National Capacity Self-Assessment

Resource Kit

The NCSA Resource Kit is compiled from materials and ideas drawn from a number of sources, including publications by the Global Environment Facility, United Nations Institute for Training and Research, United Nations Development Programme, United Nations Environment Programme.

The views expressed in this publication are those of the author(s) and do not necessarily represent those of the United Nations, including UNDP, or their Member States.

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The GEF Global Support Programme was established in response to the Capacity Development Initiative developed by GEF and UNDP. It is conducting policy analysis and providing technical assistance to countries, relevant to the four pathways that comprise the GEF Strategic Approach to Capacity Development:

- National Capacity Self Assessments

- Strengthening capacity building components of GEF projects

- Targeted capacity building projects both within and across focal areas

- Country capacity development programmes in Least Developed Countries and Small Island Developing States.

The Support Programme is jointly managed by UNDP and UNEP and operates in partnership with other relevant international and regional institutions and programmes.

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The NCSA Resource Kit

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The NCSA Resource Kit

The resource kit is designed to assist project teams[1] who are undertaking National Capacity Self-Assessments (NCSAs) with support from the Global Environment Facility (GEF) and its implementing agencies, UNDP, UNEP and the World Bank.

The purpose of the kit is three-fold:

- To assist countries to focus on capacity needs to strengthen management of national and global environmental issues, in the context of sustainable development

- To introduce approaches and tools that can be used by NCSA teams to conduct an effective and efficient capacity assessment and planning exercise, tailored to national needs and circumstances

- To provide guidance on GEF requirements for NCSAs, including principles to be followed and outputs to be produced.

The body of the Resource Kit introduces a step-by-step approach for national teams to conduct their NCSA, using a variety of tools. Annexes provide supplementary technical information and tools, for use as needed. The document is designed so that pages or sections of it can be photocopied for distribution to various audiences.

There is considerable flexibility for each country to design its own NCSA processes and products. The kit does not prescribe a "blueprint" for undertaking an NCSA. Rather, it provides a framework of possible steps, tasks and tools that countries can adapt to fit their own priorities and resources. The basic design of the NCSA process is agreed upon with the implementing agency during project formulation. NCSA managers and project teams must also ensure that their NCSA meets the GEF *Operational Guidelines* (2001) which are summarised in this kit. However, as long as expected outputs are produced and key principles are respected, countries are encouraged to adapt the NCSA process to their national circumstances. This will help ensure that the NCSA contributes in a practical way to the country's ability to implement global and national environmental programmes and is not a "paper exercise" that later "sits on the shelf".

The NCSA Resource Kit was developed to provide countries with a "tool box" of capacity development approaches, techniques and tools, based on international best practices and NCSA experience to date. It builds on several key references. In 2001, the GEF Secretariat and UNITAR produced *A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management*. This was used by NCSA teams from 2001, along with technical guidance from the GEF implementing agencies, including *National Capacity Self-Assessments: A Resource Kit* (UNDP-GEF, Nov. 2003, updated Oct. 2004). The present *NCSA Resource Kit* (2005) combines these documents into a single comprehensive document and incorporates both lessons learned from global NCSA experience and additional GEF initiatives since 2001.[2]

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1. *In this Kit, "project team" and "team" refer to the core group of people responsible for implementing an NCSA project in a country. A typical team might include a national project manager or coordinator, a team leader for each convention, GEF and the Convention Focal Points, and additional experts and consultants, as needed. These people may be organized as "committees", "working groups", "teams" or other terms.*

2. *These include* Capacity Development Indicators*: UNDP-GEF Resource Kit (2003),* Strategic Approach to Enhance Capacity Building *(GEF 2003),* Global Support Programme for NCSAs *(UNDP and UNEP 2004), and the* GEF Strategic Business Plan 2004-6.

The GEF *Operational Guidelines* (2001) for National Capacity Self-Assessments outline the expected outputs and guiding principles for NCSAs. The GEF *Strategic Approach to Enhance Capacity Building* (2003) reinforces the importance of capacity development for the GEF and provides additional guidance regarding NCSAs. The *Operational Guidelines* specify that NCSAs must be country-driven, undertaken by national institutions and experts to the extent feasible, and respond to national situations and priorities. The guidelines leave considerable flexibility for each country in its choice of approaches, tasks and tools to undertake the NCSA.

This kit will be the core reference for countries undertaking NCSAs, while past guides will remain available for reference purposes. Annex A lists selected references on NCSAs and GEF Capacity Development programmes, including possible GEF support for NCSA follow-up projects. The NCSA website will continue to support the kit, by providing updates, including completed NCSA reports; key contacts; evaluations and lessons learned from NCSA experience; an E-forum for on-line exchange; and helpful and supplementary resources. http://ncsa.undp.org

Box 1

Principles for NCSAs

- **Ensure that the NCSA is nationally owned and led, with high level political commitment,** and using national or regional experts where possible.

- **Use existing coordinating structures and mechanisms,** such as national committees involved with MEAs or national environmental plans.

- **Build on past capacity development work,** including GEF-supported enabling activities, national reporting to conventions and non-GEF initiatives.

- **Pay due attention to the provisions and decisions of the three conventions,** especially those related to capacity development.

- **Ensure multi–stakeholder participation, consultation and decision-making.**

- **Adopt a holistic approach to capacity development** that addresses capacity needs at the systemic, institutional and individual levels, and integrates capacity development into wider sustainable development efforts.

- **Adopt a long-term approach to capacity development as part of national and global sustainable development initiatives** (e.g., integrate with other Multilateral Environmental Agreements; Millennium Development Goals; and national development priorities, such as poverty alleviation, economic transition and sectoral strategies.)

GEF, 2001. *Operational Guidelines (for NCSAs)*

Countries are encouraged to follow these two additional principles:

- Focus on issues that are cross-cutting for the three Rio Conventions, with the aim of strengthening synergies in implementing these conventions.

- Pay particular attention to capacity needs at the systemic level, since they are often neglected by initiatives that focus on individual and institutional or organisational capacity.

Background

National Capacity Development, NCSAs and the Global Support Programme

In the 1990s, the international community reached unprecedented agreements on the need to protect the global environment. Most notable among these were the three global conventions to address climate change, biodiversity and desertification/land degradation:

1. United Nations (UN) Convention on Biological Diversity (CBD),

2. UN Convention to Combat Desertification (CCD), and

3. UN Framework Convention on Climate Change (UNFCCC).

If implemented effectively, these treaties will contribute significantly to achieving the goals of sustainable development and conservation of the planet's natural resources for future generations. Despite their good faith participation in convention processes, many parties to these agreements have somewhat limited capacity to fully implement the Conventions and to benefit from involvement in them. Recognizing this constraint, the Global Environment Facility (GEF) has made funds available to participating countries to support capacity development for global environmental management. The GEF has financed capacity building through a number of "Enabling Activities" related to the thematic areas of biodiversity, climate change, land degradation and Persistent Organic Pollutants[3], as well as through capacity building components of many of its projects.

In the late 1990s, the GEF Council, recognizing the increasing importance of assisting developing countries to increase their capacity to participate in global environmental management, launched the Capacity Development Initiative (CDI). The goal of this partnership between the GEF Secretariat and the UNDP was to assess common capacity needs among countries and design a strategy to meet them. The CDI involved extensive consultations with partner countries, GEF and its Implementing Agencies; Secretariats of the Conventions on Biological Diversity, Climate change, and Desertification/ land degradation; other multi and bilateral organisations; and non-governmental organisations.

As a first step in implementing the CDI recommendations, the GEF Council approved funding for countries wishing to undertake "national self-assessments of capacity building needs".[4] The purpose was to support a country-driven consultative process of analysis and planning that will determine national priorities and needs for capacity development to protect the global environment.

More than 150 developing countries and economies in transition are engaged in the NCSA programme. Each is assessing its needs, and planning for capacity development towards improved management of environmental issues and sustainable development.

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3. *These Enabling Activities include (1) CBD: National Reports and National Biodiversity Strategy and Action Plans (NBSAP); (2) CCD: National Action Plans; (3) UNFCC: National Adaptation Programmes (NAPA) and Initial and Second National Communications; (4) POPs: National Implementation Plans- and (5) GEF National Country Dialogues.*

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4. Elements of Strategic Collaboration and a Framework for GEF Action for Capacity Building for Global Environmental Management *(GEF, 2001)*

A Global Support Programme (GSP) was approved by the GEF Council in 2004 to facilitate implementation of the GEF Strategic Approach to capacity development (GEF/C.22.8). The Support Programme is a three-year, joint UNDP-UNEP programme, serving as a learning mechanism for capacity assessment and capacity development initiatives. It is conducting policy analysis and providing guidance relevant to the four pathways of the GEF Strategic Approach:

- National Capacity Self Assessments

- Strengthening capacity building components of GEF projects

- Targeted capacity building projects both within and across focal areas

- Country capacity development programmes in Least Developed Countries (LDCs) and Small Island Developing States (SIDS).

The initial emphasis of the Support Programme is to deliver technical assistance to countries undertaking NCSAs, above what is available through their NCSA projects. The strategy is to review countries' needs for support, and to meet this demand with rapid mobilization of technical training, briefings, guidance or resource materials, such as this Resource Kit; and through opportunities to share experiences and lessons among countries.

National Capacity Self Assessment

The primary goal of an NCSA is to determine national priorities for capacity development to better address global environmental issues. The NCSA will analyse the country's capacity strengths, constraints and needs, and recommend capacity development actions to address them. The focus is on a country's capacity requirements to implement the three "Rio Conventions" – biodiversity (CBD), land degradation (CCD), and climate change (UNFCC) – and other relevant Multilateral Environmental Agreements (MEAs).[5] In addition, the NCSA process aims to identify cross-cutting capacity issues and foster synergies among the MEAs.

The country-driven approach of the NCSA enables countries to integrate their plans for capacity development in improved environmental management with broader national sustainable development goals and programmes. This integration will help to secure follow-up to the NCSA, and ensure that the NCSA leads to measurable improvements in environmental management at both global and national scales.

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5. *Other particularly relevant MEAs include Convention on Wetlands of International Importance (Ramsar), Ramsar 1971; Convention on International Trade in Endangered Species (CITES), Washington 1973; Convention on the Conservation of Migratory Species (CMS), Bonn 1979; Vienna Convention for the Protection of Ozone Layer (Ozone), Vienna 1989; Basel Convention on the Transboundary Movements of Hazardous Wastes, Basel 1989; Convention on Persistent Organic Pollutants (POPs), (Stockholm), 2001*

NCSA Objectives

The NCSA is an assessment and planning exercise driven by country participants. Each country has considerable flexibility in defining specific objectives and methods for the NCSA. The common goal is to address priority national and global environmental issues, based on guidance from the MEAs. The NCSA is concerned with a country's **capacity** – the abilities of individuals, groups, organisations and institutions to address the priority environmental issues as part of efforts to achieve sustainable development. The NCSA is an opportunity to systematically assess priority needs and prepare a national **capacity development** plan – the objectives and actions required to improve the ability of individuals, institutions and systems to make and implement decisions, and to perform functions in an effective, efficient and sustainable manner. (GEF, 2001. *Proposed Elements for Strategic Collaboration*). Through the NCSA, specific objectives are recommended and strategies planned to develop adequate capacities to achieve this goal. A concise and well-presented Action Plan will be a key tool for achieving follow-up to the NCSA.

In order to meet MEA responsibilities, each country will need the capacity to manage the following functions[6]:

1. to mobilize information and knowledge;

2. to build consensus and partnerships among all stakeholders;

3. to formulate effective policies, legislation, strategies and programmes;

4. to implement policies, legislation, strategies, programmes and projects, including mobilising and managing human, material and financial resources; and

5. to monitor, evaluate, report and learn.

For a country to perform these functions successfully, it needs capable individuals and effective institutions and organisations, and for participants to work together in a well-functioning political, economic and social system, sometimes called "the enabling environment". Adequate capacity is required at each of three "levels of intervention" – individual, institutional and systemic levels, as discussed in Box 2. (Table 3.2 is a framework for reviewing capacity to manage each of the five functions at the three levels of intervention.)

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6. *This model system is developed from UNDP/GEF, 2004. Capacity Development Indicators, UNDP/GEF Resource Kit (no. 4)*

Box 2

Levels of Capacity Development

At the **individual** level, capacity development aims to:

- improve the ability of individuals to manage and protect the environment, working as individuals, within organizations and within the larger society;

- change individual attitudes, knowledge, behavior and actions, through increasing their awareness, understanding and skills on relevant topics; this is often done through awareness-raising, education, training, learning-by-doing and peer learning;

- improve individual performance through promoting greater participation, ownership, motivation, incentives and morale; and

- improve individual performance through better human resources development, performance management and accountability systems.

At the **institutional** level, capacity development aims to:

- clarify and improve organizational structures and processes, such as mandate, mission, responsibilities, accountabilities, communications, and deployment of human resources;

- improve an organisation's performance and functioning to make it more effective, efficient and responsive to change; this includes management, strategic planning, and implementation of programmes and projects;

- increase coordination and collaboration among groups or departments within the organization;

- build better relationships with the "outside environment" (other organizations within or outside the country); and

- provide better information systems, infrastructure and equipment to support the organisation's work.

Note: This level is sometimes called the "organisational level", as it includes government institutions, e.g., ministry, department, state company, as well as civil society and private organisations, e.g., NGO, association, private company.

At the **systemic** level, capacity development aims to:

- create "enabling environments", i.e., societal support, for better environmental management in all sectors of society;

- improve the overall political, economic, legislative, policy, regulatory, incentive and accountability frameworks within which organizations and individuals operate;

- improve formal and informal communication and collaboration among organizations and individuals; and

- promote the participation of all sectors of society in reaching environmental goals, through improved awareness, education and involvement and increased government transparency and accountability .

Undertaking an NCSA

A standard process is recommended for undertaking an NCSA: to follow a 5 Step approach and produce a report or output from each step. Each NCSA is also required to follow the key principles specified in Box 1.

