
<td><strong>WWF</strong></td>
<td><strong>FACT</strong></td>
</tr>
<tr>
<td><strong>Education in sustainable agricultural production and sustainable use of natural resource for graduates and undergraduates</strong></td>
<td><strong>Conservation of landscape, species and population; community education and development, Monitoring</strong></td>
<td><strong>People awareness raising on conservation of flooded forest and energy saving</strong></td>
</tr>
<tr>
<td><strong>Strengthening natural resources conservation aspect in school curricula</strong></td>
<td><strong>Funding, conservation planning, capacity development, In-service training</strong></td>
<td><strong>People awareness raising on conservation of flooded forest and energy saving</strong></td>
</tr>
<tr>
<td><strong>Introduction of appropriate farming techniques to reduce CH4, reforestation and afforestation techniques into curriculum</strong></td>
<td><strong>Forest conservation as contribution to carbon sink</strong></td>
<td><strong>People awareness raising on conservation of flooded forest and energy saving</strong></td>
</tr>
<tr>
<td><strong>RUA</strong></td>
<td><strong>RUPP</strong></td>
<td><strong>GERES-CFSP</strong></td>
</tr>
<tr>
<td><strong>Education in sustainable agricultural production and sustainable use of natural resource for graduates and undergraduates</strong></td>
<td><strong>Education in the field of environment, natural resource management and sustainable use of resources for undergraduate</strong></td>
<td><strong>Promotion of sustainable energy</strong></td>
</tr>
<tr>
<td><strong>Strengthening natural resources conservation aspect in school curricula</strong></td>
<td><strong>Strengthening natural resources conservation aspect in school curricula</strong></td>
<td><strong>Promotion of CDM, wood energy saving</strong></td>
</tr>
<tr>
<td><strong>Introduction of appropriate farming techniques to reduce CH4, reforestation and afforestation techniques into curriculum</strong></td>
<td><strong>Introduction of appropriate farming techniques to reduce CH4, reforestation and afforestation techniques into curriculum</strong></td>
<td><strong>Promotion of CDM, wood energy saving</strong></td>
</tr>
<tr>
<td><strong>RUPP</strong></td>
<td><strong>ADB</strong></td>
<td><strong>Miup Baitong</strong></td>
</tr>
<tr>
<td><strong>Education in the field of environment, natural resource management and sustainable use of resources for undergraduate</strong></td>
<td><strong>Promote sectoral relation, policy dialogue, support country activities, coordinate aid, assist in external relations and information dissemination</strong></td>
<td><strong>Promotion of community based resource management, training, sustainable</strong></td>
</tr>
</tbody>
</table>
management | livelihood activities, people participation, advocacy
--- | ---
NGO Forum | Coordination of environmental and resource initiatives, advocacy, strategy, and coordination.
WMC | Promotion awareness through public media.

**Private Sector**

ACLEDA | Promoting economic activities ranging from self-employment and small business, to medium size enterprise.
Advantec | Promotion and introduction of energy saving.
EDC | Energy commercialization, energy saving and efficiency, market investment, rural electrification.

### 3.2 Technique for primary information collection

A combination of approaches was used to collect primary data and information from identified agencies and organizations using matrix table and SWOT. To collect information from government agencies, a formal request was made to the Minister or Head of the relevant Agencies for a session with officials of the relevant departments under the ministry. A session was organized with officials from Department of the Ministry in question collectively or with individual department depending on their choice. For NGOs and International organisations, calls and e-mails were sent attached with information package for them to decide if they would require a session with the project staff to explain about the project and to guide the information gathering process. The information package consists of a short background of the project, the definition on capacity in the format consistent with the Matrix and SWOT, the SWOT and the Matrix table of the relevant thematic issues.

Where a session was required, participants were first explained briefly of the project background, the three level of capacity that is divided into four dimensions, the content in each of the Matrix table, and how to fill in the matrix and the SWOT. The participants were requested to work and complete matrix for one of the thematic issues of their concern before moving to another. The surveyors consisting, where appropriate, of team leader of thematic issues and selected capacity analysts provide continued advice in all steps of the process to ensure participants understood all the points in the matrix. SWOT was filled at the end of session when participants have filled out all the matrix tables of relevant issues them. Initially the team plan for SWOT to be discussed by the participants all together for each agency, however it was felt that in Cambodia, particularly the government system, junior officials do not normally dare challenge their director. Thus the project teams finally decided that only one SWOT for the three thematic issues is filled by participants individually.

**Tool for Data Gathering**

Reflecting the obligations under individual convention and past capacity assessment in the country, a set of key capacity needs were identified and put in a matrix subject to self-assessment by participants for the four dimensions. In filling the matrix, a ranking system was designed to facilitate for easy inputs by participant and to minimize time requirement by the participants in filling the matrix, as well as easy processing of the collected information was prospected. An operational definition was developed as benchmark set for the four capacity dimensions and scoring system was suggested for perceived capacity needs to undertake tasks and obligations defined in the matrix. In order for the participants to SWOT was designed for participants to conduct assessment of their agencies for sufficiency, efficiency and sustainability.

### 4. Summary of participants and agencies involving in filling Matrix and SWOT

**Profile of Participants in the Survey:**

<table>
<thead>
<tr>
<th>Participants</th>
<th>Climate Change</th>
<th>Biodiversity</th>
<th>Land Degradation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department</td>
<td>76.11</td>
<td>92.05</td>
<td>84.11</td>
</tr>
<tr>
<td>Office/Division</td>
<td>92.05</td>
<td>76.11</td>
<td>92.05</td>
</tr>
<tr>
<td>University/Faculty/ Research Institution Head</td>
<td>76.11</td>
<td>92.05</td>
<td>84.11</td>
</tr>
<tr>
<td>University Lecturer</td>
<td>92.05</td>
<td>76.11</td>
<td>92.05</td>
</tr>
<tr>
<td>Director NGO</td>
<td>76.11</td>
<td>92.05</td>
<td>84.11</td>
</tr>
<tr>
<td>Program Coordinator/ Manager</td>
<td>92.05</td>
<td>76.11</td>
<td>92.05</td>
</tr>
<tr>
<td>Technical officer</td>
<td>92.05</td>
<td>76.11</td>
<td>92.05</td>
</tr>
<tr>
<td>Administrator/Human Development</td>
<td>92.05</td>
<td>76.11</td>
<td>92.05</td>
</tr>
<tr>
<td>Total</td>
<td>76.11</td>
<td>92.05</td>
<td>84.11</td>
</tr>
</tbody>
</table>
5. Observed constraints in data gathering

Although the information gathering proceeded relatively smooth and results satisfactorily achieved, there were few constraints observed:

- Many agencies, particularly the government Departments seem unfamiliar with the method, particularly the matrix as they normally work with box to tick or conventional question-answer sheet;
- Participants have relatively poor understanding about the project objectives, and thus hesitated to give rating on the capacity needs for they initially perceived it is to assess their agency capacity rather than capacity needs; This make them hesitated to give a low scoring for fearing that their agency score fall below the others’;
- Participants emphasis stronger on the meaning and obligation under the convention rather than the individual tasks stated in the matrix;
- There were also few case of concern if the survey would result in accurate and representative information of the capacity needs;
- Some participants complained they need more time to be considerate of the situation in their agency before they can fill in the Matrix, arguing they may not know in details all aspects related to the tasks for which capacity needs are to be assessed in the matrix;
- Although participants were mostly designated by their directors to attend the session, some show little interest and some appeared to have busy schedule;
- Some complain that they were unfamiliarity with some terminology in local language.
- Not all the target agencies were present to fill the Matrix.

List of tasks and obligations for which capacity needs were assessed for four dimensions

A. CONVENTION ON BIOLOGICAL DIVERSITY

1. Planning for and implementation of conservation and sustainable use of biological resources
   - Undertake to integrate biodiversity conservation in the context of national development plan and poverty reduction strategy or sectoral plan
   - Produce tool or method to guide sustainable resource use and management
   - Undertake training or public information activities on aspects of sustainable use and management practices
   - Promote or engage in law enforcement with regard sustainable resource use and management

2. Promotion of Agro-biodiversity
   - Undertake to integrate sustainable (crop and livestock) farming system in the context of national development plan and poverty reduction strategy or sectoral plan
   - Conduct R&D to guide sustainable (crop and livestock) farming system
   - Undertake training and public information activities to promote sustainable (crop and livestock) farming system
   - Undertake to promote Integrated Pest Management (IPM)

3. Preserving indigenous and traditional knowledge, innovation and practices
   - Undertake documentation and sharing of indigenous and traditional knowledge and practices on farming, and use and management of resources
   - Undertake to promote local initiatives in sustainable resource use and farming practices
   - Undertake to integrate indigenous knowledge and practices into planning, decision and implementation process

4. Ex-situ conservation of biodiversity
   - Conduct research and identification of species requiring intensive conservation effort
   - Develop tool and conduct public awareness on identification of species or genetic resources requiring intensive conservation effort
   - Engage or promote law enforcement for rescue and combating trade in species requiring intensive conservation effort
   - Develop mechanisms such as establishment of gene bank or botanical garden for ex-situ conservation of critical species

5. Regulating access, transport, transit and the handling of LMOs
   - Develop and maintain database and information networking on LMOs
   - Undertake risk assessment and management with respect handling and use of LMOs
   - Undertake monitoring movement and impacts of LMOs
   - Undertake training and public awareness on identification, safe handling, transportation, transfer and use of LMOs

6. Regulating the commercialisation and ensuring benefit sharing from genetic resources
   - Undertake training on identification and detection of LMOs
   - Need for assessment of imported, stocked and sale of LMOs
   - Undertake to monitor compliance on labelling of LMOs products
• Develop and enforce tools to ensure benefit sharing of revenues from commercialisation of genetic resources

7. Clearing house mechanism (CHM) and information management
   • Undertake or engage the establishment of a NBS board
   • Undertake to create a National Secretariat for NBS framework
   • Develop and maintain coordination and information sharing mechanism with relevant agencies
   • Undertake to ensure communications with the Cartagena protocol and its BCH

B. UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

1. Preparing and managing GHG Inventories, including emission database management
   • Undertake to ensure continuous collection and maintenance of activity data, the improvement of their accuracy and reliability, and analytical skills

2. Information & Networking, incl. Access to Information Systems & Establishment of Databases
   • Undertake to improve information exchange between stakeholders and facilitate public access to information related to activity data or on climate change
   • Undertake to ensure the collection, process and maintenance of the above data and information

3. Assessing Vulnerability, Mitigation, and Adaptations
   • Undertake to ensure comprehensive and broad involvement particularly the poor in the assessment for climate change vulnerability
   • Undertake to ensure mitigation and adaptation measures are pursued concurrently with national poverty reduction plans and economic development strategies

4. Developing and Implementation of Mitigation and Adaptation Plans and Measures
   • Undertake to ensure the development and implementation of mitigation and adaptation plan and measures in the agency
   • Undertake to ensure research and improved collection and analysis of activity data to assess and respond effectively to the impacts of climate change

5. Institutional Strengthening incl. establishment of national climate change secretariats or national focal points
   • Undertake to ensure national/sectoral representation on issues related to climate change or data activities, such as preparation of sectoral position papers, national communications or national/sectoral policies
   • Undertake to ensure coordination for implementation of activities related to climate change
   • Undertake to ensure capacity building and awareness raising on activities related to climate change
   • Undertake to ensure the operation of Clean Development Mechanism (CDM) focal point

6. Enhancement and/or Creation of an Enabling Environment
   • Create or enhance enabling environment conducive for promoting implementation of climate change agenda and relevant activities

7. Developing National Climate Change Programmes
   • Undertake to ensure the climate change activities mainstreamed into national planning and sustainable development strategies and that climate change activities are given appropriate national priority
   • Undertake to ensure identification of synergy between activities on the agency in the Climate Change Convention, other multilateral environmental agreements and, particularly conventions on biodiversity and desertification

8. Development and Transfer of Technology
   • Undertake to ensure assessment of technology/practices to exercise development and transfer of technology including bio-technology
   • Undertake to promote technologies and sustainable development programs such as CDM and cogeneration activities

9. Improved Decision-making, including assistance for participation in international negotiations
   • Undertake to develop consultation and negotiation skills to actively participate in the policy/decision process in international forum
   • Undertake to ensure climate change concerns/activities are adequately addressed and not duplicated

3 activity of the agency/unit about e.g. energy efficiency, fuel saving, emission reduction or avoidance, renewable energy, energy production and consumption, or improved industrial processes; weather forecast and hydrological measuring; area of lands used for different crop variety and for different farming practices; vegetation cover, land use changes or planted forest; damages by flood, drought, storm, seawater intrusion, high tides, or sea level rise.
- Undertake to maintain continuity and sustainability in the country representation in international negotiations to ensure institutional memory of issues
- Undertake to ensure increased awareness, information and knowledge to demonstrate to policy/decision makers that climate change is an issue of sustainable development and poverty alleviation

10. Education, Technical Training and Public Awareness
- Conduct additional training on climate change and related issues targeting scientific, technical and managerial personnel
- Undertake to ensure involvement of staff, particularly at provincial and local levels, to benefit from capacity building assistance in the form of training, seminars, project implementation and various other forums
- Develop formal and non-formal information, educational, communication (IEC) instructional materials on climate change and related issues.

C. CONVENTION ON COMBATING LAND DEGRADATION

1. Education and Public Awareness
- Undertake training activities on good soil management practices
- Having formal academic courses and offerings on soil science and good soil management practices
- Undertake regular public information activities on good soil management practices

2. The transfer, acquisition, adaptation and development of economically, socially, and environmentally appropriate technology
- Obtain tools, methods or strategies on good soil management practices from sources outside the agency or organization
- Produce new tools, methods or strategies on good soil management practices in the agency/organization
- Modify tools, methods or strategies on good soil management practices, to better suit the social, economic, and environmental conditions in Cambodia
- Introduce to farmers and other soil management practitioners in Cambodia new tools, methods or strategies on good soil management practices suited for the country

3. Training & technology regarding alternative, renewable energy sources
- Conduct training activities on good soil fertility enhancement, using methods that don’t need inorganic materials and which are renewable
- Conduct training activities on good water management to produce renewable energy
- Offer regular academic courses on good soil and water management practices for sustainable energy development in Cambodia
- Offer new tools and methods on good soil and water management practices that improve energy conservation in Cambodia

4. Promotion of alternative livelihoods, including training in new skills
- Conduct training activities on livelihood skills that conserve soil fertility like organic farming
- Conduct public information and advocacy activities to promote livelihoods that conserve soil fertility like organic farming

5. Training for collection and analysis of data for disseminating & using early warning information systems, covering drought and food production
- Conduct training on climate data assessment to determine and map drought and flooding risks in Cambodia
- Do public information activities on drought, flooding risks in Cambodia

6. Systems to collect, analyze & exchange information
- Develop, operate and maintain tools and procedures for acquiring and exchanging information on good soil and water management practices with other countries
- Develop, operate & maintain tools and procedures for acquiring and exchanging information on good soil and water management practices with soil and water management specialists and practitioners in Cambodia
- Analyze data and information on good soil and water management practices from among soil and water management specialists and practitioners in Cambodia
- Analyze data and information on good soil and water management practices from among soil and water management specialists and practitioners from other countries

4 “Good soil management practices” include soil protection and conservation, water management, soil fertility enhancement and maintenance.
7. Effective early warning & advance planning for periods of adverse climate variations
   Develop and update contingency plans for severe drought and flooding events in Cambodia
   Operate, maintain a system for warning populations and communities at risk of severe drought,
   flooding events

8. Systems for Research and Development
   Conduct regular, continuing Research and Development on good soil and water management practices
   for Cambodia
   Maintain linkages and working arrangements with other Research and Development institutions in and
   outside Cambodia on good soil and water management practices

9. Technical and scientific cooperation
   Doing regular exchanges visits with soil and water management scientists in and outside Cambodia
   Having joint scientific and technical activities with soil and water management scientists in and
   outside Cambodia

10. Joint research programs for the development of appropriate technologies
    • Conducting Research and Development activities on good soil and water management tools and
       methods, with other institutions in and outside Cambodia

### Operational Definition for Assessing Capacity Needs

<table>
<thead>
<tr>
<th>Rating</th>
<th>Supportive (Legitimacy)</th>
<th>Institutional</th>
<th>Human (Technical)</th>
<th>Financial</th>
</tr>
</thead>
<tbody>
<tr>
<td>More than Sufficient (mark 4)</td>
<td>- There are at least 5 partners/agencies involved in achieving objectives of the task, and at least 20 agencies in 3 sectors (donor, public, civil society, private, and academe,...) concerned if the task is done by the agency.</td>
<td>The agency has the legal mandate to do the task, and the task is among the agency’s top 5 performance and program priority for the last 5 years and at least half of the staff understood their mandate and ToRs.</td>
<td>More than two persons in the agency has done this task for over 5 years and more than one of them has post-graduate formal education relevant to the task.</td>
<td>The agency has been able to do the task with its own funds in at least the last 5 years (no donor or external money needed) and it can continue to do so for at least the next five years.</td>
</tr>
<tr>
<td>Sufficient (mark 3)</td>
<td>There are at least 3 partners/agencies involved in achieving objectives of the tasks and 10 agencies from at least 2 sectors (donor, public, civil society, private, academe,...) in the country which are concerned that the task be done by the agency</td>
<td>The agency has the legal mandate to do this task and this task is among the agency’s top 10 performance &amp; program priorities in at least the last 2 years, and at least one third of the agency’s staff understand their mandate and ToRs</td>
<td>More than one person in the agency has been doing the task for over a year and more than one other person in the agency can do the task</td>
<td>The agency has been able to do the task with its own fund in at least the last 2 years (no donor or external money needed) and it can continue to do so for at least the next two years.</td>
</tr>
<tr>
<td>Lacking (mark 2)</td>
<td>There are less than 3 partners agencies involved in achieving objectives of the task, and less than 10 agencies from at least 1 sector (donor, public agency, civil society, private, academe,...) in the country which are concerned that the task be done by the agency</td>
<td>The agency has the legal mandate to do the task but this task has not been among the agency’s top 10 performance &amp; program priorities in at least the last 5 years and only one quarter of the agency’s staff understand their mandate and ToRs.</td>
<td>At least one person in the agency is doing the task and at least one other person in the agency can do the task</td>
<td>The agency has been able to do the task but so far only with donor or external money available but it can continue to do the task without donor or external money in at least two years.</td>
</tr>
<tr>
<td>Severely lacking (mark 1)</td>
<td>There are no partner/agencies involved in achieving objectives of the task and less than 5 agencies from at least 1 sector (donor, public, civil society, private, academe,...) in the country which are concerned that the task be done by the agency</td>
<td>The agency has no legal mandate to do the task and the task is not among the agency’s performance &amp; program in at least the last 5 years and only few of the agency’s staff understand their mandate and ToRs.</td>
<td>Non one person in the agency can do the task</td>
<td>The agency has been able to do the task but so far only with donor or external money available and it will continue to do so for at least the next 5 years.</td>
</tr>
</tbody>
</table>

### CHINA

1. National capability building needs under UNCBD
   • Construction of related policies, laws, regulations and institutions;
• Identification, inventory and monitoring of biodiversity;
• In situ conservation of biodiversity;
• Ex situ conservation of biodiversity;
• Safety management of genetically modified organisms;
• Management and control of alien invasive species;
• Access to and benefit sharing from genetic resources and traditional knowledge;
• Scientific research, human resources and technology transfer;
• Publicity, education and public participation;
• Data management and information exchange;
• Capacity building of local government;
• Capacity building of non-government organizations.

2. National capability building needs under UNFCCC
• Institutional and organizational capacity building;
• Creation and enhancement of enabling environment;
• China’s national communication on climate change and national greenhouse gas inventory;
• National climate change program;
• Vulnerability and adaptation;
• Mitigation policy option assessment;
• Research and systematic observation;
• Technology development and transfer;
• Clean Development Mechanism (CDM);
• Education, training and public awareness;
• Information network and database.

Among them, the most urgent capacity building needs in the near term are as follows:
• Establishment of the CDM management centre;
• Initiation of the second national communication, through which to enhance the national capacity in this regard.
• Formulation and development of national climate change strategy or national program, and policy studies with the aim of integrating climate change issues into the studies on national socio-economic development strategies and programs;
• Capacity for CDM project development and management;
• Development of integrated assessment models, and assessments on the mitigation options and mitigation technologies from social, economic, environmental and technological aspects;
• Further enhancement of the studies on impacts of and adaptation to climate change;
• Enhancement of technology transfer, and development and implementation of pilot projects;
• Enhancement of systematic observation, and improvement of climate model development and application;
• Enhancement of public awareness;
• Establishment and maintenance of integrated climate change information networks and databases.

3. National capacity building needs under UNCCD
• To perfect institutions and to enhance management;
• To perfect laws and regulations, enhance law popularization, improve law implementing environment, and to strengthen law enforcement;
• To enhance the program and project management to heighten benefits;
• To enhance human resources training;
• To enhance information sharing;
• To enhance scientific support capacity;
• To enhance capacity building in desertification monitoring;
• To enhance international cooperation;
• To improve negotiation capacity.