Previous NCSA guidance listed either seven or nine steps (UNITAR 2001 and UNDP 2003 and 2004). Project teams can modify the steps to suit their national situation, while ensuring that all GEF requirements are met. Examples of possible modifications include:

- In countries that prepare a comprehensive Project Document for the NCSA, the Inception Step 1. may be short.

- If information is already available for one or more conventions from previous GEF enabling activities or other programmes, teams may be able to shorten the Thematic Assessment Step 2.

- If the Thematic Assessments are comprehensive, teams may find that the Cross-cutting Analysis step is brief, involving only a reorganization and prioritization of information and selective additional research.

- Teams may combine Steps 1 and 2, or 2 and 3, or 3 and 4.

The reports and outputs may be presented in separate documents, or combined into one or more documents. Each major output should include a Summary of 1-3 pages. All reports can be done in the local language, however, the Action Plan, NCSA Report and all Summaries should be made available also in a UN language (English, French, Spanish) for outside readers.

5 Steps and their Outputs

Step 1. ➜ Output: Inception report

During **Inception**, the administrative, management and consultative arrangements for the NCSA are decided and organised, and a Work Plan prepared. This may involve analytical work to identify linkages of the NCSA with past and on-going processes, as well as stakeholder analysis to see which stakeholders should be involved, and a stakeholder involvement plan, which outlines how best to engage each group.

Step 2. ➜ Output: Stocktaking report

The **Stocktaking** is a "situation analysis" that provides the baseline research for the next steps. Its objective is to ensure that the NCSA builds on other local or national work related to the conventions and on past capacity development efforts. The stocktaking involves identifying all national activities and documents that are relevant to the convention themes as well as core national environmental priorities. These include any laws, policies, plans, strategies, programmes and project documents that may be useful in Steps 3 and 4. This step involves also reviewing past capacity assessments and assessing the strengths and weaknesses of previous capacity development efforts. The latter may include capacity-building projects, capacity components of broader projects, and mainstream programmes.

Step 3. ➜ Output: Thematic Assessments

The main objective of the three **Thematic Assessments** is to analyse the country's obligations and opportunities from each MEA, and the country's performance and achievements to date. The output is a succinct picture of "where we are now", including strengths and constraints in implementing the conventions, as well as priority capacity needs. Some thematic assessments identify emerging cross-cutting needs that can be further analysed in Step 4, and possible capacity development actions to be investigated for the Action Plan. However, usually no recommendations are made at this time, unless immediate improvements are possible.

Step 4. ➜   Output: Cross-cutting Analysis

The objective of the **Cross-cutting Analysis** is to assess capacity issues, needs and opportunities that cut across the conventions. This includes identification of common needs and possible synergies that could be achieved in the country by addressing requirements across two or more themes. This analysis may also identify capacity needs that are common to both national and global environmental management, and possible synergies between them. This step results in a list of priority national capacity needs and opportunities for synergies. It may also identify possible capacity development actions that can be refined for the Action Plan.

Step 5. ➜   Output: Capacity Action Plan and NCSA Report

The **Action Plan** draws on the assessment of priority thematic and cross-cutting capacity needs, to identify a program of capacity development actions. The Plan recommends goals, objectives and strategies for national capacity development. It should identify priority actions; the time frame; possible funding; responsibilities; and means of monitoring implementation and evaluation of outcomes and impacts. The Action Plan may be included in the NCSA Report.

The **NCSA Report** is a required output. It summarises the work done under the NCSA, documents the process used to produce the outputs, including the methods, tools and participants, and highlights the major conclusions and lessons from the NCSA.

Objectives of Inception

The first step in the NCSA is Inception. During Inception, the project team will think through the entire 12-24 month process, clarifying project objectives and how best to achieve them. Careful planning and design of project management mechanisms, outputs, participants and work plans form the foundation of a successful NCSA. During Inception, you will develop a "game plan", which can be revised and adapted to changing circumstances and emerging information over time.

Even if considerable planning has gone into preparing the project document used to get NCSA funding, Inception can be used to update this information and develop a more detailed work plan. During this step, all project managers and core participants will need to develop a common understanding of project goals, scope and expected outputs. They will also need to expand their understanding of capacity and capacity development for management of environmental issues.

Key Results from Inception: These will vary, depending on the country, but might include:

- Detailed Project Work Plan, outlining the main steps, activities, methods, timelines, milestones and participants

- Logical Framework Analysis for the NCSA project

- Terms of Reference for all project managers and committees/teams/working groups

- Linkages Study

- Stakeholder Analysis and Stakeholder Plan

- Communications Strategy

- Inception Report (may not be necessary if the Project Document is thorough)

Tasks and Tools during Inception

The following is a list of possible tasks and tools that might be done during Inception. These can be adapted to your national circumstances, for example, you might do them in a different order, in a different way, or not at all. For example, some countries outline all detailed project planning in a Work Plan while others prepare an Inception Report.

1. Review the NCSA project document and core NCSA support materials from the GEF. (See http://ncsa.undp.org and/or contact the Global Support Programme.)

2. Identify project management mechanisms in the Project Document (ProDoc).

   - Create a Project Steering Committee(PSC) and define its structure, composition and responsibilities. This should be based as much as possible on existing high-level coordinating committees.

   - Determine the roles and responsibilities of GEF and convention Focal Points and convention-related national coordinating committees during each step.

   - Brief the PSC (and Focal Points, if they are not on the PSC) on all aspects of the NCSA, including possible benefits for the country and for PSC members and their organizations.

3. Assemble the project management team identified in the ProDoc.

   - Recruit a project director, manager or coordinator, as well as other core project and support staff, through a competitive process, based on Terms of Reference (TORs), which may be outlined in the ProDoc.

   - Set up project management systems, including financial and management systems, bank accounts, etc.

4. Obtain high-level support for the NCSA.

   - See Annex C on the importance of this task and suggestions for how to do it. The PSC and project managers should play a central role in this task.

5. Agree on the scope of the NCSA, including the geographical, institutional and organisational scope. The scope is likely be comprehensive during the initial steps and narrow progressively to focus on priority topics in later steps.

   - Identify, if possible, the priority conventions and national sustainable development and environmental issues that should be addressed.

6. Undertake any additional research and discussion needed to finalize the design and planning of the NCSA process.

   - Identify useful linkages of the NCSA with other initiatives to improve capacity for global and national environmental management. *Possible Tools*:* Linkages Study, Concept Mapping.

   - Consult with key stakeholders on the design of the NCSA, including its objectives, scope, information sources and analytical approaches. *Possible Tools:* Stakeholder Workshop or mini-workshops, Interviews with key informants.

7. Decide who will do the technical analysis for each step in the NCSA. See Box 1A.

   - Define the structure, composition and responsibilities of project teams and working groups, and prepare clear Terms of Reference (TORs) for them.

   - Define the need for outside experts and consultants, develop TORs and recruit them, as needed.

8. Identify possible stakeholders and how they will be involved in the NCSA. *Possible Tools:* Stakeholder Analysis, Stakeholder Workshop

9. Design your NCSA Communications Strategy, as suggested in Annex C.

10. Identify the main approaches and methods to be used for each step of technical analysis. During Inception, this may involve only an outline of draft ideas that can then be refined by project teams as they begin each step.

> **The Importance of Clear Terms of Reference**
>
> Because the Stocktaking and three Thematic Assessments are often done by different working groups or individuals, the content and format of their reports can vary. This can make the cross-cutting analysis difficult. To avoid this, the TOR for each consultant or working group should specify a consistent approach to the research content and format.
>
> A timeline, with key milestones and deadlines, should also be included. The project team can also set up periodic progress reviews to ensure that results are compatible and that the timeline is being followed.

11. Prepare an NCSA Project Work Plan, which summarizes the information in tasks 1-10 above.

    - Revise any preliminary work plan in the ProDoc.

    - List specific objectives for your country's NCSA that encompass both GEF requirements and national priorities.

    - List expected outputs, tasks, timelines and responsibilities for each step.

    - Describe how the project work plan will be used as the basis for annual or quarterly work plans, or work plans for each step in the NCSA.

    - Specify accountability and reporting, e.g., quarterly progress reports to update participants and propose revisions to the initial work plan.

* Details of *Possible Tools* mentioned in the Resource Kit are in Annex D.

Box 1A

Who will actually do the research and analysis during the NCSA?

The outputs of the NCSA can be produced by individuals, project teams (committees or working groups) and/or consultants. Teams will likely include various experts such as civil servants, technical specialists, scientists, researchers and other resource people from government, non-government, civil society and private sector organisations.

Criteria for team member selection may include: appropriate technical background and experience, ability to analyze and synthesize information, writing and presentation skills, interpersonal communication and teamwork skills, and ability to see "the big picture".

Tips for finding effective team members include:

- An NCSA needs both content and process experts, including those with knowledge of conventions, but also skilled facilitators, planners, analysts, writers and editors.

- An NCSA may need specialists in the convention thematic areas, but also in human resources development, capacity development, training, stakeholder involvement, and meeting and workshop facilitation.

- Look beyond the obvious places, such as the Department of Environment and environment NGOs. Consider involving writers/editors and academics, and staff of research and training institutes or try Departments of Public Administration, Human Resources and Education.

- Team membership may change for each step, to ensure the most appropriate people are involved; however, some continuity of participants is desirable for a coherent process.

Project team members need to develop a common understanding of capacity development.

As capacity development is now considered a core element in any kind of development, increased knowledge about capacity development may be one of the lasting benefits of the NCSA. Since project participants often come from environmental or natural resource sectors, they may have limited knowledge of capacity development objectives and methods. The Project team must ensure that core participants (teams, consultants, stakeholders) are able to learn about capacity development, using the information provided in this Resource Kit and on the website.

Step 2: Stocktaking

Objectives of the Stocktaking

The main objectives of the Stocktaking are to ensure that:

1. the NCSA builds on and expands past capacity assessment and capacity development in the country, incorporating lessons learned;

2. the NCSA is integrated into existing national frameworks for capacity development and global and national environmental management; and

3. the project team deepens its understanding of capacity assessment and capacity development, including the roles of individual, institutional and systemic capacity in implementing the conventions.

The Stocktaking is a kind of "situation analysis" that provides the baseline information for the next steps. It summarizes the findings of past *capacity assessments* that have been prepared as part of GEF projects and enabling activities, as well as other donor and nationally supported initiatives. It identifies past and on-going *capacity development initiatives* – capacity-building programmes and projects and capacity elements within broader projects – and evaluates their strengths, weaknesses and lessons. It also includes a review of capacity development provisions under the conventions and the degree to which the country has benefited from these (Annex B).

During the Stocktaking, the project team will also inventory all convention-related activities and collect all national documents relevant to the convention thematic areas of biodiversity, climate change and land degradation. These include any laws and regulations, policies, plans, strategies, programmes and project documents that could be useful for the Thematic and Cross-cutting Capacity Assessments in Steps 3 and 4. While the focus is on the Rio Conventions, the team may include other MEAs considered by the country to be a priority.

In this step, the team may also want to "take stock" of the global and national context for its participation in global environmental management. This includes identifying common capacity issues for both global and national environmental management that have emerged from previous work. (Since the individuals and organisations involved in global and national environmental management are often the same, issues are likely to be similar.) If this was not done previously, the team may also want to identify how the NCSA will be linked to key national sustainable development and environmental initiatives. If a Linkages Study was not done during Inception, the team can use that tool, or a similar one, to identify such linkages.

During the Stocktaking, the project team should avoid duplicating past efforts or only "re-packaging" past work. It should build on previous findings, expand the analysis and draw further conclusions regarding capacity development and environmental management in the country. The Stocktaking is the starting point for the Thematic and Cross-cutting Analysis, providing valuable information for developing work plans and TORs for project teams and consultants in the next steps. It may also be helpful to briefly review successes and failures in implementing other national action plans and strategies, in order to identify lessons learned that could be applied to the NCSA Action Plan.

Possible Results of the Stocktaking:

- Summary and evaluation of past and on-going capacity assessment and capacity development initiatives in the country, within and outside the framework of the Conventions.

- Capacity issues related to both global and national sustainable development and environmental management that have emerged from previous work.

- Lessons learned and how they will be addressed in the NCSA Assessments and Action Plan.

- Linkages of the NCSA to priority national sustainable development and environmental capacity goals and activities (if not done previously).

- Bibliography of relevant documents and websites – may be annotated or not.

- Brief report on the objectives, scope, methods and conduct of the stocktaking.

Box 2A

Prioritization During the Stocktaking

Most countries already have numerous reports, plans and strategies related to the thematic areas of biodiversity, climate change and desertification/land degradation, most of which are likely to identify capacity issues to varying degrees. There will also be reports resulting from other MEAs and other global and national sustainable development and environmental initiatives with capacity-related information.

Your search should also go beyond published reports, as you may find valuable information in unpublished reports, files, and correspondence and on websites. Be sure to identify documents and activities of the private sector, non-government organizations, academics and research institutes, in addition to government initiatives. Interviews with key informants will also be useful.

To avoid being overwhelmed by information, your project team should identify which documents are likely to be most valuable, given the stated objectives and scope of the stocktaking. Remember that the stocktaking should focus primarily on information that will help to identify capacity strengths, constraints, needs and opportunities during the steps that follow. When reviewing past documents, try to find key findings and conclusions regarding your country's global commitments, national initiatives relevant to the convention thematic areas, and past capacity development.

Tasks and Tools for the Stocktaking

The Stocktaking may involve the following tasks:

1. Define the specific objectives of the stocktaking in your country, based on the various objectives outlined above.

2. Define the scope of the Stocktaking, deciding what will and won't be included.

3. Decide the amount of time and resources to devote to the Stocktaking. This will depend on its objectives and scope, as well as how much information is available and whether similar work has already been done.

4. Decide who will do the Stocktaking (or refine proposal decided in the ProDoc or during Inception) and recruit teams and consultants, through a competitive process, based on Terms of Reference (TORs). Develop detailed work plans for all teams and consultants, based on the TORs.

5. Decide if you will involve stakeholders in the Stocktaking, and if so, who will be involved, and when and how will you involve them.

    *   Review the Linkages Study, Stakeholder Analysis and Stakeholder Plan, if done during Inception. If these were not done, consider doing them now.

    *   See the toolbox of stakeholder involvement techniques in Annex Dd.

    *   Since the stocktaking is primarily an information-gathering step, a stakeholder workshop may not be necessary, unless it is combined with a workshop that also covers either Inception or the launch of the Thematic Assessments.

6. Collect and analyze any documents that will help you to take stock of the national situation regarding capacity for convention management and implementation. Note: Although these documents may be identified during the Stocktaking, some may not be used until the next steps.

    *   Box 2B lists four categories of documents that might be useful during the NCSA.

    *   Box 2C lists national reports that may contain information that is relevant to capacity development for the conventions.

7. Undertake the Stocktaking. While each country will approach this differently, the following are likely tasks:

   - Summarize the findings of past capacity assessments, undertaken as independent exercises, or as part of broader programmes and projects.

   - Analyse past capacity development initiatives to identify strengths and weaknesses in their implementation.

   - Identify lessons that emerged from the previous two tasks that could be integrated into the next steps of the NCSA and how this will be done.

   - Identify how the NCSA will be linked to other national sustainable development/ environmental initiatives.

   - Assess other national action plans and strategies that are similar to the NCSA Action Plan to identify strengths and weaknesses in their implementation, and how the NCSA can build on these lessons learned.

8. Summarize the results of the stocktaking and write them up as a separate report or as a section for the NCSA Report.

9. Refine the Project Work Plan developed during Inception, as needed, based on the findings of the Stocktaking.

   Possible Tools* for the Stocktaking — see Annex D: Desk Study, Interviews with key informants, Field Trip/ Site Visit, Linkages Study, Stakeholder Analysis, Stakeholder Plan, Concept Mapping

* Details of *Possible Tools* mentioned in the Resource Kit are in Annex D.

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Categories of documents/ activities that might be reviewed during the NCSA

Documents/ activities related to capacity development, resulting from national and donor-supported capacity assessment and capacity development initiatives.

Documents/ activities related to national obligations under the Conventions

- Reports produced through convention-related activities, e.g., National Reports to the Conventions and GEF-supported strategies, plans and projects.

- Guidance on capacity development from each convention, as summarized in Annex B, as well as work on synergies among conventions.

- The text of the Conventions and subsequent decisions of the Conference of Parties for each convention, which outline the responsibilities of participating countries. Table 3.1 provides a preliminary list of the main requirements under each Convention. This can be a starting point for preparing a more comprehensive list of obligations under the Rio Conventions during the Thematic Assessment.

National legislation, policies, plans, strategies, programmes and projects related to the convention thematic areas, i.e., biodiversity, climate change and land degradation. These should include regional, national, local and sectoral initiatives e.g., agriculture, fisheries.

National plans and strategies resulting from international sustainable development and environmental initiatives, that highlight national environmental priorities, e.g., National Reports to WSSD, Sustainable Development Strategies.

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Box 2C

National Reports that might be useful for Steps 2-4: Stocktaking, Thematic Assessments and Cross-cutting Analysis

Biodiversity

- National Biodiversity Assessments, Strategies and Action Plans
- Forestry Assessments, Strategies and Action Plans
- National Reports to the Convention
- Biosafety Frameworks

Climate Change

- UNFCCC National Communications
- Climate Change Assessments, Strategies and Action Plans
- National Adaptation Programmes of Action

Desertification/ Land Degradation

- National Action Programmes to Combat Desertification (NAPs)
- National Reports on CCD Implementation

Capacity Assessment and Development

- Capacity 21 Programme Reports
- Capacity assessments
- Training needs assessments
- Reports of capacity development projects
- Human Resource Management policies and plans

Cross-cutting and general Environment-related

- National Environmental Action Plans (NEAPs)
- National Sustainable Development Strategies
- National Agenda 21 Reports
- State of the Environment Reports
- National Conservation Strategies
- Stockholm Convention (Persistent Organic Pollutants)

Implementation Plans

- WSSD 2002 National Reports (& UNCED 1992)
- Environmental planning documents
- Sector studies
- Institutional assessments done for GEF or other projects

Step 3: Thematic Assessments

Objectives of the Thematic Assessments

A Thematic Assessment (or "Thematic Profile") should be prepared for each of the three thematic areas covered by the Rio Conventions: biodiversity, climate change and land degradation. The objectives of the Thematic Assessments are:

1. To develop a clear understanding of the requirements under each of the conventions as well as opportunities available to signatory countries;

2. To review what has been done by the country to address its obligations, and to take advantage of convention-related opportunities;

3. To assess country performance strengths and constraints in addressing convention requirements and benefiting from participation;

4. To identify priority capacity needs, and opportunities for capacity development for each thematic area, at the individual, organizational and systemic levels.

The information gathered during the Thematic Assessments will be used to (a) identify priority capacity needs and opportunities for capacity development under each convention, and (b) provide the basis for Step 4, the Cross-cutting Analysis of capacity needs and possible synergies in convention implementation.

There are two main components in the Thematic Assessments, the inventory of convention provisions and the assessment of the country's performance in relation to them. Convention requirements and opportunities are expressed in the text of the conventions and subsequent protocols, as well as the decisions of the Conference of Parties for each convention. Country obligations are the commitments that signatories make to address the issues covered by these agreements. The analysis may identify the degree to which the obligation is binding on the country. Table 3.1 provides a summary list of convention requirements, from which countries can start the analysis; however, additional sources should also be consulted (See references in Annex A).

The assessment of country performance will identify strengths and constraints in meeting convention obligations and benefiting from convention provisions, including capacity issues. It may also summarize strengths and constraints in national environmental management that affect the country's contribution to global environmental management.

The Thematic Assessments should not focus only on *constraints* and *needs,* as this may appear to emphasize the negative side of convention participation. An identification of country *strengths* in responding to the conventions will both give credit to those who are responsible and identify successes the country can build on. Such a positive approach is more likely to motivate both high-level officials and stakeholders. For the same reason, the analysis should highlight opportunities provided by convention participation, not just the obligations this entails.

The result of the Thematic Assessments will be a succinct picture of "where we are now" in relation to implementing the Rio Conventions (and other priority MEAs), and how this links with capacity needs and national capacity development priorities. Some Thematic Assessments may also identify *emerging* cross-cutting needs that can be further analysed in Step 4, and *possible* capacity development actions to be investigated for the Action Plan in Step 5. However, usually no recommendations are made at this time, unless immediate improvements can be made.

Table 3.1: Summary List of Convention Requirements
The convention text and COP decisions provide more details.

Biodiversity	Climate Change	Land Degradation
• Undertaking national biodiversity conservation planning	• Preparing national communications	• Effective early warning and advance planning for periods of adverse climatic variation
• Identifying and monitoring biodiversity and its conservation	• Developing national climate change programmes	• Systems for research and development
• In-situ conservation, including protected area system management	• Preparing and managing greenhouse gas inventories, including emission database management	• Technical and scientific co-operation
• Ex-situ conservation of biodiversity	• Research and systematic observation of climate and other functions	• Joint research programmes for the development of appropriate technologies
• Utilising environmental impact assessment for biodiversity conservation	• Assessing vulnerability and adaptation	• Systems to collect, analyse and exchange information
• Managing information, notably through clearinghouse mechanisms	• Developing and implementing adaptation plans and measures	• Training for collection and analysis of data for disseminating and using early warning information systems, covering drought and food production
• Providing scientific and technical education and training	• Assessing mitigation options	
• Preserving indigenous and local knowledge, innovations and practices	• Developing and transferring technology	• Transfer, acquisition, adaptation and development of economically, socially and environmentally appropriate technology
• Implementing the Cartagena Protocol on Biosafety	• Institutional capacity-building, notably through Secretariats or focal points	
• Regulating access to and transfer of genetic resources	• Improved decision-making, including assistance for participation in international negotiations	• Training and technology regarding alternative, renewable energy sources
• Regulating the handling of living modified organisms	• Working with the Clean Development Mechanism	• Promotion of alternative livelihoods, including training in new skills
• Regulating the commercialisation and ensuring benefit-sharing from genetic resources	• Meeting needs arising from implementation of Convention Articles 4.8 and 4.9	• Education and public awareness
• Accessing financial resources	• Information and networking, including databases	
• Raising understanding and awareness	• Education, training and public awareness raising	
• Developing and introducing economic and social incentives	• Enhancing the enabling environment	

Possible Results of the Thematic Assessments:

- Summary of convention requirements and country obligations, and possible opportunities and benefits under the conventions (possibly including the strength of the legal commitment for each obligation).

- An inventory of past and on-going national activities related to the thematic areas addressed by the conventions (biodiversity, land degradation, climate change).

- Detailed analysis of strengths and constraints in national capacity to respond to convention requirements and benefit from convention opportunities.

- Analysis of priority capacity needs at the individual, organizational and systemic levels for each convention.

- Summary of linkages between national sustainable development and environmental priorities and the convention thematic areas, with a focus on capacity issues.

- A preliminary list of cross-cutting capacity issues (strengths, constraints, needs and opportunities) that should investigated further in the next step.

- A preliminary list of possible capacity development actions to address priority needs for each convention.

- Brief description of objectives, scope and methods for the Thematic Assessments.

Possible Tasks and Tools for Thematic Assessments

1. Define the objectives of the Thematic Assessments, based on the objectives listed in the section above and the findings of the Stocktaking, including national priorities.

2. Determine the scope of the Thematic Assessment, deciding what will and won't be included.

3. Decide the amount of time and resources to devote to the Thematic Assessments. This will depend on its objectives and scope, as well as how much information is available and whether similar work has already been done.

4. Decide who will do the Thematic Assessments (or refine earlier decisions in the ProDoc or during Inception).

   - Recruit teams and consultants, through a competitive process, based on Terms of Reference (TORs).

   - Develop detailed work plans for all teams and consultants, based on the TORs.

5. Decide if you will involve stakeholders in the Thematic Assessments, and if so, whom you will involve, and when and how will you involve them.

   - Review the Linkages Study, Stakeholder Analysis and Stakeholder Plan, if done. If these were not done, consider doing them now.

   - See stakeholder involvement techniques in Annex Dᴅ.

6. Choose methods for the Thematic Assessment, including tools for information gathering, analysis, synthesis and presentation (Annex D)

    - Develop draft report outlines or Tables of Contents.

    - Develop common frameworks and templates for collecting and analyzing information.

    - If there are multiple teams and consultants, by convention, ensure that all teams use common methods and presentation formats in reports, both for consistency, and to ensure that results are compatible for the Cross-cutting Analysis.

7. Undertake the initial analysis for the Thematic Assessments. While each country will approach this differently, the following are likely tasks:

    - Use Tables 3.1 and 3.2 as a starting point for analysing capacity needs in relation to convention responsibilities.

    - Review the results of the Inception and Stocktaking steps.

    - Identify convention requirements and country obligations, as well as opportunities for each convention.

    - Identify capacity strengths, constraints and needs related to addressing the obligations and opportunities outlined above, using the methods and tools chosen.

    - Decide on the need for further analysis of existing information. *Possible Tools:* SWOT Analysis, Gap Analysis, Root Cause Analysis/ Problem Trees, Multi-criteria Analysis.

    - Synthesize the information analysed to date, using the agreed formats.

8. Once the initial analysis is completed, determine priorities, using systematic prioritization tools (Annex Dc).

9. Summarize the results of the Thematic Assessment in the agreed format, refining if needed.

    - Teams might decide to keep the three Thematic Assessments separate or combine into one document. They might also decide to combine the results of the Thematic Assessments and Cross-cutting Analysis into one document.

    - Verify the information, if needed, before finalizing the report. This can be done by consulting high-level officials, key stakeholders and/or the Project Steering Committee e.g., sending draft reports for review, holding focus groups or working sessions.

    - It is advisable to have all reports edited by one or two people to ensure that content and formats are consistent.

10. Refine the Project Work Plan as needed, based on the findings of the Thematic Assessments.

Possible Tools for the Thematic Assessments: Desk Study, Interview, Focus Group, Questionnaire, Field Trip/ Site Visit, Workshops and Mini-Workshops, Stakeholder Consultation, Matrices, Gap Analysis, Prioritization Matrix, Root Cause Analysis/ Problem Tree

Table 3.2: Sample framework for analysing capacities needed to perform key functions under the Conventions

Key functions to be performed to comply with Conventions [11]	Capacity required to perform key functions		
	System level [12] indicators	Institution/organisation [13] level indicators	Individual level indicators
Conceptualize and formulate policies, legislation, strategies and programmes • Analyze global, regional and national socio-economic conditions • Visualize and develop long-term strategies • Formulate sectoral and cross-sectoral policies • Prioritize, plan and formulate programmes	Enabling environment • Situation analysis completed • Linkages with national plans, strategies and reports established Institutions and laws • Environmental legislation in place • Penalties for violating laws enforced • Appropriate mechanism to resolve disputes established Participation, accountability and transparency • Public can influence legislation, policies and programmes • People who use/depend on natural resources are represented in decision-making process Authority level • Authority over natural resources resides at the appropriate level (local/regional/national/international) • Decisions are taken at the appropriate level in the country Property rights and tenure • Property rights and tenure respected Markets and financial flows • Implementation of a market-oriented economy, prices reflect scarcity Science and risk • Science incorporated into decision-making appropriately	Governance • Consistent strategic direction established • Corporate risk managed appropriately • Management structure acts on performance results Organisational strategy • Organisational strategy based on mandate • Organisational strategic plan linked to management plans • Appropriate goals and targets established with clear indicators to measure progress Resource management • Resource allocation in line with management plan • Adequate financial control mechanism established Operational management • Clear operational targets set • Efficient operational procedures established • Effective communication and collaboration frameworks in place Quality assurance • Adequate internal guidance and review in place • Adequate monitoring and supervision mechanism established • Well-functioning internal audit process in place • Well-functioning evaluation system in place Human resources management • Transparent recruitment exercised • Transparent promotion mechanism established • Appropriate staff performance management system in place	Job requirements • Job requirements clearly defined Monitoring performance • Clear reporting and accountability system in place • Consistent and transparent performance measurement system in place Incentives • Appropriate salaries and incentives provided • Possibility of career advancement provided Skill development • Adequate training provided to gain skills necessary to conduct tasks effectively • Adequate information available
Implement policies, legislations, strategies and programmes • Mobilize and manage human, material, and financial resources • Execute and manage programmes and projects effectively • Select effective technologies and infrastructure			
Mobilize information and knowledge • Gather, analyze and synthesize information • Identify problems and potential solutions			
Monitor, evaluate, report, and learn • Monitor and measure progress • Identify and distribute lessons learned • Use lessons learned for policy dialogues and planning • Report to donors and global conventions			

11. Capacity Development Indicators—UNDP/GEF Resource Kit (No.4) http://www.undp.org/gef/undp-gef_monitoring_evaluation/sub_undp-gef_monitoring_evaluation_documents/CapDevIndicator%20Resource%20Kit_Nov03_Final.doc
12. Adapted from World Resources Institute , 2002-4. World Resources 2002-2004, Page 7, Box 1.3 "Seven Elements of Environmental Governance"
13. Presentation on "UNDP's evolving approach to managing for results" — table on multilateral effectiveness scorecard level 3.