4. National capacity building needs for cross-cutting issues

To determine the cross-cutting areas of capacity building, it is necessary to judge the restriction of those criteria in Section 4.1 on the shared priority areas of capacity buildings under the three Conventions. Firstly, in those shared priority areas, there are no barriers of applying the criteria. Therefore, the shared priority areas of capacity buildings under the three Conventions can be used as cross-cutting areas. Secondly, as indicated in Section 3.2, in the needs for national capacity building under the three Conventions, the specific contents present big differences even though they are in the same category of priority area. Thus, it is necessary to have further integrated understanding about the priorities in capacity building cross-cutting areas with the criteria in Section 4.1. The logic process is composed of understanding the bases, identifying the barriers or problems, and finally, determining the priorities in each of capacity building cross-cutting areas.
To determine the priorities in capacity building cross-cutting areas, according to the criteria, the following aspects are considered:

- To develop capacity building in cross-cutting areas based on those national capacity building efforts under the three Conventions, and to ensure and facilitate the mainstream activities for implementing the three Conventions;
- To seek synergy among national capacity building efforts under the three Conventions;
- To be practical, i.e. to be capable of leading to specific issues and showing pilot demonstrations with good practices; and
- To be able to enhance cost-effectiveness of using funding support, on the basis of the above three considerations.

Based on the needs for national capacity buildings under the three Conventions, particularly the shared priority areas, the cross-cutting areas of capacity building proposed in this report are:

**Policies, regulations, infrastructure and coordination;**

- To reinforce the development of laws, regulations and policies at both state level and local level.
- To improve the coordination of management activities between and among administrations at both state and local levels.
- To encourage local governments to play a more active role in environmental protection activities and to enhance local institutions and their capacities to provide technical support.
- To enhance capacity of the infrastructure and teams that support implementing the three Conventions.

**Public awareness;**

- To set up and improve the connections between and among those contents and activities of capacity building for public awareness under the three conventions.
- To strengthen environment education via mainstream channels of education.
- To promote public awareness in regions with backward socio-economic development conditions based on the national actions and national support to the infrastructure construction in those regions.
- To improve laws and policies for public involvement, to enhance public understanding of rule-by-law for environmental protection, and to strengthen the guidance for public involvement actions.
- To enhance the involvement of various media, especially mainstream media, in environment promotion on protecting biodiversity, addressing climate change and combating desertification.
- To systematically strengthen science popularization and knowledge dissemination in the whole society.

**Scientific research (researches in fields of natural science, humanities and social science);**

- To strengthen capacity for basic science development and for research inter-linkage.
- To enhance the service of scientific research for national sustainable development.
- To emphasize fostering human resources who possess multi-disciplinary and comprehensive knowledge, to encourage inter-exchange of those human resources among different sectors, institutions and agencies, to push forward the reorganization of those human resources, and to concentrate those human resources to support cross-cutting and multi-disciplinary studies.
- To remove prejudice that researchers have towards other disciplines.
- To expand international cooperation, and to improve research methodologies and approaches.

**Monitoring and assessment;**

- To strengthen demand and demonstration.
- To enhance capacity building for comprehensive monitoring and assessment.
- To reinforce team building and improvement for monitoring and assessment.
- To enhance capacities for international cooperation.

**Information sharing and dissemination.**

- To make clear the relationship and reasonable work allocation between and among information capacity building within cross-cutting areas and under the three conventions, and to clearly understand the demands for information capacity building within cross-cutting areas.
- To establish the systems to support information acquisition.
- To study and develop coordination mechanisms for collecting comprehensive information.
- To facilitate the establishment of favourable environment for developing information sharing policies.
- To establish information network systems.

**INDONESIA**

**A. Results from NCDA Stocktaking**

1. List of past and current activities related to implementation of 3 conventions
2. Stakeholders analysis
   
   In conclusion: 70% stakeholders related to CBD and CCD can be categorized as ones who would like to participate fully and/or to involve actively and/or play a limited roles, however only 40%
stakeholders related to CCC can be categorized as similar above. It is indicated that issues and problems related to CBD and CCD are more familiar among the stakeholders.

3. Thematic profile of each convention can generally be concluded as follows:

<table>
<thead>
<tr>
<th></th>
<th>Capacity level of system</th>
<th>Capacity level of institution</th>
<th>Capacity level of individual</th>
</tr>
</thead>
<tbody>
<tr>
<td>CBD</td>
<td>Moderate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>CCC</td>
<td>Inadequate</td>
<td>Moderate</td>
<td>Moderate</td>
</tr>
<tr>
<td>CCD</td>
<td>Inadequate</td>
<td>Inadequate</td>
<td>Moderate</td>
</tr>
</tbody>
</table>

Moderate: in terms of adequate existing of relevant laws and regulations, existing National Action Plan, programs and activities, existing supporting institutions, having relevant skills and knowledge of individual (qualitatively)

Inadequate: in terms of less of relevant existing laws and regulations, not availability of integrated national action plan, program and activities related to convention issues.

Lesson learnt from stocktaking: Lack of knowledge and information of conventions and scattered, unconsolidated data.

B. Results from NCSA Thematic Assessments

1. List of criteria used to prioritize the issues as follow:
   - Level of concern (frequency mass media covering, availability of document and number of availability of regulations)
   - Scale of problem (local, national, regional and global)
   - Ability to adequately address issues (existing relevant institution, availability of human resources, availability of regulation, establishment of infrastructure and financial supporting)
   - Scale of periodic (urgent and very urgent to be handled)

2. List of Priority issues of CBD:
   - Accessing to financial resources provided via financial mechanism of the convention and/or via donor
   - Respect for and preservation of local knowledge, innovations and practices of indigenous and local communities
   - Develop and introduce economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity (benefit sharing)
   - Develop and introduce measures regulating the access to genetic resources and to provide access for and transfer to other Parties of technologies that are relevant to the conservation and sustainable use of biological diversity.
   - Develop and introduce appropriate measures to ensure safety regulations in handling living modified organism resulting from biotechnology.

3. List of Priority issues of CCC:
   - Developing and implementing adaptations plans and measures
   - Preparing and managing GHGs inventories, including emissions database management
   - Information and networking, including the establishment of database
   - Assessing vulnerability, town warm-up (heat island) and adaptation from influence on Climate Change in each sector
   - Assessment for implementation of mitigation options

4. List of Priority issues of CCD:
   - Training for decision makers, managers, and personnel who are responsible for the collection and analysis of data for the disseminations and using of early warning information on drought conditions, water resources and for food production
   - Information collection, analysis and exchange (relevant short-term and long-term data and information; particularly to ensure systemic observations of land degradation in affected areas and to better understand and assess the processes and effects of drought and desertification)
   - Effective early warning and advance planning for periods of adverse climatic variation (provided in appropriate forms)
   - Transfer, acquisition, adaptations and development of environmentally sounds, economically viable and socially acceptable technology
   - Promotions of alternative livelihoods, including training in new skills.

5. Descriptions of capacities at three level required to perform the key functions of the conventions related to the priorities issues above

Lesson learnt from Thematic Assessment: Difficult to understand table 2 and to linkages with priority issues

C. Results from NCSA Cross Cutting Analysis

1. List of priorities of Cross Cutting Requirements of 3 conventions
2. List of Cross Cutting Capacity Constraint
   • National policy, legal and regulatory framework
   • Institutional mandates, co-ordinations and process for interactions and co-operations between all stakeholders
   • Financial resources
   • Awareness and exchange information
   • Individual skills and motivation

3. List of Cross Cutting Capacity Needs
   • Systemic level
     ▪ To review and revise the existing legislations to integrate the implementation of each convention, taking into account several points, i.e.: Property rights; Clarity of authority between the central and local government; Incentive and disincentive mechanism; Harmonization of regulations and policies; Mechanism for settlement of disputes and sanction
     ▪ Mechanism to support the implementation of activities related to the three conventions in the authorized institutions
     ▪ Mechanism to follow-up COP results
     ▪ Effective dissemination system to cover all stakeholders in the development of legislations
   • Institutional level
     ▪ The convention is specifically accommodated in the mandate, task and authority of institutions, both at the national and local level in the implementation of each convention.
     ▪ The existence of clear legal status and mandate as well as main task and function of NFP for the implementation of convention at the national level.
     ▪ Determination of NFP on relevant working unit
     ▪ Coordination inter- and intra-sectoral, both at the national and local level for the implementation of each convention.
     ▪ The existence of information exchange and accessibility mechanism.
     ▪ Application of optimum human resources development management (i.e. recruitment, placement, career path, reward & punishment system) in the implementation of each convention
     ▪ Effective and efficient (optimum) allocation of source of fund (domestic & international sources) into every agent (central and local government, private sector and NGOs) → Notes: competency to raise fund in the action plan is divided into access to domestic and international sources of fund.
     ▪ Maximize access to domestic and international non-governmental sources of fund
     ▪ Make use of LAKIP (accountability report) as a controlling tool Conduct training programs (education and training) related to the implementation of each convention
     ▪ Conduct campaign programs related to the implementation of each convention Recommend an environmental judicial system
   • Individual level
     ▪ Education and training related to the implementation of each convention
     ▪ Promote access to information
     ▪ Develop the implementation of effective law enforcement related to the three conventions

4. List of Cross Cutting Opportunities
   • System level
     ▪ The three conventions have been ratified, thus the opportunity to develop acts and regulations is widely open
     ▪ A dynamic political system, i.e. the existence of Constitutional Court to review the existing acts
     ▪ The existence of adequate experts to conduct policy review and revision
     ▪ Data has been partly existed, but is still widely spread
     ▪ The availability of networking sites → i.e. National Biodiversity Information Network (NBIN), Natural Conservation Information Center (PIKA), Clearing House Mechanism (CHM) to support the implementation of the three conventions
     ▪ The existence of several traditional and religious law which are still effectively implemented for settlement of disputes, i.e. local values and culture
     ▪ The existence of guidance for settlement of environmental disputes in general (Government Regulation No. 54 Year 2000 concerning Institution for Settlement of Environmental Disputes beyond the Court).
• Institutional level
  • The existence of tools to identify and conduct training and dissemination related to each convention
  • The existence of initial effort to develop social and economy incentive system (kalpataru, kehati award)

5. List of Cross Cutting Natural Resources Management Issues
• Deforestation
• Land, coastal and marine degradation
• Drought and flood

Lesson learnt from CCA: To achieve better cross cutting analysis should be focus on one level of cross cutting

LAO PEOPLE’S DEM. REPUBLIC

Related Capacity Strengthening Initiatives
SIDA PROJECT (Strengthening Environmental Management Through STEA)
• Initiate a process of setting environment priorities methods of action.

NORAD & UNDP (Strengthening Environmental Legislation)
• Drafting of the Environmental Projection Law (EPL).
• Provincial dissemination and feedback workshop on Environmental Protection Law.
• Drafting of implementation Decree (ID) which was signed by the Prime Minister.
• National Workshops to disseminate the final Environmental Protection Law (EPL) and Implementation Decree.

Mekong River Commission (MRC)
• Environmental Monitoring and Assessment.
• Environment Decision Support.
• Strategic Networking and Coordination.
• Capacity and Awareness Building.
• Support Study and Research Facilities.

The Mekong River Commission (MRC) is currently preparing a disaster management strategy and it will be important to define linkages with this initiative. The project has 5 main objectives:
• To establish a multi sector planning process operational at national and regional levels.
• To strengthening policy framework and macroeconomic environment supportive of wetland biodiversity conservation and sustainable use.
• To provide adequate information to support sound wetland policy, planning and management decision making.
• To improve human and technical capacity to better conserve wetland biodiversity conservation in the Lower Mekong Basin.
• To improve country based natural resource management in wetlands within the Lower Mekong Basin.

DANIDA (Natural Resources and Environment Programme (NREP) (National Capacity Building Project)
DANIDA recently conducted a detailed RHD planning assessment at the Environmental Research institute with STEA. The assessment must be built upon in the implementation of NCSA. It comprises 5 main parts:
• Individual Job Description.
• Training Needs Assessment.
• Individual RHD Plans.
• Training Guidelines.
• RHD Strategy Implementation Plan.

IUCN
The IUCN has been working in Lao PDR since 1988. The Government and IUNC have established a close working relationship to promote the conservation and sustainable use of the country’s natural resources. IUCN has been providing technical assistant especially in capacity building for a wide range of activities related to MEAs, working both at the policy and grass roots levels. These include:
• Translation of biodiversity policy-related materials into Lao Language, including the text of several Multilateral Environmental Agreements, Guidelines for the preparation of National Biodiversity Strategies and Action Plans, and reference materials on Invasive Alien Species.
• The Regional Biodiversity Programme developed a communication training programme for the government staff and other involved in the implementation of National Biodiversity Strategies and Action Plans.
Support to the development of Lao glossary of environmental terms and a standardize nomenclature for flora and fauna.
Support to the development of Lao Language field guides to biodiversity.
The organization with STEA of a national preparatory workshop in advance of the meeting of CBD's Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA).

**List Of Capacity Constraints and Lesson from Past and Current Activities**

**CBD**
- Studied, monitored and data collected of nearly extinct species.
- Identified the Protected areas.
- Planned to promote the dissemination the sound use of biodiversity.
- Planned to promote the rehabilitation of protected areas.
- Availability of Biodiversity Management Procedures.
- Planned to study the science and technology of biodiversity conservation.
- Capacity built to government staff for researching biodiversity.
- Promoted public awareness on biodiversity conservation.
- Agreement was signed with NGO to publish biodiversity curriculum for education system.
- Regular coordinated with Faculty of Forestry, National University of Laos.
- Regular coordinated with research institute of all Ministries.
- Publish the curriculum on biodiversity conservation.
- Researched the use of species.
- Short and long-term training on biodiversity conservation.
- Availability of regulations of protected areas and species conservation.

**UNFCCC**
- Surveyed sink and reservoirs of all Greenhouse gases. But the involvement of relevant sectors was not done well enough.
- Promoted reforestation. But in practice did not achieve the plan.
- Promoted the use of public transports.
- Build public awareness on climate change.
- Information of climate change was taught in University.
- Conducted training on climate change in some sectors of Ministry of Industry and Handicraft.
- Solid waste management.

**UNCCD**
- Availability of legislation, policy and strategy of forestry, water sources and environment management to combat land degradation.
- Dissemination of legislation, policy and strategy of forestry, water sources and environment management to combat land degradation was not strict enough.
- Nominated the national committee for combating flood and drought.
- Public awareness on combat land degradation was done but not frequency.
- Trained local population on combat land degradation.
- Availability of National strategy on poverty reduction and environment management and conservation.

**List of MEA Provisions and Decisions Relevant to Lao, from each Convention**

**CBD**
6.1 Develop national strategies, plan or programmes for the C&SU of BD that shall reflect the convention measures relevant to the contracting party.
6.2 Integrate C&SU of BD into relevant sectoral Plans.

Art: 7. Identification and monitoring.
7.1,2 Identify and monitor key (Keystone) components of BD important for its C&SU, paying particular attention to those requiring urgent conservation and those which offer the greatest potential for SU.
7.4 Maintain databases for the above identification and monitoring.

Art: 8 In-situ Conservation.
8.1 Establish a system of Pas.
8.5 Promote environmentally sound and sustainable development in areas adjacent to Pas with a view to furthering the protection of these areas.
8.6 Rehabilitate and restore degraded ecosystem and promote the recovery of threatened species through the development and implementation of plans or other management strategies.
8.8 Prevent the introduction of control or eradicated those alien species which threaten ecosystems, or species.

**UNFCCC**
4.1.c Promote and cooperate in the development, application and diffusion, including transfer, of technologies, practices and processes that control, reduce or prevent anthropogenic emissions of greenhouse gases not controlled by the Montreal Protocol in all relevant sectors, including the energy, transports, industry, agriculture, forestry and waste management sects.
4.1 Promote and cooperate in scientific, technological, technical, socio-economic and other research, systematic observation and development of data achieves related to the climate system and intended to the further the understanding and to reduce or eliminate the remaining uncertainties regarding the causes, effects, magnitude and timing of climate change and the economic and social consequences of various response strategies.

4.1 Promote and cooperate in education, training and public awareness related to climate change and encourage the widest participation in this process, including those non-governmental organizations.

UNCCD
Article: 5 Obligations of Affected Country Parties.
5.a Give due priority to combine the desertification and mitigation the effect of drought, and allocate adequate resources in accordance with their circumstances and capabilities.
5.b Establish strategies and priorities, within the framework of sustainable development plans and/or policies, to combat desertification and mitigate the effects of drought.
5.d promote awareness and facilitate the participation of local populations, particularly women and youth, with the support of non-governmental organizations.
5.e Provide an enabling environment by strengthening, as appropriate relevant existing legislation and, when they do not exist, enacting new laws and establishing long-term policies as action programmes.

9.1 Carry out their obligations pursuant to article 5, affected developing country Parties and any other affected country Parties in the framework of its regional implementation annex or, otherwise, that has notified the Permanent Secretariat in writing of its intention to prepare a national action programme, shall, as appropriate, prepare, make public and implement national action programmes, utilizing and building, to the extent possible, on existing relevant successful plans and programmes. And subregional and regional action programmes, as the central element of strategies to combat desertification and mitigate the effects of drought. Such programmes shall be updated through a continuing participatory process on the basis of lessons from field action, as well as the results of research. The preparation of national action programmes shall be closely interlinked with other efforts to formulate national policies for sustainable development.

19.d Fostering the use and dissemination of knowledge and know-how and practices of local people in technical cooperation programmes, wherever suitable.

List of Country’s Capacity Needs for each MEA

CBD
1. Strengthening Capacity of Institutions includes Improvement of the Collaboration between STEA, MOAF and Relevant Sectors on Management of NBSAP.
2. Publishing and supplying of Biodiversity Curriculum to ensure an adequate use.
3. Promotion Indigenous Knowledge of Local population on Management of NBSAP.
4. Strengthening Capacity of Institutions on Study, Research and monitoring the components of Biological Diversity which are endangered with extinction.
5. Setting up Database on Biodiversity.
7. Identifying and Carrying out Actions to Rehabilitate and Restore degraded.
8. Identifying and disseminating information of danger of invasive Alien Species.
9. Improving Education System on Sciences and Technology to an International standard.
10. Improvement the Strategies and Mechanism System on publishing on Biological Diversity Curriculum for sustainable use.

UNFCCC
1. Identifying the National Strategies and Action Plan on Climate Change.
2. Identifying and Improving the National Network system on Climate Change.
3. Strengthening Capacity of Institutions on Surveying, Minimizing of all Greenhouse Gases and Conservation of Sink and Reservoirs to absorb Greenhouse gases.
4. Strengthening Capacity of Institutions includes Improvement the Collaboration Mechanism of Relevant Sectors.
5. Building the Awareness of Public on Climate Change.
6. Research the Sciences on Climate Change.
7. Introducing into Setting up the Basic Curriculum on Climate Change into the Formal Education System.
8. Research and Promote Technology to maximize the Sink and Reservoirs of all Greenhouse Gases.
9. Strengthening capacity of Intuitions on sustainable forest resources rehabilitation.

UNCCD
3. Strengthening Capacity of Institutions on sustainable land use and management.
4. Research and promote technology on farm for sustainable use.
5. Strengthening Capacity of Institutions on land degradation and including its coordination among relevant sectors.
6. Setting up and improving information System on Land Degradation.
7. Promotion of Gender and public on participation to forest rehabilitation and combat land degradation
8. Promotion of Indigenous Knowledge of Local Community on Land Degradation.
9. Strengthening Capacity to National Disaster Committee (National Drought & Flood Committee)
10. Skills training for local population in land degradation areas.

**List of Country Cross-Cutting Issues under the 3 Rio Conventions**

1. Strengthening Capacity of Institutions on Natural Resource Management and Rehabilitation for Sustainable Use.
2. Strengthening Capacity of Public Awareness on Natural Resource Conservation and Sustainable Use.
3. Strengthening the Management and Coordination Mechanism of relevant sectors from Central to grass root for Natural Resource Management and Sustainable Use.
4. Strengthening the National Information System on Environment and natural Resources.
7. Strengthening the Carrying out of Strategy and Implementation of Legislation related to the Conservation and Sustainable Use of Biological Diversity.

**PHILIPPINES**

**STOCKTAKING**

1. Situation analysis has been undertaken in previous initiatives in support of obligations of the three conventions covered by the Project such as preparation of NBSAP, NAP, and implementation of enabling activities, thus, the wealth of secondary information which could be used for this project.
2. There is a huge number of key stakeholders identified in the Study at the national and local levels and coming from various sectors including the business sector, 15 entities for climate change, 66 for biodiversity conservation and 22 for land degradation.
3. The country has 10 obligations under the UNCBD, 5 principal obligations under the UNCCD, and 7 under the UNFCCC.
4. Obligations and corresponding capacities required are attached.