Objectives of the Cross-cutting Analysis

There is already a considerable amount of capacity development being done under specific conventions (See Annex B). The NCSA is unique in its focus on cross-cutting capacity issues, i.e., issues that "cut across" or "are common to" multiple conventions. It also identifies ways to promote linkages among convention thematic areas and synergies in implementing the conventions. Most of this analysis takes place during the Cross-cutting Analysis.

Box 4A provides definitions related to the cross-cutting analysis and Box 4C outlines the benefits of identifying synergies. There can be many practical national and global benefits from taking a holistic and cross-cutting approach to developing national capacities for convention implementation. By strengthening synergies, countries can achieve more focused, integrated and cost-effective approaches to implementing MEAs at the national level. This will help to strengthen national environmental governance, leading to better global environmental protection.

The primary objective of the Cross-cutting Analysis is to identify *priority* cross-cutting capacity strengths, constraints and needs, as well as *priority* opportunities for linkages and synergies. This step builds on the findings of the Thematic Assessments, which identified capacity issues for each convention. The Cross-cutting Analysis will form the basis of the Action Plan, which will recommend capacity development actions to address cross-cutting capacity needs and promote synergies.

A secondary objective for the cross-cutting analysis is to identify capacity issues that cut across both global and national environmental management, as practiced in your country. Many countries are now focusing on mainstreaming MEAs into sustainable development planning and budgeting under initiatives such as MDGs, PRSPs, WSSD, NEAP and NSDP. Environmental capacity development can contribute to better mainstreaming.

Most actions to improve systemic, institutional and individual capacity to implement MEAs will also improve capacity to address national environmental priorities, thus creating additional synergies. Thus, the team may want to use the capacity assessment to identify:

- how the MEA thematic areas can be better integrated into national and sectoral policies, strategies, plans, programmes and projects, and

- how the MEAs and convention-related activities can better serve and support these national initiatives, to maximize net benefits and improve the effectiveness and efficiency of sustainable development initiatives at both national and global levels.

Possible Results of the Cross-cutting Analysis:

- Identification of priority capacity strengths, constraints and needs at the individual, organizational and systemic levels that are cross-cutting for the Rio Conventions and other MEAs being considered.

- List of priority opportunities for linkages and synergies in implementing the Rio Conventions and other MEAs being considered.

- List of priority capacity needs and possible linkages and synergies which are cross-cutting for global and national environmental management/ sustainable development.

- A preliminary list of possible capacity development actions to address priority cross-cutting needs which have already emerged. (This may be included in the report or kept for later use when preparing the Action Plan.)

Box 4A

Cross-cutting analysis: Definitions

In the context of the GEF and the NCSA:

"Linkages" (sometimes called "interlinkages") refer to:

- Connections among themes and issues addressed under multiple MEAs. For example, forest management and agriculture practices have implications for climate change, biodiversity and land degradation.

- Formal and informal mechanisms to coordinate interrelated programmes and activities being conducted under several MEAs, e.g., convention reporting, research and information bases.

"Synergies" are the amplified positive impacts that result from coordinating or linking the implementation of two or more MEAs, i.e., multiple beneÏts for more than one convention resulting from a single programme or action.

See more on synergies in Box 4C.

"Cross-cutting issues" are issues that are common to more than one convention, i.e., they "cut across" conventions. These may include capacity strengths, constraints, needs and opportunities. If a cross-cutting capacity need were addressed through capacity development, there would be beneÏts for more than one convention.

Box 4B

Sample Topics/ Issues for the Cross-Cutting Capacity Assessment

1. Convention implementation, including capacity to:
   - negotiate at Conferences of the Parties;
   - incorporate convention obligations into national legislation, policy, and institutions;
   - manage international projects; and
   - involve stakeholders in addressing global environmental issues..
2. Economic instruments and sustainable financing mechanisms
3. Institutional/organisational mandates, structures and frameworks
4. Development and enforcement of policy, legal and regulatory frameworks
5. Role of sub-national and local governance structures in environmental management
6. Planning and management, monitoring and evaluation processes
7. Cross-sectoral coordination
8. Integrated ecosystem management / integrated resource management
9. Information collection, management and exchange
10. Use of scientific information in policy, planning and management, e.g., EIAs
11. Technology development and transfer
12. Stakeholder participation
13. Public awareness and environmental education
14. Individual skills and motivation

Box 4C

Achieving Synergies between the MEAs

While each MEA stands on its own, with specific objectives and commitments, significant inter-relationships can be drawn between them, including both substantive issues and objectives, and common management and operational mechanisms.

The GEF Scientific and Technical Advisory Panel (STAP) has highlighted synergies that can result from integration of efforts to conserve a particular ecosystem. Similarly, the Convention secretariats have reviewed areas of work which would benefit several MEAs as well as broader sustainable development planning. Their Joint Liaison Group (JLG) was established to improve coordination and exchange of information between the Rio Conventions and to explore opportunities for synergistic activities. In 2004, the secretariats of the five major multilateral biodiversity-related conventions (CBD, CITES, CMS, Ramsar, World Heritage Convention) identified a number of priority issues that are common to several MEAs.

Substantive concerns shared by multiple MEAs include the following:

- Forests and forest ecosystems

- Grasslands

- Inland waters

- Peatlands and mires

- Land use

- Revegetation

- Climate change

- Invasive alien species, and

- Sustainable use of natural resources.

In addition, there are many common operational obligations under the Rio Conventions, including requirements for reporting, research, training, public education, awareness and national exchange of information. Experience in capacity development for global environmental management to date points to an overarching need to strengthen coordination of environmental policy formulation and implementation among sectoral agencies at national (and sub-national) levels. The STAP also found that institutional weaknesses at the national and agency level, e.g., lack of coordination among Convention focal points, often limits realisation of linkages among MEAs. They recommended the following approaches to ensure that possible synergies are identiïed through the NCSA process:

- Mobilizing information and knowledge about synergies, especially among policymakers.

- Engaging and building consensus among all stakeholders on synergies.

- Mainstreaming MEAs into sectoral issues needs to be promoted strategically.

UNDP has identified five common mechanisms for implementing MEAs, each of which creates opportunities for synergies:

- Establishing information bases.

- Prioritising national issues in relation to MEAs.

- Developing a national strategy and action plan for MEA implementation, including legal and regulatory measures.

- Implementation and enforcement of the plan; and

- Monitoring and reporting results.

GEF/UNDP, 2005. NCSA Flyer (4.4) Lessons Learned from National Capacity Self-Assessments: Opportunities for Synergies Identified in the NCSA

Tasks and Tools for the Cross-cutting Analysis

1. Define the objectives of the Cross-cutting Analysis for your country, based on the objectives listed in the section above and the findings of the Stocktaking and Thematic Assessments, including national priorities.

2. Determine the scope of the Cross-cutting Analysis, deciding what will and won't be included.

3. Decide the amount of time and resources to devote to the Cross-cutting Analysis.

    *   Determine whether the analysis can be based on the results of the Stocktaking and Thematic Assessments or if additional research is needed.

    *   If most of the information is available, you may only need to analyse and reorganise it, fill information gaps, prioritise, and get verification from appropriate stakeholders.

4. Decide who will do the Cross-cutting Analysis (or refine decisions in the ProDoc or during Inception).

    *   Recruit teams and consultants, through a competitive process, based on Terms of Reference (TORs).

    *   Develop detailed work plans for all teams and consultants, based on the TORs.

5. Decide if you will involve stakeholders in the Cross-cutting Analysis, and if so, who will you involve, and when and how will you involve them.

6. Choose methods for the Cross-cutting Analysis, including tools for information gathering, analysis, synthesis and presentation (Annex Dв and Dc)

    *   Develop a draft report outline or Table of Contents.

    *   Develop common frameworks and templates for collecting and analyzing information.

    *   If there are multiple teams and consultants, ensure that all teams use common methods and presentation formats in reports and for consistency.

7. Undertake the initial analysis for the Cross-cutting Analysis. While each country will approach this differently, the following are likely tasks:

   - Review the results of the Stocktaking and Thematic Assessments, and revisit Table 3.1, which summarises capacities needed to address the conventions.

   - Identify cross-cutting capacity strengths, constraints and needs, as well as opportunities for linkages and synergies, using the methods and tools chosen.

   - Decide on the need for further in-depth analysis of existing information. Possible Tools: SWOT Analysis, Gap Analysis, Root Cause Analysis/Problem Trees, Multi-criteria Analysis.

   - Synthesize the information, using agreed formats.

8. Once the initial analysis is completed, determine priorities, using systematic prioritization techniques and tools (Annex Dв and Dс)

9. Summarize the results of the Cross-cutting Analysis in the agreed format, refining if needed.

   - Teams might decide to combine the Thematic Assessments and Cross-cutting Analysis into one document.

   - Verify the information, if needed, before finalizing reports. This can be done by consulting high-level officials, key stakeholders and/or the Project Steering Committee e.g., sending draft reports for review, holding focus groups or working sessions.

   - It is advisable to have the report edited by one or two people to ensure that content and formats are consistent.

> **Selective Stakeholder Consultation**
>
> If you have already involved stakeholders extensively in earlier steps, be careful to avoid "consultation fatigue". Be selective in your consultations during this step, especially if you wish to involve stakeholders in the Action Plan.
>
> For example, try a short survey, interviews or focus groups rather than a workshop, and ask your stakeholders to focus on key remaining questions.

10. Refine the Project Work Plan, as needed, based on the findings of the Cross-cutting Analysis.

Possible Tools for the Thematic Assessments: Desk Study, Interview, Focus Group, Questionnaire, Field Trip/ Site Visit, Workshops and Mini-Workshops, Stakeholder Consultation, Matrices, Gap Analysis, Prioritization Matrix, Root Cause Analysis/ Problem Tree

Objectives for Preparing the Action Plan

The main objectives for preparing an Action Plan are:

1. To provide a concise, well-researched summary of capacity development goals and objectives, strategies and priority actions that will lead to measurable improvements in the management of global and national environmental issues.

2. To ensure follow-up to the NCSA, by specifying implementation frameworks and strategies for the Action Plan, including monitoring and evaluation.

3. To mobilise support for environmental capacity development from domestic and international sources. This might include financial assistance and non-financial support, such as sponsorship, equipment, infrastructure, technical assistance and training.

Each team will have to decide what kind of Action Plan will be the most practical and effective in their country. It can be helpful to review other action plans and strategies to see what did and did not work in the past (you may have done this during the Stocktaking).

Box 5A

The Action Plan and NCSA Report: One document or two?

The NCSA Report is a required output from the NCSA. Although an Action Plan is not required, all countries undertaking an NCSA to date have chosen to prepare one, because the capacity assessment done in Steps 2-4 logically leads to recommended capacity development actions.

In addition, since NCSA funding does not extend past preparation of the NCSA Report, the Action Plan is the main vehicle for ensuring follow-up to the findings. It also provides a strong basis for seeking support for capacity development projects from the GEF and other partners.

As with all aspects of the NCSA, countries have considerable flexibility regarding the content and format of these outputs. Previous NCSA guides and resource kits have provided diverse suggestions for the Action Plan and NCSA Report. Based on NCSA experience to date, it is recommended that countries combine these outputs into one final report. This report should briefly summarise all previous NCSA findings, present the Action Plan, and outline methods used during the NCSA, including stakeholder consultation.

Because some countries might still choose to separate the Action Plan and NCSA Report into two documents, this section still treats these two outputs separately, outlining the objectives, role, and possible content and format for each. However, it should still be a fairly simple process to combine the two.

The team must also decide what kinds of actions will be included and how they will be organised, prioritised and presented. Box 5B describes possible types of capacity development actions to be considered. For maximum effectiveness, the Action Plan should include some actions that can be implemented easily in the short term. A quick and effective response to the NCSA Action Plan by government or other stakeholder will demonstrate its commitment to capacity development and improved environmental management. This will build credibility with potential supporters and funders.

Box 5B

Types of Capacity Development Actions

Actions that may be recommended in an Action Plan will fall into multiple categories:

- Actions at various capacity levels: systemic, institutional, e.g., changing a national policy, improving convention management, offering GIS training.

- Actions which fall into one thematic area/convention and which are cross-cutting for more than one convention.

- Actions that can be integrated into various enabling activities supported by the GEF for each convention/thematic area.

- Actions at various scales:

  a.   policies and legislation

  b.   plans and strategies

  c.   programmes and operations, or

  d.   projects and activities.

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

- Actions involving diverse combinations of participants, including individuals and organisations within government, NGOs, civil society and/or the private sector.

- Actions with varying cost implications, including actions which:

  1.   Are low or no cost, e.g., changing institutional arrangements, improving collaboration among stakeholders.

  2.   Will save money by making existing processes more efficient.

  3.   Will generate funds e.g., a new environmental trust fund or non-financial support, such as a private sector donation or sponsorship.

  4.   Can be done through reallocating existing financial, human or technical resources.

  5.   Can be inserted into existing programmes, projects and work plans of government and non-government bodies, and will add value to these initiatives.

  6.   Would require new financing from national and/or international sources.

It is important to ensure that one or more individuals and organisations will be accountable for implementing the Action Plan. A key decision is whether to propose an implementation strategy that (a) requires a new coordinating body and programme or (b) can be integrated into existing organisations and programmes. Both options have advantages and disadvantages. Option (b) seems ideal, as capacity development works best if integrated into other programmes. On the other hand, this option carries the risk that the NCSA and Action Plan may get lost among other priorities. Option (a) has the advantage of creating a body that is dedicated to implementing the Plan. However, it may be difficult to free up the right people and resources needed for the capacity development initiative, and implementation may still not be ensured. Some combination of (a) and (b) may be possible, with a lead organisation that takes responsibility for coordinating implementation of the Action Plan and multiple organisations helping to implement specific actions.

Possible Results of the Action Plan (can be called "Capacity Development Strategy", "Capacity Action Plan", "Environmental Capacity Plan", etc.)

- Vision, goals, objectives and principles for capacity development for management of global and national environmental issues.

- Concise summary of priority thematic and cross-cutting capacity needs.

- Recommended Capacity Development actions to address priority capacity needs, including information on "what, how, when, who", i.e., actions, timelines, key participants, and suggested domestic and/or international funding, if needed.

- Opportunities for linkages and synergies across conventions and across global and national environmental management.

- Institutional arrangements for Action Plan implementation: mandates, roles and responsibilities of key organisations and individuals.

- Implementation strategies, including monitoring and evaluation. This should include results and accountability frameworks, with expected results or targets and indicators of progress towards achieving them.

- Communication Strategy to support Action Plan implementation, with recommended objectives, target groups and techniques (See Annex C).

Possible Tasks and Tools for Preparing the Action Plan

If you decide to prepare the NCSA Report at the same time as the Action Plan, combine these tasks with those for the NCSA Report in the next section. Possible tasks include:

1. Define your objectives for this step.

   - What do you hope to achieve by *preparing* the Action Plan, e.g., creating commitment by high-level officials to the Plan? getting stakeholders to commit to implementing priority actions? securing donor interest and funding? Later, you will identify the objectives of the Action Plan itself.

2. Determine the scope of the Action Plan, deciding what will and won't be included.

3. Decide the amount of time and resources to devote to the Action Plan.

   - Determine whether the plan can be based on previous work or if additional research is needed. It is likely that most of the analysis has been done by now. If so, this step may involve synthesizing previous work in order to produce a draft plan; then validating the plan with selected high-level officials and stakeholders.

4. Decide who will prepare the Action Plan

   - Recruit teams and consultants, through a competitive process, based on Terms of Reference (TORs). Ideally, this will include individuals and team members from previous steps to provide continuity
   - Develop detailed work plans for all teams and consultants, based on the TORs..

5. Decide if you will involve stakeholders in preparing the Action Plan, and if so, whom will you involve, and when and how will you involve them. Decide who needs to endorse and approve the Action Plan.

   - If you have not already done so, determine when and how you will involve high-level officials and the Project Steering Committee during this step.
   - Possible useful roles for stakeholders in this step include (a) review and validate the findings of all previous steps, (b) assess whether the proposed actions are realistic, and (c) commit to participating in the Action Plan follow-up, as appropriate.

6. Choose methods for the Action Plan, focusing on techniques for effective synthesis and presentation (Annex Dв and Dс). See suggestions for communicating effectively in Annex C.

    *   Bearing in mind the main audience for the Action Plan – high-level officials, key stakeholders, potential donors – the plan should be as clear, concise and user-friendly as possible, with all supplementary material in annexes or separate technical documents.

    *   Develop a draft outline or Table of Contents, which can be changed as the plan is developed. (Some countries have included the Action Plan as a chapter within the NCSA Report, while others include the NCSA Report within the Action Plan, either in separate chapters or in annexes.)

7. Prepare the Action Plan. While all country teams will approach this differently, the following are likely tasks:

    *   Review all results to date, focusing on the conclusions of the Thematic and Cross-cutting Analyses.

    *   Revisit the Linkages Study and Stakeholder Analysis to identify possible linkages with other initiatives and stakeholders that could be involved in plan implementation or monitoring.

    *   Develop a vision statement, goal, objectives, key strategies and principles for capacity development in the country, to provide a framework for defining specific actions. Together, these will present a picture of the expected results, if the Action Plan is implemented.

    *   Identify possible short, medium and long-term actions to address the above capacity development goals and objectives. These should include actions to address specific thematic areas and those that are cross-cutting for multiple conventions and across global and national levels.

Box 5C

Criteria for Prioritising Capacity Development Actions

The criteria for prioritizing items may differ from criteria used in earlier steps. During the technical analysis, scientific and technical criteria may have predominated over political and policy criteria.

However, since the goal of the Action Plan is to mobilize change, criteria for prioritizing actions may include:

*   can be implemented quickly;

*   feeds directly into upcoming projects;

*   fits into line agency work programmes and budgets;

*   saves money;

*   is legally required;

*   is politically attractive;

*   can be integrated into national sustainable development initiatives such as PRSPs, NEAPs; European Accession, etc.

Box 5D

> **Inclusion of Project Concepts in the Action Plan**
>
> The preparation of an NCSA should facilitate development of proposals for capacity development work (projects) for consideration by national stakeholders and by the GEF and other donors. If your Action Plan recommends seeking international assistance for some activities, it could include several draft project concepts that could be forwarded to funding agencies.

8. Once the initial list of recommended actions is identified, determine priorities, using systematic prioritization tools. (See Annex C.)

    *   Avoid making overly long or unsorted "wish lists" of actions. As much as possible, organize actions in a concise and logical framework that is easy to understand and shows priorities.

    *   Organise information into hierarchical systems that use a mix of headings and sub-headings, bullet lists, tables and matrices. For example, actions can be listed under each capacity development objective or strategy, or at the three levels of intervention (systemic, institutional, individual). A Logical Framework Analysis is particularly useful for the Action Plan.

9. Finalize the Action Plan, using the agreed format, refining if needed.

10. Obtain approval and support for the Action Plan from high-level officials and key stakeholders.

    *   To ensure follow-up to the Action Plan, high-level officials, convention Focal Points and key stakeholders inside and outside the country will need to be aware of the core content of the plan – broad objectives, major implementation strategies and actions – and to understand the potential benefits of implementing the plan.

    *   The Action Plan may need to be officially approved by government before implementation proceeds.

    *   Mid-level officials and stakeholders may need to have more in-depth knowledge of specific recommended actions and implementation strategies, including monitoring and evaluation.

    *   See also suggestions on High-level Support and Stakeholders in Annex C.

Possible Tools for the Action Plan: Linkages Study, Stakeholder Analysis, Logical Framework Analysis, Matrices, Interviews with key informants, Workshop and Mini-workshop, Stakeholder Consultation.

Objectives of the NCSA Report

The NCSA Report is a required output of the NCSA. Its main objectives are:

1. to provide a summary of all NCSA findings and document the process by which they were reached, including stakeholder participation;

2. to communicate NCSA conclusions to the following groups and promote their on-going involvement in NCSA implementation, monitoring and evaluation:

   • high-level officials, including politicians and senior managers;

   • key stakeholders and opinion-makers; and

   • potential partners and donors, including the GEF, other bilateral, regional and multilateral donor organisations, both government and non-government.

Along with the Action Plan, the NCSA Report will be a key document for communicating the NCSA findings. It should be a short, concise, self-contained document, i.e., the reader should have a summary of all key NCSA findings without needing to refer to other documents. Like the Action Plan, it should be a well-organised "user-friendly" reference document that can be quickly read and easily consulted. Consider these suggestions:

   • Include only key conclusions from each NCSA step/ output, with a focus on the Action Plan, and refer the reader to other reports for details.

   • Create several sections for different readers, e.g., an Executive Summary for high level officials and key stakeholders; a core "body" of the report, for those involved in follow-up; and annexes with supplementary information.

   • Use bullet lists, tables, matrices and graphics as much as possible.

Tasks and Outline for the NCSA Report

The preparation of the NCSA Report will be made easier if the project manager and project teams carefully document each step of NCSA activity. By Step 5, the team should have collected all outputs, consultant reports, workshop reports, meeting minutes, work plans and progress reports. There may also be photographic and video records, a database, website, etc..

Possible Outline for the NCSA Report

The suggested length for the NCSA Report is 20-40 pages, including annexes. This report should be even shorter, i.e., 10-20 pages, if it is combined with the Action Plan. If there is additional pertinent material, consider creating a separate technical document. Possible contents include:

- Executive Summary (1-3 pages)

- Introduction: context, goals and objectives for the NCSA, including the role of the GEF and implementing agency. (Suggested length: 1-3 pages)

- Summary of the NCSA process, including time frame, methods, project teams, stakeholders and stakeholder involvement methods. (Suggested length: 1-3 pages)

- Concise summaries of the key findings and conclusions from each NCSA Step, with emphasis on the Cross-cutting Analysis, including capacity needs and possible linkages and synergies, and the Action Plan, including implementation, monitoring and evaluation strategies. (Suggested length: 15-30 pages)

- Proposed next steps and follow-up, if these are not included in the Action Plan

- Annexes, if needed, for example, to identify project teams and stakeholders.

Follow-up to the Action Plan and NCSA Report

Since funding for the NCSA ends with production of the Final Report, it is important to use the final steps of the NCSA to identify follow-up actions, including how the Action Plan and NCSA Report will be approved or endorsed as well as implementation, monitoring and evaluation strategies.

Approval of the Action Plan and NCSA Report

The method for obtaining approval or endorsement of the Action Plan and NCSA Report will vary among countries. It may be submitted to the President or Prime Minister's office, Cabinet or a multi-sectoral national committee. In most countries, the Project Steering Committee (or equivalent body) will play a central role in obtaining high-level approval.

Monitoring and Evaluation

Capacity development is a dynamic process and national capacity in most NCSA countries is changing rapidly through their involvement in global initiatives. Thus, the results of the NCSA will need to be periodically updated and the Action Plan will need to be monitored to see if it is being implemented and whether it remains valuable over time.

The objectives of monitoring and evaluation of Action Plan implementation are:

1. To secure follow-up to the Action Plan and measure its success over time.

2. To ensure that those responsible for the Plan respond to new information and changing circumstances by updating the capacity assessment and Action Plan recommendations.

3. To take the necessary steps if actions recommended in the plan are not being implemented.

4. To document successes that can be built on within the country and shared with other countries.

5. To provide information on capacity development successes, weaknesses and lessons, to national and regional partners and to the GEF and its Implementing Agencies, the Convention COPs and Secretariats, other MEAs, as well as other international organisations involved in capacity development and environmental management.

The monitoring and evaluation strategy should be designed to answer two questions:

- To what degree are the proposed actions in the Action Plan being implemented?

- To what degree are the capacity development vision, goals and objectives being achieved, i.e., is capacity being developed as a result of the actions taken?

The goals, objectives, targets and schedules provided in the Action Plan will provide the framework for monitoring implementation. If a Logical Framework Analysis (LFA) is used, the results of the plan are assessed through monitoring and evaluating outputs, outcomes and activities. Specific indicators of progress are chosen and a performance measurement system is set up to gather information and report on those indicators.

Monitoring activities will vary among countries, but could include:

- Preparation of quarterly and annual progress reports, to be distributed to high-level officials and key stakeholders inside and outside the country;

- Short presentations to the meetings of national steering committees, councils, coordinating committees and advisory groups; and

- One or more short meetings, workshops or mini-workshops, held at intervals, and starting 6 - 12 months after approval of the Action Plan, to discuss progress, define constraints to progress and identify measures to overcome these constraints.

Follow-up Support

The importance of getting the support from high level officials and stakeholders was already discussed under the Action Plan section. It is crucial to identify one or more lead organisations to be responsible for Plan implementation, monitoring and evaluation after the NCSA is completed. Additional support may come from former members the Project Steering Committee, project managers and other members of the project teams. As they have been closely involved in the NCSA, it can be helpful to keep some of them involved in NCSA follow-up, as "champions" for capacity development and the Action Plan.