**A. Climate Change - Country obligations under the UNFCCC vs. Key capacity needs**

<table>
<thead>
<tr>
<th>Obligations</th>
<th>Capacity needs</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop and periodically update and publish national inventories of anthropogenic emissions of GHGs by sources and sink removals using comparable methods</td>
<td>The capacity to develop, periodically update and publish national inventories and communications of anthropogenic emissions of GHGs by sources and removals through sinks using comparable methods</td>
</tr>
<tr>
<td>2. Regularly prepare and issue national communications to the convention describing actions taken to meet the objectives of the convention.</td>
<td></td>
</tr>
<tr>
<td>3. Promote and cooperate with other countries in scientific, technological, technical, socio-economic and other research, systematic observations and development of date archives related to the climate system and to climate change, and on their full, open and prompt exchange.</td>
<td>The capacity to undertake relevant research and systematic observations, including establishing appropriately mandated meteorological, hydrological and climatological services in the country.</td>
</tr>
<tr>
<td>4. Cooperate in preparing measures to adopt to the impacts of climate change; develop appropriate and integrated adaptation plans including vulnerability &amp; adaptation (V &amp; A) assessments</td>
<td>The capacity to cooperate with other entities in the country and outside on measures to adapt to the effects of climate change, and to develop relevant plans and actions relating to these (e.g. vulnerability and adaptation assessments);</td>
</tr>
<tr>
<td>5. Integrate climate change considerations in national policies and actions</td>
<td>The capacity to develop and adopt national policies that integrate climate change considerations in national development plans and programs;</td>
</tr>
<tr>
<td>6. Promote and cooperate with other countries in developing, applying, diffusing and transferring technologies, practices and processes that control, reduce or prevent anthropogenic GHG emissions in all relevant sectors of the economy.</td>
<td>The ability to promote and cooperate with other countries on developing, applying, diffusing and transferring technologies, practices and processes that control, reduce or prevent anthropogenic emissions of GHGs in all relevant sectors;</td>
</tr>
<tr>
<td>7. Promote and cooperate with other countries in undertaking education, information and training activities that widen, intensify public awareness of climate change &amp; of its impacts &amp; encourage public participation on addressing them</td>
<td>The capacity to promote and cooperate with other countries on developing and implementing education, training and public awareness activities, to promote wide appreciation and undertaking of climate change-related issues, and to encourage the widest participation in these undertakings.</td>
</tr>
</tbody>
</table>
### B. Biodiversity - Country obligations under the CBD vs. Key capacity needs

<table>
<thead>
<tr>
<th>Obligations</th>
<th>Key capacities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Develop national strategies and Action Plans and integrate these into broader national plans for environment and development</td>
<td>1. The capacity to formulate, adopt &amp; promote nat'l policies, strategies, and action plans (NBSAP), and integrate biodiversity concerns into the PA21 and other national development plans.</td>
</tr>
<tr>
<td>2. Identify and monitor the important components of biological diversity that need to be conserved and used sustainably</td>
<td>2. The capacity to undertake a comprehensive inventory of flora and fauna, including microorganisms, with the end-in-view of conserving &amp; sustainably utilizing them</td>
</tr>
<tr>
<td>3. Establish protected areas (PA) to conserve biological diversity while promoting environmentally sound development around these areas</td>
<td>3. The capacity to adopt national policies on PAs, delineate their boundaries, prepare a management plan for them, from Protected Areas Management Boards (PAMBs) and enact a site-specific enabling law</td>
</tr>
<tr>
<td>4. Rehabilitate and restore degraded ecosystems and promote the recovery of threatened species in collaboration with local residents</td>
<td>4. The capacity to intensify the rehabilitation of degraded ecosystems and implements the Wildlife Act</td>
</tr>
<tr>
<td>5. Respect, preserve and maintain traditional knowledge of the sustainable use of biological diversity with the involvement of indigenous peoples and local communities</td>
<td>5. The capacity to develop and implement policies that will protect traditional knowledge on biodiversity</td>
</tr>
<tr>
<td>6. Prevent the introduction of, control, &amp; eradicate alien species that could threaten ecosystems, habitats, or species</td>
<td>6. The capacity to institutionalize effective border controls and monitoring mechanisms to prevent the introduction of, control, and eradicate alien species that could threaten ecosystems, habitats or species</td>
</tr>
<tr>
<td>7. Control the risks posed by organisms, modified by biotechnology</td>
<td>7. The capacity to implement (including ratifying) the Cartagena Protocol on Biosafety and provide an enabling environment for its implementation</td>
</tr>
<tr>
<td>8. Promote public participation, particularly on assessing the environmental impacts of development projects that threaten biological diversity</td>
<td>8. The capacity to strengthen the EIA system by formulating guidelines for participatory and public consultation, and environmental impact assessment of development projects that threaten biological diversity</td>
</tr>
<tr>
<td>9. Educate people and raise their awareness about the importance of biological diversity and the need to conserve it;</td>
<td>9. The capacity to develop, operate &amp; maintain relevant information and data management systems, develop &amp; execute programs to increase public awareness and knowledge of biological diversity &amp; its values, and mobilize stakeholders in the management of biodiversity</td>
</tr>
<tr>
<td>10. Report on how the country is meeting its biodiversity goals.</td>
<td>10. The capacity to develop and implement a National Reporting Mechanism (including funding it) &amp; making use of the Cartagena Protocol on Biosafety and other mechanisms in place.</td>
</tr>
</tbody>
</table>

### C. Land Degradation - Country obligations under the UNCCD vs. Key capacity needs

<table>
<thead>
<tr>
<th>Obligations</th>
<th>Key Capacities</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Give due priority to combating land degradation (and desertification) and mitigating the effects of drought; put adequate resources consistent with the country’s circumstances and capabilities;</td>
<td>1. The capacity to inform policy and decision makers about the extent and impacts of land degradation</td>
</tr>
<tr>
<td>2. Establish strategies and priorities within the framework of the country’s SD plans and policies to combat land degradation and mitigate the effects of drought;</td>
<td>2. The capacity to source funds for soil and water conservation activities</td>
</tr>
<tr>
<td>3. Address the underlying causes of land degradation and pay special attention to socio-economic processes;</td>
<td>3. The capacity to upgrade financial and management skills to effectively, efficiently undertake soil and water conservation and soil erosion control activities</td>
</tr>
<tr>
<td>4. Promote public awareness and facilitate participation of local populations (esp. women and youth) with the support of the NGOs, in efforts to combat land degradation and mitigate the effects of drought;</td>
<td>4. The capacity to develop and implement a Nat’l Action Plan in support to UNCCD;</td>
</tr>
<tr>
<td>5. Provide an enabling environment by strengthening, as appropriate, relevant existing legislation &amp; where they do not exist, enacting long-</td>
<td>5. The capacity to integrate the NAP into the country’s Medium &amp; Long Term Development Plans</td>
</tr>
<tr>
<td>6. The capacity to integrate sustainable agricultural land use into the community land use plans to LGUs</td>
<td>6. The capacity to integrate sustainable agricultural land use into the community land use plans to LGUs</td>
</tr>
<tr>
<td>7. The capacity to improve data bases and establish and upgrade M&amp;E systems in partnership with other local institutions (including preparing country reports)</td>
<td>7. The capacity to improve data bases and establish and upgrade M&amp;E systems in partnership with other local institutions (including preparing country reports)</td>
</tr>
<tr>
<td>8. The capacity to strengthen R&amp;D systems on soil conservation and water management</td>
<td>8. The capacity to strengthen R&amp;D systems on soil conservation and water management</td>
</tr>
<tr>
<td>9. The capacity to assess and disseminate data and information on the costs of land degradation and on inaction on them</td>
<td>9. The capacity to assess and disseminate data and information on the costs of land degradation and on inaction on them</td>
</tr>
<tr>
<td>10. The capacity to make the public aware of the status &amp; threats of land degradation &amp; drought on their lives, &amp; how they can contribute to prevent &amp; mitigate them</td>
<td>10. The capacity to make the public aware of the status &amp; threats of land degradation &amp; drought on their lives, &amp; how they can contribute to prevent &amp; mitigate them</td>
</tr>
<tr>
<td>11. The capacity to generate user-friendly &amp; updated information on land degradation &amp; drought</td>
<td>11. The capacity to generate user-friendly &amp; updated information on land degradation &amp; drought</td>
</tr>
<tr>
<td>12. The capacity to produce &amp; disseminate soil &amp; water data &amp; maps to those affected by land degradation &amp; drought &amp; those implementing soil &amp; water conservation projects</td>
<td>12. The capacity to produce &amp; disseminate soil &amp; water data &amp; maps to those affected by land degradation &amp; drought &amp; those implementing soil &amp; water conservation projects</td>
</tr>
<tr>
<td>13. The capacity to resolve policy overlaps, conflicts among agencies</td>
<td>13. The capacity to resolve policy overlaps, conflicts among agencies</td>
</tr>
<tr>
<td>14. The capacity to undertake effective law enforcement</td>
<td>14. The capacity to undertake effective law enforcement</td>
</tr>
</tbody>
</table>
15. The capacity to execute coordinated interagency actions to combat land degradation & to mitigate the effects of drought
16. The capacity to maintain a continuing education/training program for personnel & entities involved in soil & water conservation
17. The capacity to strengthen key national agencies & organizations (BSWM, FMB, PAGASA) which are principal agencies in efforts to conserve land resources & to mitigate the effects of drought
18. The capacity to strengthen sub-national & local agencies & organizations (BSWM, FMB, DA & DENR Reg'l Offices, PAOs, Maos, PENROs, CENROs) which are involved in on-ground soil & water surveys & extension work on soil & water conservation
19. The capacity to establish, maintain effective linkages & partnerships with other institutions (SUCs, NGOs/Pos, industry) on land & water management, conservation, and information systems

A. Climate Change

1. Present Capacities

1.1 The present levels of capacities of the country to meet its obligations to the UNFCCC are generally low to very low. The reasons center on lack of financial capabilities, organizational reach in terms of activities on the ground and public support for what they are doing.

1.2 The country’s capacities to address the obligations are mainly anchored on having a good complement of relevant human expertise. But the expertise is limited to being stocks and producers of ideas, more than being able to direct or lead relevant activities that adapt to the impacts of climate change.

1.3 There is an indication of a sufficient level in the human dimension of capacity to do research and systematic observations, integrate climate change concerns in national policies and conduct education and training.

1.4 In all other areas where ideas need modern equipment, facilities, and funds to translate ideas into action (i.e. on adopting mitigation measures, doing V & As and developing and applying technologies), the expertise are rated lacking. They are barely sufficient in areas where either equipment requirements are low or where funding needs are generally sporadic.

2. Constraints on Present UNFCCC-Related Capacities

2.1 Constraints on Human Capability

- Poor salaries and incentives for experts in the public sector
- Wide opportunities for experts to go abroad, where salaries are higher
- Extensive politicalization of the bureaucracy which, because it weakens the competence-based recruitment and use of experts in these agencies, weaken morale and their commitment to stay in the agency
- Poor in-service continuing education and training which weaken the ability of the agency to develop and keep their experts.