GEF-UNDP Capacity Development Initiative (CDI) and NCSAs

GEF Secretariat, 2001. *Operational Guidelines for Expedited Funding of National Self Assessments of Capacity Building Needs.* http://www.gefweb.org/Documents/Enabling_Activity_Projects/Operational_Guidelines_-_English.pdf

GEF/UNITAR, 2003. *A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management.* http://www.gefweb.org/Documents/Enabling_Activity_Projects/Operational_Guidelines_-_English.pdf

GEF, 2003, *Strategic Approach to Enhance Capacity Building.* http://www.gefweb.org/Documents/Enabling_Activity_Projects/CDI/Strategic_Approach_to_Enhance_Capacity_Building_FINAL.doc

GEF 2004. *Global Support Programme* http://ncsa.undp.org

GEF, 2003. Global Environment Facility: Business Plan 2005-7. http://www.gefweb.org/Documents/Council_Documents/GEF_C22/C.22.6_Business_Plan_FINAL.pdf

UNDP/GEF, 2000. *Capacity Development Initiative – Country Capacity Development Needs and Priorities – A Synthesis.*

UNDP/GEF, 2001. *Proposed Elements for Strategic Collaboration and a Framework for GEF Action on Capacity Building for the Global Environment.* http://www.gefweb.org/Documents/Enabling_Activity_Projects/CDI/CapacityBuildingBookEnglish.pdf

UND/GEF, 2004. *Capacity Development Indicators, UNDP/GEF Resource Kit no.4.* http://www.undp.org/gef/undp-gef_monitoring_evaluation/sub_undp-gef_monitoring_evaluation_documents/CapDevIndicator%20Resource%20Kit_Nov03_Final.doc

Rio Convention Linkages and Synergies

UNU, 2004, *Handbook: Key Linkages Across the Rio+ Conventions (March 2004 Draft).* http://www.geic.or.jp/jerry/Rio_Links/

UNDP/SEED, 1998. *Synergies in National Implementation of the Rio Agreements.* UNDP: Sustainable Energy And Environment Division. http://www.undp.org/seed/guide/synergies/

Capacity Development

Capacity Database. http://www.capacity.org

Capacity Development Website, UNDP. http://www.capacity.undp.org

Capacity Development Resource Book with Capacity Development Assessment Guidelines, UNDP (BPPS/MDGD). http://magnet.undp.org/cdrb/Default.htm

Nichols, David and Martinot, Eric, 2000. *Measuring Results from Climate Change Programs: Performance Indicators for GEF, Monitoring and Evaluation,* Working Paper No. 4. GEF. http://www.gefweb.org/4_Climate_Change-nocov.pdf

OECD 2002. Integrating the Rio Conventions Into Development Co-operation. http://ncsa.undp.org/site_documents/DAC.pdf

OECD: DAC Working Committee on Aid Evaluation, 1999. *Donor Support for Institutional Development in Environment: Lessons Learned.* http://www.eldis.org/static/DOC7529.htm

OECD/UNDP, 2002. *Sustainable Development Strategies, A Resource Book.*

UNCBD's Report on Inter-linkages between Biodiversity and Climate Change. http://ncsa.undp.org/site_documents/CBDcrosscutting.pdf

UNDP, 1998. Capacity Assessment and Development: In a Systems and Strategic Management Context, Technical Advisory Paper No.3, UNDP Management Development and Governance Division. http://magnet.undp.org/Docs/cap/Main.htm#PART%20I%20Introduction%20&%20Definition

UNFCCC's Report on Cross-cutting Issues Between Biodiversity, Climate Change, and Land Degradation. http://ncsa.undp.org/resources.asp

UNITAR. *Selection of Examples and Exercises Drawn from Regional NAPA Workshops.* http://www.unitar.org/ccp/NAPA/index.htm

World Bank Group, *Assessing Organisational Capacity Tool.* http://www1.worldbank.org/education/globaleducationreform/04.InstitutionalAssessment/ass%20org%20cap%20tool.htm#Step%20Four

World Bank, 1996. *The World Bank Participation Sourcebook.*

The following outlines the guidance provided by the Conference of Parties (COP) for each of the Rio Conventions on the topics of capacity, capacity development and related programmes. As it is a summary and new guidance will also emerge over time, please consult convention documents for a more comprehensive list of guidance.

1. THE CONVENTION ON BIOLOGICAL DIVERSITY (CBD)

There are several thematic and cross-sectoral CBD work programmes that address capacity development. Examples include the Action Plan on Capacity development for Access to Genetic Resources and Benefit-Sharing at CBD's COP-7 and the Addis Abada Principles and Guidelines for the Sustainable Use of Biodiversity. These include, inter alia, measures to encourage and facilitate capacity development for decision-makers regarding economic valuation of biodiversity. The Clearing-House Mechanism (CHM), the Biosafety Capacity-Building Action Plan and the Biosafety Clearing-House (BCH) are the main mechanisms for promoting capacity development under the CBD and the Cartagena Protocol on Biosafety.

CLEARING-HOUSE MECHANISM

The CHM was established at the CBD COP-1 to promote technical and scientific cooperation. Its role has since expanded to include developing a global mechanism for exchanging and integrating information on biodiversity, and the necessary human and technological networks. The CHM supports the Convention by promoting cooperation in key areas, namely in tools for decision-making, research, funding, technology transfer, the repatriation of information and training and capacity-building.[14]

COP-7 called for the CHM's role in facilitating the transfer of technology and know-how to be further strengthened, along with capacity development. Under the Biosafety Protocol, the BCH was created as part of the CHM to facilitate the exchange of scientific, technical, environmental and legal information and experience relating to Living Modified Organisms (LMOs).

BIOSAFETY CAPACITY-BUILDING ACTION PLAN

Since capacity development is a key prerequisite for the effective implementation of the Biosafety Protocol, several of its decisions address capacity development.[15] For example, the Protocol requires Parties to cooperate in developing and strengthening capacities in biosafety, through both traditional donor organisations and the private sector. Such cooperation includes, inter alia, scientific and technical training and the enhancement of technological capacities in biosafety.[16] The Protocol also invites Parties to identify their needs for financial and technical assistance and capacity-building with respect to LMOs.[17]

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14. *For more information on the CHM„s role and mandate, consult the CBD website at http://www.biodiv.org/chm/default.aspx*

15. *Decision VII/23 paragraph 8 adopted at COP-7 of the CBD.*

16. *Article 22 of the Biosafety Protocol.*

17. *Article 11 paragraph 9 of the Biosafety Protocol.*

The COP/MOP is also required "to take into account the needs of developing countries in their effort to identify and implement their capacity-building requirements" when providing guidance regarding the financial mechanism for the Protocol.[18]

At COP/MOP-1, it was decided to adopt an Action Plan for Capacity Development for the Effective Implementation of the Protocol as well as a Coordination Mechanism[19]. The decision invites the submission and periodic updating of capacity-building needs and priorities to the BCH. It requests the Executive Secretary to report on implementation and capacity-building needs and priorities. Some decision annexes address the role of different organisations in supporting capacity development. The COP/MOP-1 also included capacity development as one of the standing items on its medium-term programme of work up to its fifth meeting.[20]

The BCH has a Coordination Mechanism to assist Parties to build their capacities to implement the Protocol. This Mechanism seeks to promote partnerships, complementarities and synergies among capacity-building initiatives. It promotes sharing of information on current initiatives, opportunities and needs; facilitating interaction and dialogue; and fostering collaboration and networking. The Coordination Mechanism includes the Liaison Group on Capacity Development in Biosafety; the information-sharing and networking mechanism; biosafety capacity-building databases; coordination meetings and workshops; and the Reporting Mechanism.[21]

BIOSAFETY CLEARING-HOUSE

The BCH was established by the Biosafety Protocol to assist Parties to implement its provisions and facilitate sharing of information on, and experience with LMOs. The BCH assists Parties and other stakeholders to readily access and contribute biosafety-related information. The aim is to help Governments make informed decisions regarding the importation or release of LMOs. It also facilitates effective participation of civil society through fostering greater transparency in implementing the Protocol. The BCH includes three databases specific to capacity-building:

1. capacity-building opportunities (short-term activities, such as scholarships, fellowships, discussion forums, scientific and technical assistance);

2. capacity-building projects and initiatives (long-term activities, such as the UNEP-GEF project to develop National Biosafety Frameworks); and

3. capacity-building needs and priorities (as identified by national governments and regional organisations).

The BCH also provides access to the roster of experts established by the COP to provide advice and other support to conduct risk assessment and make informed decisions associated with the transboundary movement of LMOs. Users can also register with the BCH list serve to be notified of new capacity-building records in the BCH, and to participate in on-line discussions.

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18. *Article 28 paragraphs 4 and 5 of the Biosafety Protocol.*

19. *Decision BS-I/5 adopted at the COP/MOP-1 of the Biosafety Protocol.*

20. *The CBD website provides a comprehensive list of decisions and documents of the Cartagena Protocol on Biosafety related to capacity development. http://www.biodiv.org/biosafety/ issues/cap-build2.aspx*

21. *The CBD website provides detailed information on the Coordination Mechanism. http:// www.biodiv.org/biosafety/issues/coordination.aspx*

CBD GUIDANCE FOR CAPACITY DEVELOPMENT[22]

1. Effective national biodiversity planning

2. Identification and monitoring of components of biological diversity important for its conservation and sustainable use

3. In-situ conservation of biological diversity

4. Respect for and preservation of knowledge, innovations and practices of indigenous and local communities

5. Ex-situ conservation of components of biological diversity, including collection of biological resources from natural habitats for ex-situ conservation purposes

6. Develop and introduce economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity

7. Establish and maintain programmes for scientific and technical education and training

8. Promote and encourage understanding of the importance of, and the measures required for, the conservation of biological diversity

9. Introduce appropriate arrangements to ensure that environmental consequences of relevant programmes and policies are subject of environmental impact assessment and that significant adverse impacts on biological diversity are minimized

10. Develop and introduce appropriate measures to ensure safety regulations in handling living modified organisms resulting from biotechnology

11. 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

12. Take legislative, administrative or policy measures, as appropriate, with the aim of sharing in a fair and equitable way the results of research and development and the benefits arising from the commercial and other utilisation of genetic resources

13. Establish and operate clearing-house mechanism to promote and facilitate technical and scientific co-operation

14. Implement Cartagena Protocol on Biosafety

15. Access financial resources provided via the financial mechanism of the Convention and/or via other donors

16. Other National Priorities

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22. *This reference list was used in a questionnaire administered by the CDI for the assessment phase of the CDI.*

2. THE UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Capacity development is addressed under several elements of the UNFCCC, including, *inter alia*, non-Annex I National Communications, technology transfer, and the Kyoto mechanisms. It is also part of the mandate of the Subsidiary Body for Scientific and Technological Advice (SBSTA)[23] and commitments under the Kyoto Protocol[24]. At COP5 in 1999, capacity development became a separate agenda item for discussion.[25] The COP initiated a process to develop a comprehensive decision on capacity development, which was then agreed to as part of the Marrakesh Accords adopted at COP7.

FRAMEWORK FOR CAPACITY DEVELOPMENT IN DEVELOPING COUNTRIES

The *Framework for Capacity development in Developing Countries* is contained in the Annex to Decision 2/CP.7 of the Marrakesh Accords. Its guiding principles on capacity development denote that, *inter alia*, capacity development must take a country-driven approach, be a continuous process, and should maximize synergies between the Convention and other global environmental agreements.[26] Capacity development in developing countries is also recognized as "essential" if these countries are to be able to participate fully in the Convention, and implement effectively their commitments under it. The COP will review implementation of the Framework on Capacity Development every five years.

Least developed countries, and small island developing states among them, were recognized to be among the most vulnerable to the adverse effects of climate change and to possess the least capacity to adapt to these impacts. Additional capacity-building needs and priorities have been identified for these countries.[27] The Framework was recently reviewed by the Parties[28] and was deemed to be still valid, relevant and effective.[29] However at the December 2004 COP meeting, numerous factors were identified that could further assist in implementation of capacity development activities.[30]

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23. *Article 9 of the Framework Convention charges the SBSTA to ‡provide advice on ÷ means of supporting endogenous capacity-building in developing countries·.*

24. *Article 10(e) of the Protocol commits all Parties to cooperating in and promoting ‡the strengthening of national capacity development.·*

25. *See Decisions 10/CP.5 and 11/CP.5.*

26. *A Framework for capacity development in countries with economies in transition was also agreed upon at this time and is contained in the Annex to Decision 3/CP.7.*

27. *See paragraph 17 of the Annex to Decision 2/CP.7 contained in document FCCC/CP/2001/13/ Add.1.*

28. *See The range and effectiveness of capacity-building in developing countries relating to decision 2/CP.7 (FCCC/TP/2004/1), Range and effectiveness of capacity-building activities in developing countries aimed at implementing decision 2/CP.7 (FCCC/SBI/2004/9) and Analysis of the implementation of the framework for capacity-building in developing countries (FCCC/ SBI/2003/14).*

29. *See the draft decisions on capacity development contained in documents FCCC/CP/2004/L.11 and FCCC/SBI/L.22/Add.1.*

30. *See the draft decision on capacity development contained in documents FCCC/CP/2004/L.11 for the complete list of factors. For factors related to economies in transition, see the draft decision in FCCC/SBI/L.22/Add.1.*

These include, *inter alia*:

- Making institutional capacity-building a priority in the creation and strengthening of basic institutional infrastructure;

- Raising awareness at various levels on climate change issues and increasing the involvement of national governmental organisations in capacity-building activities;

- Developing and promoting the exchange of best practices, experiences, and information on capacity-building activities;

- Ensuring the effectiveness of capacity-building activities so that:

  - They enhance the ability of developing country Parties to implement the Convention and to participate effectively in the Kyoto process.

  - Capacity-building is integrated as a priority by policy and decision makers.

  - Long-term sustainability of capacity-building activities is achieved through integration in planning processes.

- Ensuring that financial and technical resources are available for implementation of the framework and other capacity-building activities; and

- Continuing the improvement of international donor coordination in the provision of financial resources, and harmonizing donor support with national priorities, plans and strategies.

UNFCCC GUIDANCE FOR CAPACITY DEVELOPMENT NEEDS AND AREAS[31]

1. Institutional capacity development, including the establishment or strengthening, as appropriate, of national climate change secretariats or national focal points.

2. Enhancement and/or creation of an enabling environment.

3. National communications.

4. National climate change programmes.

5. Greenhouse gas inventories, emission database management, and systems for collecting, managing and utilizing activity data and emission factors.

6. Vulnerability and adaptation assessment.

7. Capacity development for implementation of adaptation measures.

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31. *This is the initial list of needs and areas for capacity development in developing countries outlined in Framework for capacity development in developing countries annexed to Decision 2/CP.7 (FCCC/CP/2001/13/Add.1). Priority areas for countries with economies in transition are listed in Framework for capacity development in countries with economies in transition annexed to Decision 3/CP.7.*

8. Assessment for implementation of mitigation options.

9. Research and systematic observation, including meteorological, hydrological and climatological services.

10. Development and transfer of technology.

11. Improved decision-making, including assistance for participation in international negotiations.

12. Clean development mechanism.

13. Needs arising out of the implementation of Article 4, paragraphs 8 and 9, of the Convention.

14. Education, training and public awareness.

15. Information and networking, including the establishment of databases.

3. THE UNITED NATIONS CONVENTION TO COMBAT DESERTIFICATION

The Convention to Combat Desertification (CCD) "commits its Country Parties … to promote techniques and strategies for sustainable land management, while addressing such issues as land ownership, education and capacity development."[32] The CCD has an entire article (Article 9) devoted to capacity development. It recognises the significance of sound national planning and capacity development through institution-building, training and the development of relevant local and national capacities.