2.2 Constraints on Financial Capability

- Poor fiscal position to commit to new spendings
- The high overhead costs of doing business in the country which is often linked to unstable regulations and policies.
- The poor state of accountability systems in the public sector which discourages multisector initiatives on funding development activities

2.3 Constraints on Organizational Commitments

- In addition to EMB and other agencies comprising the IACCC, many organizations in the public and private sectors have mandates pertinent to the UNFCCC obligations. However, because of funding limitations and political influence, these agencies are constrained to address their respective mandates.

2.4 Constraints on Public Support

- The Philippines has a large diversity of active civil society, community and civic organizations which understand issues related to climate change and can readily complement the government’s ability to deliver essential services. But most of these organizations operate in small units and with little ability to coordinate with each other. Their collective ability to strengthen public support for climate change-related activities is low.

Biodiversity Conservation

1. Present Capacities in the Philippines

1.1 Over-all, the Philippines need to upgrade its UNCBD related capacities from "lacking" to "sufficient". The capacity levels of the Protected Areas and Wildlife Bureau and of the other organizations and sectors relevant to the obligations need to be elevated from "lacking", over-all to "sufficient". This is except academe and research institutions which need to have their capacities upgraded from only "barely sufficient" to "sufficient".

1.2 The country most need to upgrade its capacity to control the risks posed by organisms modified by biotechnology (obligation number 7) to pull up over-all national capacities to meet this obligation from "severely lacking level to sufficient level."

1.3 Most other capacity needs would be on upgrading the over-all "lacking" levels to meet six obligations:
Establish protected areas to conserve biological diversity while promoting environmentally sound development around these areas.
Rehabilitate and restore degraded ecosystems and promote the recovery of threatened species in collaboration with local residents.
Respect, preserve and maintain traditional knowledge of the sustainable use of biodiversity with the involvement of indigenous peoples and local communities.
Prevent the introduction of control and eradicate alien species that could threaten ecosystems, habitats or spp.
Promote public participation, particularly when it comes to assessing the environmental impacts of development projects that threaten biodiversity.
Educate people and raise their awareness about the importance of biological diversity and the need to conserve it.

There is a need for some efforts on upgrading the capacities for two obligations from “barely sufficient” levels. These are on the obligations to identify and monitor the important components of biodiversity that need to be conserved and used sustainable and to report on how the country is meeting its biodiversity goals.

It is only in obligation 1 (develop national strategies and Action Plans and integrate these into broader national environment and development plans) that the country obtained a “sufficient” level of capacity.

2. Constraints on Present UNCBD-Related Capacities

2.1 Constraints on human capability
- Poor salaries and incentives for experts in the public sector which make it hard to have and keep trained personnel in biodiversity conservation;
- Wide opportunities for experts to go abroad where salaries are higher;
- Extensive politicalization of the bureaucracy; and
- Low opportunities for in-service continuing education and training which weaken the ability of PAWB and other agencies to develop and keep their experts.

2.2 Constraints on Financial Capability
- The poor fiscal position of the government which prevents it from committing to new spending. Its ability to commit funds for biodiversity conservation is low;
- The high overhead costs of doing business in the country keeps the private sector from making substantial investments on good corporate citizenship;
- The poor state of accountability systems discourages multi-sector participation in funding government-led efforts like biodiversity conservation.

2.3 Constraints on Organizational Commitments
- A number of government agencies have clear mandates relating the UNCBD obligations. In addition, there are numerous civil society organizations, academics and researchers and international organizations and donors who are actively involved in biodiversity conservation in the country. These encourage the build up of organizational commitments to pursue the UNCBD obligations. But mainly because of severe funding limitation and politics, these commitments are hardly translated into actual biodiversity protection and conservation on the ground.

2.4 Constraints on Public Support
- The Philippines has a large diversity of civil society, community, and civic organizations that are involved in biodiversity conservation which encourage the build up of public support for biodiversity conservation. But their efforts and commitments are hardly shared “on the ground” because of the need to meet immediate subsistence requirements.

C. Land Degradation

1. Present capacities in the Philippines

1.1 Present levels of the 19 capacities in the Philippines vary across key agencies with mandates to address land degradation and the effects of drought.
1.2 The present capacities of Bureau of Soils and Water Management (focal agency for UNCCD and of the related agencies and organizations are “barely sufficient”, over-all in all 19 capacities.
1.3 They have sufficient capacities in 6 areas namely in: capacity to inform policy and decision makers, to source funds and to upgrade project implementation skills (under obligation 1); capacity to improve data bases and M&E and capacity to assess, inform the public of costs of LD and drought and of inaction (under obligation 3) and capacity for effective law enforcement (under obligation 5).
1.4 In the other 13 areas, however, they are generally weak: capacity to develop and implement NAP, to integrate NAP in the MTPD/LTPD and to integrate SA in LGU CLUPs(under obligation 2); capacity to do R&D (under obligation 3); capacity to inform public status, threats from LD and drought; to produce user friendly information and to produce, distribute technical data maps (under obligation 4); capacity to resolve policy overlaps, to execute coordinated actions, to strengthen key
national agencies, for continuing education and training, to strengthen regional and local offices and capacity to strengthen multi-sector linkages (under obligation5).

2. **Constraints on Present UNCCD-Related Capacities**

2.1 **Constraints on Human Capabilities**

- The present stock of expertise is much too low nationwide in relation to the scale of UNCCD relevant issues and problems needing attention. The existing pools are intensively utilized in government and projects that many are hardly able to do teaching and training functions to upgrade the stock;
- Available expertise are too often under-utilized because they are assigned to administrative and other functions slightly unrelated to their expertise;
- There is a dearth and paucity of in-service training opportunities for existing (younger) staff in government and in other sectors, who may have the interest and acumen to engage in the relevant activities;
- Technical competent staff who is in the central offices of the BSWM, and FMS is not sufficiently exposed to actual field experiences because the two bureaus are presently categorized as "staff bureaus" (essentially "brain trusts" as against "line bureaus" that have mandates to engage in the field).
- Too often, many agencies and organizations (in government and outside government) are hardly able to procure new and updated specialized information materials (journals, books, manuals).
- While high grade ICT are in place in the BSWM and FMB, the system for procuring and updating data and information from the field is still weak.

The build-up of the stock of technical personnel is being outpaced by retirements and separations. The over-all complement of technically competent and experienced personnel is declining over-all. Recruitment and retention are severely hampered by (1) lack of funds, low salaries, poor incentives, and poor systems of promotion in both the government (particularly the in government) and in most other sectors; and (2) in the case of government agencies, by the low esteem placed by the general public on government in general and by the high politicalization of assignments and promotions.

2.2 **Constraints on Financial Capabilities**

- Available funds are lacking to address on the ground the extent of land degradation and the effects of drought.
- Weak ability to negotiate with donors to access funding for land degradation. This is due to 3 reasons: 1) No pool of experts on negotiations; 2) poor track record on ability to efficiently utilize ODA funds; 3) lacks robust systems and procedures for good accountability and management of foreign assisted undertakings.
- High dependence on foreign sourced funds and funding pressures for the maintenance of physical plants and existing facilities and equipment.

2.3 **Constraints on Organizational Commitments**

- Lack of critical equipment and facilities to do the mandated tasks particularly for field level undertakings to combat land degradation and drought.
- Overlapping and/or conflicting mandates of pertinent agencies coupled with very minimal coordination between the agencies.
- Poor and outdated laws and poor and outdated field data weaken the ability of agencies to execute their mandates efficiently.
- Constant change of program thrusts and priorities due to continuous change in the country’s political landscape. This could mean realignment of resources of which mandates are funded and that innovations and the implementation of new management mechanisms like user fees and charges, can get derailed when and if the new leaderships carry with them new advocacy of interests on these mechanisms.

2.4 **Constraints on Public Support**

- Lack of information and technologies for farmers and other land users slows down the build up of their interests on what the government and other sectors are doing to combat land degradation and drought;
- Lack of financial, economic and other incentives for farmers, industry and the general public to invest toward combating land degradation and mitigating the effects of drought;
- Lack of systematic initiatives among LGUs, civil society, academe and industry to build up public interests on government plans and programs to combat land degradation and drought;
- Frequent changes in the leaderships of key agencies combined with low public esteem of government dampen public interests on efforts involving government.

**CROSS-CUTTING ANALYSIS**

1. Cross-Cutting Issues & capacity needs by categories and classification
<table>
<thead>
<tr>
<th>Category</th>
<th>Cross-cutting Issues (by classification of sustainable development concerns)</th>
<th>Capacity Needs (Capacities to...)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual</td>
<td>Low salary &amp; poor rewards/incentives in pub. Service; Poor opportunities for professional growth &amp; mobility of tech'l staff in govt; Limited cadre of tech'l staff in field offices of govt agencies; Most technically competent staff in govt' are assigned to managerial positions; Generally poor pub. Confidece &amp; esteem on govt personnel; wide perception of corruption; Leadership in tech'l agencies are selected more by politic than by competence</td>
<td>Improve regard &amp; benefits in the civil service; Offer in-service prof'l growth; Rationalize appts &amp; staff assigns Up staff morale &amp; integrity</td>
</tr>
<tr>
<td>Institutional</td>
<td>Pub agencies &amp; orgs put priorities on rev. generation &amp; on drawing investments into the country The ability of pub sector agencies to do prog is highly constrained by low budgets of O&amp;M</td>
<td>Strengthen env't as pub sector prog/budget priority; Promote multi-sector collaboration &amp; Resource complements on env't; Strengthen civil society &amp; other sector's ability to influence govt.</td>
</tr>
<tr>
<td>Systemic</td>
<td>Weak population policy, high pop'n pressures; High poverty incidence; High pressures on primary production from global trade and markets; Severe fiscal pressures on pub sector; Low private sector investments on the environment.</td>
<td>Strengthen pop'n policy &amp; programs; Promote SMEs in poverty areas; Widen domestic markets for local goods &amp; services; Widen privatization of delivery of env'l services; Inventory &amp; monitor geohazards; Codify env'l laws; Operationalize SD in dev't planning &amp; prog; Improve tenure &amp; env'l criminal justice systems; Develop anti-corruption culture</td>
</tr>
</tbody>
</table>