Various consultations have identified capacity strengthening as one of the enabling activities for effective implementation of sub-regional programmes among neighbouring countries. Under the Convention, participating countries are also obliged to prepare National Action Programmes (NAPs) to identify the factors contributing to desertification and to take the practical measures necessary to combat desertification and mitigate the effects of drought.

NAPs are to be developed using a participatory approach involving local communities. They should also be strengthened by Action Programmes at Sub-regional (SRAP) and Regional (RAP) levels. The Thematic Programme Networks of the UNCCD have been important avenues for addressing institutional and systemic capacity development issues. The recommended process to develop NAPs ("learning by doing") also addresses capacity strengthening from the standpoint of National Coordinating Bodies (NCB).

At its first session, the Committee for the Review of the Implementation of the Convention (CRIC-1) recommended that the institutional capacity of national focal points be strengthened. It also supported capacity-building measures and incentives to improve stakeholder involvement.[33] Parties also identified capacity-building and training needs related to law enforcement and harmonization. At CRIC-2, the decision regarding further steps to implement the CCD listed six sub-categories, including capacity development, specifically participatory processes, legislative and institutional frameworks and the promotion of synergies.[34] Another sub-category included awareness-raising, information and communication, which

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32. *Excerpt from a speech by the CCD Executive Secretary on empowering the poor, to be found at: http://www.ourplanet.com/imgversn/153/diallo.html*

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33. *Report on the Conclusions and Concrete Recommendations on Further Steps in the Implementation of the Convention adopted at CRIC-1.*

are integral parts of capacity development. At CRIC-3, capacity building was identified within a number of key thematic areas, both at the global level as well as specifically for Africa. These included participatory processes involving civil society, non-governmental organizations and community based organizations, the rehabilitation of degraded land and early warning systems, the strengthening of legislative and institutional arrangements, resource mobilization and coordination, capacity building in the areas of data collection, analytical research, as well as the programming of cross-sectoral investments which are sensitive to the spatial distribution of poverty.

UNCCD GUIDANCE ON NEEDS AND AREAS OF CAPACITY DEVELOPMENT[35]

1. Education and public awareness.

2. Transfer, acquisition, adaptation and development of environmentally sound, economically viable and socially acceptable technology.

3. Training and technology regarding the use of alternative, renewable energy sources (aimed particularly at reducing dependence on wood for fuel).

4. Promotion of alternative livelihoods, including training in new skills.

5. Training of decision-makers, managers and personnel responsible for collection and analysis of data for disseminating and using early warning information on drought conditions, water resources and for food production.

6. Information collection, analysis and exchange (relevant short-term and long-term data and information; particularly to ensure systematic observation of land degradation in affected areas and to better understand and assess the processes and effects of drought and desertification).

7. Effective early warning and advance planning for periods of adverse climatic variation.

8. Research and development.

9. Technical and scientific co-operation in the fields of combating desertification and mitigating the effects of drought through appropriate national, sub-regional and international institutions.

10. Joint research programmes (also involving public and private sector) for the development of improved, affordable and accessible technologies for sustainable development.

11. Empowerment of those directly affected by desertification.

12. Participatory processes involving civil societies, non-governmental organizations and community-based organization.

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34. *Decision ICCD/COP(6)/L.1/Rev.2 adopted at COP-6 of the CCD.*

35. *This reference list is provided as a result of consultation with the CCD Secretariat and the Report for the Review of the Implementation of the Convention on its Third Session (CRIC-3).*

Synergies among the Rio Conventions

Guidance from the MEA Secretariats and other Bodies

The **UNFCCC** identified activities to promote synergies under six cross-cutting thematic areas for implementing the Rio Conventions:

1. technology development and transfer;

2. education and outreach;

3. research and systematic observation;

4. capacity-building;

5. reporting; and

6. impacts and adaptation.

The **CBD** identified the following areas for possible synergies with UNFCCC and broader sustainable development planning, specifically among the mitigation and adaptation activities:

1. Land use, land-use change and forestry

2. Improved management of grasslands

3. Avoiding degradation of peatlands and mires

4. Revegetation

5. Others to be identified

Additional activities highlighted that could lead to synergies include:

1. Transparent and participatory decision-making processes involving all relevant stakeholders

2. Tools such as environmental impact assessments (EIAs) and strategic environmental assessments (SEAs)

The Joint Liaison Group (JLG) was established to improve the exchange of information, to explore opportunities for synergistic activities, and to increase coordination between the Rio Conventions and their secretariats, for the benefit of their respective Parties. It identified forests and forest ecosystems as a common topic that would benefit from exchanges and findings among those involved with all three conventions.

In a 2004 meeting organized by UNEP, the secretariats of the five major multilateral biodiversity-related conventions (CBD, CITES, CMS, Ramsar, World Heritage Convention) identified the following priority issues that are common to multiple MEAs, including those outside the biodiversity conventions:

1. climate change,

2. inland waters,

3. invasive alien species (IAS), and

4. sustainable use.

The **OECD** identified the following areas for possible integration of the Rio Agreements:

1. linking local, national and global levels,

2. integrating economic, social and environmental objectives – or making informed choices among them where full integration is not possible,

3. linking policy making processes with budget allocation mechanisms,

4. linking different sectoral strategies,

5. integrating technical planning concerns in political decision-making processes, and

6. integrating the multiple perceptions, needs and aspirations of different stakeholders.

Requirements of the Rio Conventions

This table identifies selected topics and articles only. See convention texts for details.

Issues	Biodiversity	Climate Change	Desertification/ Land Degradation
National inventories		Article 4.1 (a)	
Examine obligations; assess implementation	Article 23	Articles 7.2, 10	
Reporting by Parties to COP	Article 26	Article 12	Article 26
National and regional action programmes/ plans	Article 6 (a) for strategies; Article 6 (b) for plans, programmes and policies	Article 4.1 (b)	Articles 9, 10, 11
Identification and monitoring	Article 7		Articles 8.3 (d) (e), 16
Protected areas	Article 8		
Legislation	Article 8 (k)	Preamble	Article 5 (e)
Financial mechanisms	Article 21	Article 4 (1) (7)	Article 21
Public education	Article 13	Article 6	Article 5 (d), 19, 6
Public participation	Article 14 (a)	Article 6 (i) (a) (iii)	Articles 5 (d), 10.2(f), 19.3 (b)
Research	Article 12 (b)	Article 5	Articles 17, 19 (b)
Information exchange	Article 17	Articles 4.1 (h), 7.2 (b)	Article 16
Data collection	Article 7 (d)		Article 16
Scientific studies	Article 12 (b)	Article 5	Article 17, 19 (b)
Technology transfer and cooperation	Articles 16, 18	Articles 4.1 (c) (g) (h), 4.5	Articles 6 (e), 18 Annex V, Article 7
Training	Article 12 (a)	Article 6	Article 19
Environmental assessment	Article 14	Impact Article 4 (i) (d)	
Personnel training and retraining	Article 12 (a)	Article 6	Article 19

Adapted from: UNDP, no date. *Synergies in National Implementation: The Rio Agreements.*

The NCSA is a complex task for the management team and participants to organise and complete successfully. Some of the challenges and possible solutions are discussed in this Annex, and four broad strategies for a successful NCSA are outlined:

- Ensure high-level support

- Engage stakeholders

- Set priorities, and

- Communicate NCSA activities and results clearly.

Strategy One: Ensure High-level Support

The Importance of High-level Support

Obtaining high-level or senior management support for the NCSA is essential to addressing the first NCSA principle of "ensuring national ownership and leadership." It is also one of the main methods of ensuring that the conclusions and recommendations of the NCSA are followed up after it is completed. Each NCSA team needs to consider its own circumstances when deciding from whom high-level support is important. Who is essential to the success of the NCSA process and who needs to be engaged in the follow-up? This might include politicians at various levels of government, senior managers and opinion-makers in government, the private sector, the community, NGOs, academia, international partners and donors, and the media (Tools: Linkages Study and Stakeholder Analysis).

Specific objectives for seeking high-level support may be to ensure that:

- Key stakeholders are involved in the NCSA process and committed to its products;

- The NCSA is recognized as integral with national sustainable development and environmental initiatives;

- Required NCSA outputs are produced and communicated, and NCSA principles are respected;

- Project administration, management and coordination mechanisms function effectively (e.g., Project Steering Committee, project teams, financial procedures);

- The NCSA generates long-term interest in capacity development and widespread commitment to implement the findings; and

- Domestic and international resources are mobilized to implement the recommended capacity development actions.

<table>
<tr><td colspan="2" align="center">**Box C1: Maintaining Interest and Momentum during and after the NCSA**
Challenges and possible Solutions for NCSA Project Managers and Team</td></tr>
<tr><td align="center">**Challenge**</td><td align="center">**Solution**</td></tr>
<tr>
<td>An NCSA is an assessment and planning exercise, not a field project with tanglible results.</td>
<td>

- Be as positive as possible, emphasizing benefits and opportunities resulting from capacity development, in addition to constraints and needs.
- Identify concrete, practical national benefits that may result from a successful NCSA - listed in this Kit - and communicate these to stakeholders.
- Show stakeholders how it is in their own interest to be involved rather then trying to convince them why you want them involved.
- Design the NCSA process in ways that produce visible, practical interim results, such as new institutional arrangements, new partnerships, new knowledge.
</td>
</tr>
<tr>
<td>Over the 12-24 months it takes to complete an NCSA, the interest of stakeholders and the momentum of the process may be lost.</td>
<td>

- Simplify the NCSA process (steps and methods) as much as possible to make it more efficient. Also, simplify terminology to make it understandable and accessible to all participants.
- Think through which stakeholders should be involved at each step of the project, then use the most appropriate techniques to reach them (Tools: Stakeholder Analysis, Linkages Study).
- Rather than conventional committees and large workshops, use more focused, innovative activities such as mini-workshops, interviews, focus groups and participatory exercises.
</td>
</tr>
<tr>
<td>The stocktaking and assessments can become too complex and take too much time and effort from participants, leaving not enough energy for preparing the most important outputs, the Action Plan and NCSA Report.</td>
<td>

- Carefully define an NCSA Work Plan, including specific objectives, scope, time frame and tasks for each step. Assign a signifficant "level of effort" to Step 5, i.e., time, budget and staff, and then protect these resources over the course of the NCSA.
- Refine the work plan over time, looking for ways to make earlier steps more efficient through more prioritization (Strategy 3 below) or by integrating tasks. For example, ask interviewees about both capacity needs and actions to meet them; use single workshops to address multiple tasks, e.g., to validate the results of the cross-cutting analysis and identify priority capacity development actions.
</td>
</tr>
</table>

Possible Tasks and Tools for Maintaining High-Level Support

For high-level support to be effective, it must be maintained over the 12-24 months of the NCSA and beyond. Since there are many topics competing for the attention of senior officials, strategic efforts are needed to create and maintain their support. Your team can choose from the following list of techniques and add others that have proved effective in your country.

1. Identify from whom support is desirable and achievable.

   Possible Tools: The Linkages Study will identify strategic linkages between the NCSA and other initiatives. The Stakeholder Analysis will identify key individuals and organisations that should be involved.

2. Identify the potential benefits for the country from the NCSA, and how capacity development links with other national development priorities.

   - Register the NCSA project in any national project databases or reporting systems for GEF projects or related initiatives.

   - Prepare briefing notes, fact sheets, brochures, newsletters, and/or Powerpoint slides which describe the NCSA and its possible benefits for the country.

   - Use the above products when meeting with high-level officials, project teams, stakeholders and opinion-makers, e.g., the media.

   - Get the support of senior staff in international organisations, e.g., the UN Resident Coordinator is well placed to contact senior managers in relevant sectors and agencies.

3. Set up mechanisms for on-going communication and cooperation with high-level officials and stakeholders throughout the NCSA.

   - Seek commitment to the NCSA early in the process from senior officials in the lead agencies responsible for the NCSA and convention management, and get them actively involved at regular intervals. For example, invite them to open workshops, deliver speeches or attend community events.

   - Engage high-level stakeholders through existing channels, such as Cabinet and relevant national councils and committees.

   - Seek "champions" among high-level stakeholders from diverse sectors who will promote interest among their peers regarding the NCSA, MEAs and capacity development.

   - Arrange for updates and progress reports for senior managers at key milestones, e.g., as each output is completed. This may involve meetings, presentations to committees and/or written briefings.

   - Consider asking senior officials and stakeholders to review and comment on each draft output before it is finalized. This may be set up as a formal or informal process.

   - Media coverage will encourage high-level officials, especially politicians, to be associated with the project. Options include colourful NCSA launch events; community events on convention themes, such as Environment Day or a treaty ratification; and media interviews with senior officials, scientists and NGO and private sector leaders.

Box C2

Government and Stakeholder Endorsement of the NCSA Report and Action Plan

Think about the end ... from the beginning!

Because the NCSA will only be effective if it is followed up, you should begin thinking about the end point—the Action Plan and NCSA Report—early in the process. This includes deciding how to get approval and/or endorsement for these documents from high-level ofÎcials, which might include both government and non-government decision-makers and key stakeholders.

Some countries have had challenges in getting official endorsement because (a) official approval is not required, (b) the NCSA is not directly related to obligations under a specific convention, or (c) the NCSA was given insufficient priority by government. The team should address obstacles as soon as possible.

Endorsement by a single ministry (e.g. Environment) are likely to be insufficient, since the NCSA covers systemic issues that go beyond one agency or sector. It will help if the Project Steering Committee includes representatives of or links to all key organisations and programmes. It will also be useful if the stakeholder involvement plan targets key stakeholders and involves them in the activities that are most relevant to them.

Strategy Two: Engage Stakeholders

The Importance of Stakeholder Participation

A "stakeholder" is anyone who is affected by, has an interest in, and/or should be involved in an initiative. Because the NCSA is wide-reaching in its scope, you will need to involve a broad range of stakeholders over the 12-24 months of the NCSA. Box C.3 lists the main categories of stakeholders that might be involved and Box C.4 lists benefits of stakeholder involvement.

There are three main types of stakeholder involvement, each with different objectives and techniques (although these will overlap to some degree).