**VIET NAM**

<table>
<thead>
<tr>
<th>NCSA Step</th>
<th>Checklist of Specific Results Produced</th>
</tr>
</thead>
</table>
| Inception       | 1. Work Plan was developed and finalized with participation from key stakeholders during the Inception Workshop.  
2. The Project Logical Framework was prepared as part of the preparation of the initial project document  
3. An initial stakeholder analysis was carried out during the preparation of the NCSA project document and further elaborated both during the Inception Phase and Stocktaking exercise.  
4. Inception Report, ToRs for all project positions (project team, national consultants, STA, etc.) |
| Stocktaking     | The 3 reports of activities on:  
  - development of institutions and policies,  
  - Survey and research study;  
  - Training, Education; Public awareness;  
  - Information exchange;  
  - International cooperation  
  - Technical expert involvement into the NCSA group is necessary  
  - Mechanism for information sharing among related parties  
  - Participation of International consultant is needed  
Issues identified:  
  - Convention office should be formed  
  - Awareness and understanding about Conventions should be improved |
| Thematic Assessments - CBD, CCC, CCD, others | CBD:  
  - Development of legal and regulatory framework  
  - Research and education;  
  - Communication and awareness raising; Information exchange and management;  
  - Investment in BD conservation; |
<table>
<thead>
<tr>
<th>NCSA Step</th>
<th>Checklist of Specific Results Produced</th>
</tr>
</thead>
<tbody>
<tr>
<td>NCSA Step</td>
<td>• International integration and cooperation in biodiversity conservation.</td>
</tr>
<tr>
<td>CCC:</td>
<td>• Development of national action plan for CCC and KP implementation.</td>
</tr>
<tr>
<td></td>
<td>• Hydro-meteorological monitoring institutions:</td>
</tr>
<tr>
<td></td>
<td>• Development of the national GHG inventory system;</td>
</tr>
<tr>
<td></td>
<td>• Environmentally friendly technology and application -CDM</td>
</tr>
<tr>
<td></td>
<td>• Scientific research and consultancy and information management to implement CCC and KP; enhancing the use of new and renewable energy sources;</td>
</tr>
<tr>
<td></td>
<td>• Economic and financial mechanism for implementation of CCC and KP;</td>
</tr>
<tr>
<td></td>
<td>• Strengthening education system, raising awareness of communities and enhancing capacity of mass media; and International cooperation in CCC and KP implementation in Viet Nam.</td>
</tr>
<tr>
<td>CCD:</td>
<td>• National Plan for water resource management</td>
</tr>
<tr>
<td></td>
<td>• Forest and watershed</td>
</tr>
<tr>
<td></td>
<td>• Baseline date and trend of land/soil depletion</td>
</tr>
<tr>
<td></td>
<td>• Urban planning</td>
</tr>
<tr>
<td></td>
<td>• Involuntary resettlement</td>
</tr>
<tr>
<td></td>
<td>• Research and information clearing house</td>
</tr>
<tr>
<td></td>
<td>• Awareness-raising.</td>
</tr>
<tr>
<td>CBD</td>
<td>Strengths:</td>
</tr>
<tr>
<td></td>
<td>• Institutional level: Biodiversity action plan was developed and implemented in 1995 and is revising currently.</td>
</tr>
<tr>
<td></td>
<td>• System level: The VN Government’s commitment and attention. BD was mainstreamed into national strategic document.</td>
</tr>
<tr>
<td></td>
<td>Weaknesses:</td>
</tr>
<tr>
<td></td>
<td>• Individual level: Lack of experience and management capacity</td>
</tr>
<tr>
<td></td>
<td>• Institutional level: Low environmental protection awareness; Lack of human resource, infrastructure and finance</td>
</tr>
<tr>
<td></td>
<td>• System level: Overlaps and insufficiency of policy and regulation system; Lack of mechanism for cross-sector cooperation; law enforcement is not strict enough; Lack of mechanism for information management, Tasks and responsibilities are overlapped and unclear</td>
</tr>
<tr>
<td></td>
<td>Needs:</td>
</tr>
<tr>
<td></td>
<td>• Individual level: Training and education</td>
</tr>
<tr>
<td></td>
<td>• Institutional level: Capacity enhancement of central and provincial officials; development of focal point office</td>
</tr>
<tr>
<td></td>
<td>• System level: Development of cross-sector cooperation mechanism</td>
</tr>
<tr>
<td>CCC:</td>
<td>Strengths:</td>
</tr>
<tr>
<td></td>
<td>• Institutional level:</td>
</tr>
<tr>
<td></td>
<td>• System level: policies, strategies, laws and programs are available</td>
</tr>
<tr>
<td></td>
<td>Weaknesses:</td>
</tr>
<tr>
<td></td>
<td>• Individual level: Lack of experience and management capacity</td>
</tr>
<tr>
<td></td>
<td>• Institutional level: Lack of national action plan and focal point office</td>
</tr>
<tr>
<td></td>
<td>• System level: Insufficient of legal system; law enforcement is not strict enough; Lack of mechanism for information sharing; Coordination and cooperation among interested parties.</td>
</tr>
<tr>
<td></td>
<td>Needs:</td>
</tr>
<tr>
<td></td>
<td>• Individual level: Skills to develop projects; fund raising capacity</td>
</tr>
<tr>
<td></td>
<td>• Institutional level: Development of human and finance resources</td>
</tr>
<tr>
<td></td>
<td>• System level: Coordinating stakeholders of line-ministries and sectors</td>
</tr>
<tr>
<td>CCD:</td>
<td>Strengths:</td>
</tr>
<tr>
<td></td>
<td>• System level: Approval of National Action Plan</td>
</tr>
<tr>
<td></td>
<td>Weaknesses:</td>
</tr>
<tr>
<td></td>
<td>• Individual level: Lack of experience and management capacity</td>
</tr>
<tr>
<td></td>
<td>• Institutional level: Lack of national action plan</td>
</tr>
<tr>
<td></td>
<td>• System level: The law enforcement is not strict enough; Lack of mechanism for information management; Tasks and responsibilities are overlapped and unclear.</td>
</tr>
<tr>
<td>Cross-cutting Analysis</td>
<td>Strengths:</td>
</tr>
<tr>
<td></td>
<td>• The VN Government’s commitment.</td>
</tr>
</tbody>
</table>
NCSA Step | Checklist of Specific Results Produced
--- | ---
|  | Some strategic and focused programs had been or have been implementing relates to 3 conventions.

Constraints/weakness
- No office focal point for 3 conventions
- Low environmental protection awareness; general understanding on 3 conventions
- The ineffective implementation of plans, programs and related specific measures
- Data collection and information management is still insufficient and inadequate coordination
- Ineffective cross-sector coordination
- The performance supervision and assessment of three conventions has not been put into full play

Cross-Cutting Capacity Needs:
- Improve of monitoring and evaluation system: stations and expertise.
- Awareness raising of communities and mechanisms to involve people in the legal implementation process;
- Develop new laws (such as Law on biodiversity, on energy security, etc);
- Develop a cross-sector coordination mechanism
- Develop a mechanism for decentralization responsibility to and supporting for localities;
- Regulations set-up and law
- Improve for data collection, monitoring and information management mechanism;
- Improve national database and IT infrastructure and expertise;
- Increase the function and capacity for Convention focal organization;

Opportunities for synergies:
- Environmental awareness of people; The implementation of plans, programs and related specific measures; Data collection and management; Cross – sectoral cooperation; Monitoring and evaluation of performance.
- Development of necessary mechanisms and policies to encourage people to participate in environmental protection activities; Develop new laws (such as Law on biodiversity, on energy security, etc) ;
- Develop a cross-sectoral coordination mechanism, delegate responsibilities among related Ministries and sectors;
- Enhance the capacity for Convention focal organization of biodiversity, climate change and land degradation
- Development of long-term promotion strategies
- Develop national database system which allow the interlink of data between different sectors
- Mobilize finance resources to implement activities related with the three Conventions

ANNEX VII

GUIDELINES 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 sort 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

ANNEX VIII

PRESENTATION – EXAMPLES OF NCSA ACTION PLANS

**Remember that:**
- NCSA is not for the GEF, it is a national initiative and its product should be owned by the country. Should not be shelved once completed!
- The GEF is not the only source of funding for capacity building, there are other development partners (bilateral and multi-lateral) who are interested. Good NCSA (process & product) serves as effective resource mobilization tool. UNEP Bali Plan will offer additional opportunity.
- A number of recommended actions in the NCSA will not need funds to implement, the country can start with those.

### Estonia – Main Features

- More Focused on Thematic and Cross-thematic Assessments
- Categorization of capacity needs made according to cross-cutting environmental issues and capacity building functions
- No detailed Action Plan but concise immediate follow up actions

#### Example – Estonia – Follow Up Actions

<table>
<thead>
<tr>
<th>Action</th>
<th>CB Level (Op. Inc. Ltd)</th>
<th>Leadership</th>
<th>Partners</th>
<th>Follow-Up</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Strategy</td>
<td>Environmental permission</td>
<td>Leading partner</td>
<td>Estonia</td>
<td>2006</td>
</tr>
</tbody>
</table>

### Gambia – Main Features

Thematic Assessments Based on Environmental and Capacity Building Priority Issues Identified
Cross-cutting assessment referred to capacity building functions
Strategies for each theme
Actions suggested in the form of Project Concepts

#### Gambia Strategies

<table>
<thead>
<tr>
<th>Strategy</th>
<th>Action</th>
<th>Performance</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Strategy</td>
<td>Establishing an Environment Management Strategy</td>
<td>Leading partner</td>
</tr>
<tr>
<td>2. Strategy</td>
<td>National Environmental Assessment (NEA)</td>
<td>Leading partner</td>
</tr>
<tr>
<td>3. Strategy</td>
<td>Development of the national action plan and the action plan</td>
<td>Leading partner</td>
</tr>
<tr>
<td>4. Strategy</td>
<td>Implementation of the action plan and the action plan</td>
<td>Leading partner</td>
</tr>
</tbody>
</table>

### Gambia

<table>
<thead>
<tr>
<th>Activity</th>
<th>Method</th>
<th>Measurement</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Strategy</td>
<td>Establishing an Environment Management Strategy</td>
<td>Leading partner</td>
</tr>
<tr>
<td>2. Strategy</td>
<td>National Environmental Assessment (NEA)</td>
<td>Leading partner</td>
</tr>
<tr>
<td>3. Strategy</td>
<td>Development of the national action plan and the action plan</td>
<td>Leading partner</td>
</tr>
<tr>
<td>4. Strategy</td>
<td>Implementation of the action plan and the action plan</td>
<td>Leading partner</td>
</tr>
</tbody>
</table>

47
ANNEX IX

PRESENTATION – GEF SUPPORT TO CAPACITY DEVELOPMENT

Context, CD and GEF

- CD is a critical issue for both donors and developing countries.
- Global processes highlight the centrality of capacity development and calls for it to be made an explicit objective of national development strategies, acknowledging that without sufficient local capacity, development is unlikely to succeed.
- Development of sustainable capacity remains one of the most difficult and most challenging parts of international development practice.
- Past decade witnessed steadily increasing requests from the global conventions to build the capacity.
- GEF Assembly recommended that CD should be identified and addressed in a systematic manner, with MPA’s being the main vehicle. Also called for GSP’s to foster synergies among global environmental conventions through LCCs.
- The GEF business plan identifies CD as a strategic priority that cuts across all focal areas.

NCSAs and Beyond...

- NCSA is the first pathway in GEF’s Strategic Approach to Enhance Capacity Building.
- All countries are currently implementing NCSAs. Enabling Activity projects in 120+ countries.
- All countries have decided to produce an action plan at the end of the NCSA process that will identify follow-up actions to address capacity constraints through both internal and external funding, including the GEF.
- Early findings indicate that countries expect continued GEF support for nationally determined and prioritized capacity building needs upon finalization of their NCSA exercises.
- GEF’s Strategic Approach is based on the premise that the outputs of the NCSA EA projects will be used for project development.

Towards a Strategy for CB-2

- No DPs or SPs are available from the GEF Sec. to guide project conceptualizations and formulation. Instead we have generic “Interim Guidelines” which set out some broad parameters and operational principles.
- Project development is therefore to some extent a trial-and-error process, where we will learn as we go. This gives an opportunity to push the boundaries for what is eligible, and develop innovative projects.
- The objective of CB-2 projects should be to address urgent capacity needs that any one country/similar to meet obligations under the Conventions (create global benefits) and provide support for mainstreaming MEAs into national policy frameworks.
- Follow-up projects can also make a strategic contribution to the achievement of Minimum Development Objectives (MDOs) by removing capacity constraints for mainstreaming global environmental.

GEF Resources for Capacity Development

Methods for access to GEF Resources (Pathway)

1. National Capacity Self Assessments NCSAs
2. Enhanced attention to capacity building in regular projects
3. Targeted and cross-cutting capacity building projects
4. Program for critical capacity building activities in LDCs & SIDOs
A Few Words on the Funding...

- Approximately $20 million available in GEF-3 (up to June 2005).
- To date no NSCA follow-up projects have been approved.
- X-cutting CD projects up until the end of GEF-3 are characterized by significant supply of funds that need to be absorbed over a limited period of time, coupled with a low dynamic from recipient countries.
- Important to have diverse portfolio of projects from all regions and sectors, to achieving critical learning and best practices.
- Unlike GEF-3, GEF-4 (2005-2010) is more likely to be characterized by high demand and limited supply.
- Most recent resource allocation scenario from the GEF Sec. identifies between $50-67 million for targeted x-cutting CD projects in GEF-4.
- GEF Sec. has indicated additional funds could be made available if early project shows impact and countries consider CB-3 projects a priority.

What's the Situation Right Now? (Cont'd)

- Given the enabling nature of capacity building activities, many such activities will be funded on an agreed full-cost basis, since the baseline cost to be met from other resources may be zero.
- Partnership is essential to sustaining capacity building activities, and proposals ensuring national and local commitment and building on complementary initiatives will be encouraged.
- Partnership with other donors will be considered co-financing.
- Partnership is central to sustaining capacity building activities, and proposals ensuring national and local commitment and building on complementary initiatives will be encouraged.

Regional Projects

- Regional capacity development projects will have to address common national priority capacity needs for the group of countries submitting the regional project proposal.
- Proposals should be based on the needs identified in NSCA's and within regional needs assessment conducted through the global NSCA support program.
- The scope and activities of a regional project should support and complement the activities of national x-cutting capacity building and demonstrate cost-effectiveness and economy of scale.
- In regions where countries work with different Implementing Agencies, regional projects should be submitted jointly by agencies.
- Funding for regional projects will be part of national allocations, and is likely to reduce the amount countries can access for national projects.

Examples of X-cutting CD Projects

- Bulgaria: Integrating Rio Conventions into the national and regional development policies in Bulgaria.
- Armenia: Developing institutional and legal capacity to optimize information management and monitoring system for GEF.
- IUCN: Community Learning and Institutional Capacity Building for Global Environmental Management and Poverty Reduction.
- Uzbekistan: Strengthening multi-sectorial, cross-sectional coordination in the Convention implementation through targeted institutional strengthening and professional development.
- Finland: Strengthening Multi-stakeholder Environmental Agreements into Nagoya's Environmental Legislation.

Some Operational Principles

- National ownership and leadership—local point support, demand-driven, based on NSCA's, etc.
- Cost-effective.
- Mainstreaming—integrate activities related to global environment management into national development plans and programs.
- Cross-cutting activities equity and impact on more than one GEF local area (climate change, biodiversity, land management, international waters, POPs and ozone).
- Consistency with Convention guidance.
- Application of good practices.
- Agreed indicators for measuring outcomes.
- Sustainability.

Recommendations for Follow-up

- Possible areas for future capacity building activities post NSCA's.
- Financing Instruments / Environmental Fiscal Reform / Economic Valuation.
- Improvement in Policy, Legislative and Regulatory Frameworks and their Enforcement/Implementation of international environmental management into national development plans and programs.

LDC-SIDS Country Programme (Still under discussion with GEF Sec.)

- Objective is to provide limited financing at country level to be managed through a multi-stakeholder decision making process.
- Identifies critical, incremental improvements in country's capacity to use and manage its natural resources and environment.
- This will be achieved by means of a flexible, country-driven program of intra-country capacity development actions.
- Build on a country-based decision-making process.
- The LDC-SIDS grants will be given to Governments as a Medium-sized Project, with a maximum amount of $500,000 for a 2-4 year period.
- Similar to the GEF Small Grants Program, Capacity Grants are expected to average $250,000 and not exceed $500,000.
- Duration of each Grant activity is two years with outputs planned for each year to encourage inclusive, effective actions.
- Patterns are encouraged, including partnerships between public and private sector, NGOs and Governments and donor and recipient countries.
ANNEX X

WORKSHOP EVALUATION

Did the Workshop overall meet your expectations? YES : 15  Partially :  4  NO :  8

Suggestions for improvement

- clearer agenda and structure, process and outputs
- communicate the agenda in advance and follow it more clearly
- NCSA managers could have made more comment on the agenda in advance
- the 'adaptive' design of the workshop made it difficult to fully achieve the objectives
- improve the workshop organization
- use other resource persons and participants to facilitate rather than just one facilitator
- focus on the countries’ interests rather than those of the IAs or GSP; because NCSA projects paid for participants to attend
- meet the countries’ desire to share and learn experiences and challenges
- provide for more sharing of countries’ experiences
- make it more participatory; get participants to participate more
- provide more time for countries to present their NCSA experiences
- make it more useful for the participants
- provide for more learning on proposal formulation

Quality of presentations and inputs

Knowledge of resource persons

<table>
<thead>
<tr>
<th>21 generally +ve</th>
<th>6 generally -ve</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ good; excellent</td>
<td>- need to use standard terminology</td>
</tr>
<tr>
<td>+ adequate, satisfactory; 4/5</td>
<td>- would have been good to hear more best practices (from elsewhere)</td>
</tr>
<tr>
<td>+ good, but difficult to communicate</td>
<td>- &quot;assumptions&quot; and guidelines given previously were not clear to the GSP</td>
</tr>
<tr>
<td></td>
<td>- NCSA Outputs had not been reviewed in advance; resource persons not familiar with each country's outputs or with each participant</td>
</tr>
</tbody>
</table>

Style and pace of presentations

<table>
<thead>
<tr>
<th>23 generally +ve</th>
<th>14 generally -ve</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ good; very good; 5/5</td>
<td>- too slow</td>
</tr>
<tr>
<td>+ good level of direct discussion with participants</td>
<td>- discussions too fast and too short</td>
</tr>
<tr>
<td>+ very good use of visuals</td>
<td>- not too communicative; not interesting</td>
</tr>
<tr>
<td>+ interesting</td>
<td>- should have been more participatory</td>
</tr>
<tr>
<td>+ a bit complicated; tough; tough but really useful</td>
<td>- too long; a bit long; some could have been tighter</td>
</tr>
<tr>
<td>+ fair, okay; not too boring</td>
<td>- too much theory; talking by facilitators</td>
</tr>
<tr>
<td>+ some long but well understood</td>
<td>- not focussed on countries' interests</td>
</tr>
</tbody>
</table>

Small Group exercises

<table>
<thead>
<tr>
<th>15 generally +ve</th>
<th>14 generally -ve</th>
</tr>
</thead>
<tbody>
<tr>
<td>+ good; very good; 5/5</td>
<td>- too short; need more of them</td>
</tr>
<tr>
<td>+ interesting; helpful; satisfactory</td>
<td>- group mechanics/ instructions should have been clearer in advance</td>
</tr>
<tr>
<td>+ interesting to share across countries</td>
<td>- participants not very active; some confused</td>
</tr>
<tr>
<td></td>
<td>- lessons learned not clearly shared</td>
</tr>
<tr>
<td></td>
<td>- should have asked countries what to discuss</td>
</tr>
<tr>
<td></td>
<td>- groups too diverse to be effective</td>
</tr>
<tr>
<td></td>
<td>- not useful; spent lot of time discussing what had happened</td>
</tr>
</tbody>
</table>

How Useful or Not Useful were different Sessions?
Useful Sessions

+ sharing of knowledge between countries
+ small group exercises
+ evaluation of the NCSA process by countries
+ sharing of countries’ follow-up objectives
+ sharing of lessons
+ discussions rather than presentations
+ review and synthesis of NCSA results/products
+ discussion on Cross-cutting and Common issues
+ the overview on NCSA and GSP
+ GEF support and follow-up action planning/MSP formulation
+ Action Plan preparation
+ the planning framework
+ discussion on project logical framework
+ country clinics/ direct discussions with senior IA and GEFSec officials

Not Useful

- need to improve ways of sharing and learning from each other
- needed more opportunities for participants to present what they have done
- needed more opportunities to ask questions of the resource persons
- not useful to ask participants questions
- participants were passive
- need further guidance on MSP project development
- need more time to discuss and resolve the issue of Cross-cutting/ common, synergies.

Further Technical Support required

- General technical assistance by GSP to NCSA implementation and completion
- GSP to review and provide recommendations on draft NCSA Output documents
- Frequent communication between NCSA team and GSP
- Up-dates on relevant topics
- More sharing of lessons between countries
- GSP to provide platform for information exchange and networking
- More guidance on Cross-cutting
- More guidance and advice on Action Planning
- Planning the NCSA process
- Guidance and clarification on the NCSA evaluation tool
- Guidelines and assistance for formulation of follow-up projects
- Speeding up follow-up work before GEF-3 ends
- Assistance in Plan implementation, including getting support from other external agencies