Information & Education

Objective: To inform stakeholders about the NCSA, the capacity issues to be discussed, and how they can get involved.

Sample techniques: mail, e-mail, printed materials, website, presentation, mass media

Consultation

Objective: To allow stakeholder influence on the NCSA by inviting them to share information, comments and viewpoints.

Sample techniques: workshop, interview, focus group, survey, site visit

Participation

Objective: To have stakeholders participate directly and share responsibility for the NCSA project design and Action Plan implementation and monitoring.

Sample techniques: working sessions, co-organizing workshops, advisory committee, partnerships for implementing Action Plan recommendations.

Type of Stakeholders that might be involved in an NCSA

Citizens and civil society organisations, both national and local

- Environmental NGOs: groups interested in ecology, biodiversity, law, protected areas
- Other NGOs and community organisations: health, farmer, youth, seniors and women's groups; clubs; unions, professional and trade associations
- Community leaders: e.g., educators, activists, writers, doctors, religious leaders, industrialists and other opinion-makers
- Media
- Academics, scientists and researchers
- Individual citizens: who are interested, or positively or negatively affected

Government ministries and departments: national, sub-national, local governments, state companies

Private sector: large and small businesses, business associations, investors, foundations, trusts

International organizations:

- International donors: bilateral and multilateral organisations
- International NGOs

Depending on the country, NCSA project teams may face the challenge of "consultation fatigue" among some stakeholders. Stakeholder involvement has become a common part of sustainable development processes, with varying degrees of success. Some government, NGOs, civil society and the private sector representatives may have less time and interest in participating than they did in the past. Teams will need stakeholder involvement approaches that have clear objectives, selectively involve the most appropriate stakeholders, and use the most efficient techniques. Possible Tools: Stakeholder Analysis and Stakeholder Involvement Plan.

"Opening the doors to the room does not guarantee you will have a crowd", according to one project team. Their experience shows that a good way to maintain stakeholder interest is to demonstrate the practical benefits of the NCSA for them. For example, tailoring the NCSA to the EU accession agenda in Europe can help these governments to articulate priority capacity needs related to both MEAs and EU compliance. The NCSA can also contribute to on-going national strategies, such as a National Environmental Action Plan. If the NCSA work plan is integrated with a line ministry's work plan (e.g., MoE), its success will be associated with that ministry.

One incentive for participation is to make the stakeholder contribution integral to the process. For example, key stakeholders can be invited to (a) sit on Project Steering Committees and project teams, (b) be contracted for desk studies, or (c) participate actively in workshops as presenters, discussion panelists or facilitators. Another incentive is to make stakeholder contributions visible. This can be done by acknowledging participants publicly and in NCSA reports, including workshop reports, and keeping them informed about NCSA progress and their contribution to it. Finally, many busy stakeholders who will not take the time to attend a workshop may agree to a more focussed consultation, such as an interview or focus group, especially if held at their workplace or done over the phone.

Box C4

Benefits of Stakeholder Participation in the NCSA

1. Increase government accountability to the public and transparency in decision-making.
   - Provide opportunities for high-level officials to discuss issues with stakeholders.
   - Ensure that relevant sectors of society have a voice and that their issues are covered.
2. Take advantage of stakeholder expertise, information sources and resources.
   - Build the NCSA on existing capacity strengths within society, organisations and individuals.
   - Collect specialized information, e.g., fisheries, tourism, energy sectors.
3. Consider a broad range of perspectives, options and viewpoints on capacity issues.
   - Collect ideas for better capacity development planning
   - Help integrate the NCSA with other national sustainable development and environmental initiatives.
4. Promote better implementation of the NCSA Report and Action Plan and more support for, and "ownership" of results.
   - Design of more realistic and practical goals and actions.
   - Promote new and innovative communication, collaboration and partnerships

Possible Tasks and Tools for Involving Stakeholders

You might want to consider designing a Stakeholder Involvement Plan for integration into the Project Work Plan during Inception. Possible steps include:

1. Identify stakeholders.

   - List those who might be involved in, interested in, or affected by, topics covered in the NCSA. (Possible Tools: Stakeholder Analysis, Linkages Study).

   - Build on past and on-going stakeholder involvement processes, using their contact lists, asking them for lessons learned, and co-organizing activities, if possible. e.g., UNCCD National Coordinating Bodies are using bottom-up, participatory approaches to develop National Action Programmes.

2. Define objectives for stakeholder involvement.

   - Consider objectives related to informing and educating, consulting and participation, as noted above.

3. Choose involvement techniques.

    • Pick the techniques that best match your objectives and stakeholders. (See Annex Dd)

    • Decide how stakeholder input will be documented and integrated into the NCSA products. (Annex to the NCSA report? Separate report?)

4. Choose communications techniques.

    • Pick the communication techniques that best match your objectives and stakeholders.

    • Identify how you will report back to participants (e-mail? newsletter? workshop reports?)

5. Identify tasks and resources needed for stakeholder involvement and include these in the NCSA Project Work Plan.

    • Specify tasks, project team responsibilities, budget and a timeline.

    • Decide how you will evaluate stakeholder involvement at each step and communicate lessons learned to project teams, so they can improve future activities.

Strategy Three: Set Priorities

The Importance of Setting Priorities

Since the primary goal of the NCSA is to identify country level priorities for capacity development, prioritization is a key part of all NCSA work. Project teams will produce several outputs, including the Stocktaking, Thematic and Cross-cutting Analyses, Action Plan and NCSA Report. Each of these could generate large amounts of information and take significant time and effort to analyse and present. Choosing priorities will help teams to collect the most relevant information and synthesize it in an effective and efficient way.

While all convention requirements may have equal weight, it will not be possible for each country to fully analyse all convention requirements outlined in convention texts and COP decisions, along with all related capacity needs. One of the main objectives of the analytical work during each NCSA step is to identify national priorities among the lists of MEAs, convention requirements; capacity issues, constraints and needs; and capacity development actions. You will probably want to be comprehensive at the beginning to ensure that all issues and needs are considered, and then progressively narrow the focus to a manageable number of issues. Helping to choosing priorities can be a useful role for experts, stakeholders and high-level officials.

Possible Tasks and Tools for Setting Priorities

Prioritization can be done:

1. At the beginning of each step when identifying the scope and boundaries of the analysis, that is, when deciding what topics will and will not be covered when producing this output. Narrowing the scope (sometimes called "scoping") can be done based on a review of past steps and input from project teams and stakeholders.

2. As part of the analysis during each step and for each output. As each step is completed, the project team should be able to increasingly summarize and synthesize information, narrowing the focus of attention to a core list of capacity development issues and themes.

As noted above, prioritization is an inherent part of all information analysis. At the same time, project teams may want to set up exercises that will use structured prioritization tools to help with decision-making. (See list below.) Tools may be used by individual analysts, or in team working sessions, focus groups and stakeholder workshops, where they can be used to structure group discussions. These tools also use standard formats, such as matrices that can be used to present NCSA findings.

While specific techniques vary, most prioritization exercises will include:

1. A group of people who are invited to participate in the exercise: Prioritization can be done by project teams, outside experts, stakeholders and/or decision-makers.

2. A prioritization tool, using a systematic format that allows participants to choose priorities among a list of items, using a ranking system. More complex ranking systems will include multiple criteria and a system of weighting, scoring and ranking. The information to be considered is often presented in a matrix format, which can be filled in using a questionnaire or on a larger scale, using flip charts, wall displays or paper spread on a large table.

The project team may choose who will participate and the type of prioritization tool and ranking system to be used, or they may ask experts or the participants to help design the exercise. Like all analytical techniques, these tools are aids to decision-making and should be used to provoke discussion and make choices more transparent. The resulting rankings and priority lists may benefit from being be discussed and verified by other experts and stakeholders. All prioritization exercises should be documented in the NCSA reports, showing how results were used in the capacity assessment.

Possible Tools: prioritization matrix, SWOT analysis, gap analysis, "dot voting", multi-criteria analysis, interviews, surveys, workshops and focus groups.

Strategy Four: Communicate the NCSA and its Findings

The Importance of Communications

In every country, the NCSA project will compete with numerous other initiatives for the attention of decision-makers and stakeholders. It will not matter how good the analysis is in the NCSA reports if the results are not communicated clearly and concisely. In this age of "information overload", one key to project success is to devise a thoughtful, targeted Communications Strategy that will run throughout the NCSA process and beyond.

The Communications Strategy should cover (1) design and presentation of all NCSA materials and outputs, (2) internal communications among core project participants (Steering Committee, managers, teams) and (3) external communications to stakeholders and the media. Each of these involves developing communication objectives, target groups, messages and appropriate techniques. The strategy does not have to be long; it may be only a few pages, but should be carefully integrated into the NCSA Project Work Plan.

Possible Tasks and Tools for Communications

1. Decide on the content and format of all NCSA materials and outputs.

    Develop ideas early in the process on how NCSA results will be presented and disseminated. These early decisions will shape how you gather and analyse information and write up results, and help you make efficient use of time and resources. Initial ideas can be revised during the process. Tasks include:

    - Identify the main audiences for each NCSA output and what kind of documents and presentations will communicate most effectively to them.

    - Based on a., decide how many documents will be produced and what each will include.

    - Choose formats for final documents (e.g., Word, Excel, Powerpoint, Pagemaker) and production values for print and web-based reports.

    - Develop common formats for all teams. Many teams use analytical frameworks, such as templates and tables that can be filled in by team members (See Annex D). Some teams prepare a Draft Table of Contents (TOC) before working on each output so they can see how the information they are gathering will be used. The Draft TOC can be filled in as information is gathered and revised over time.

    - Identify techniques for present information in a "user-friendly" way, including the use of figures, tables, matrices, boxes, graphics, photos and quotes from participants.

    - Prepare an Executive Summary for every document, including an English version.

2. Develop an external Communications Strategy for the NCSA, which outlines your outreach to stakeholders, the public and the media. Possible contents include:

    - Communication objectives

    - Target groups and core messages

    - Media releases and media kits

    - E-mail and mail contact/distribution lists, list serves

    - Publications and electronic communications: brochures, newsletters, project web pages or website

    - Planned activities: public events, media events, workshops with media/public outreach

    - Resources: budget and staff needed

    - Timeline, with milestones and deadlines.

> **Take advantage of current events to publicize the NCSA and convention-related issues**
>
> Look for opportunities to promote media coverage that can link the NCSA to news events on convention themes. For example, severe weather events can be linked to needs for disaster response to adapt to climate change and sea level rise. Involvement by politicians and students in a protected area clean-up can be linked to biodiversity protection. Poaching of endangered species can be linked to needs for greater enforcement capacity.

3. Develop an internal Communications Strategy for the NCSA.

    Set up communication channels for all key project participants, including the Project Steering Committee, Managers and project teams, as well as GEF implementing agencies and National Focal Points. Decide on how often you will communicate, e.g., monthly or at key milestones, and how you will do so, e.g., meetings, conference calls, e-mail, mail.

4. Consider including a Communication Strategy within the Action Plan implementation strategy.

This annex describes selected techniques and tools that have been useful for NCSAs. It is recommended that, during the Inception stage, you plan the overall approach, methods and tools for the NCSA. This will allow you to be more effective and efficient in information collection and analysis and the use of project team and stakeholders' time. Draft ideas can be adapted and refined during the process.

For example, you may be able to use one tool for multiple purposes, e.g., a set of key questions that will be a "template" for use in a survey, interview and small group discussion at a workshop. Or cover multiple NCSA steps or tasks during one event, such as an interview or workshop. At an Inception Workshop, you could ask participants for advice on methods and information sources for the stocktaking and the thematic assessments. Participants at a Cross-cutting Analysis Workshop could comment on a draft assessment report and also begin to identify capacity development actions for the Action Plan.

This annex presents analytical tools under four headings:

- a. Project Management Tools
- b. Information Collection Tools
- c. Information Analysis Tools
- d. Stakeholder Involvement Tools

A. Project Management Tools

Logical Framework Analysis

A logical framework analysis or approach ("LFA", "log frame analysis" or "project framework") is used to systematically plan, manage and monitor a programme, strategy or project. The overall approach follows the steps of problem analysis; stakeholder analysis; objectives analysis; identification of assumptions and risks; and selection of a preferred action strategy. The results are presented in a simple table or log frame matrix, which can be used to summarise:

- the programme strategy or project plan in a standard graphic format;

- the expected results of the project, including outputs, outcomes and impacts, and succinct indicators by which achievements can be measured;

- the logical hierarchy of the means by which objectives will be reached;

- assumptions made in the plan and possible risks to achieving objectives and outcomes; and

- a framework for monitoring and evaluating progress during implementation of the programme or project.

This Annex provides only a simple introduction to the tool. Many development assistance agencies have been using the logical framework approach to project design and monitoring for the past thirty years. A number of good manuals and trainings have been produced and can be accessed on the Web[1].

---

1. *Refer for example to the following:*
   http://www.ausaid.gov.au/ausguide/ausguidelines/1.cfm
   http://www.gdrc.org/ngo/logical-fa.pdf
   http://www.saglik.gov.tr/eng/eu/obj_or_proj_design.pdf
   http://www.adb.org//Documents/Guidelines/Logical_Framework/default.asp
   http://europa.eu.int/comm/europeaid/qsm/project_en.htm
   http://global.İnland.İ/julkaisut/yleis/pdme/design.htm

A log frame is a useful tool during the formulation, inception and monitoring of an NCSA project and for preparing and monitoring implementation of the capacity Action Plan. There are various models for the LF matrix, but each typically presents the following information in four columns and four or five rows:

- Inputs: human, financial and technical resources needed to carry out Activities;

- Activities, which can be further broken down into tasks, planned to produce specific Results;

- Objectives and expected Results for each component of the project, including Outputs (products, events) and Outcomes (what resulted from them); and

- Indicators of success and ways or Means of measuring them.

Sample Log Frame Matrix			
Column 1	**2**	**3**	**4**
Row — SUMMARY DESCRIPTION of the Project — what is to be achieved by the program or project?	INDICATORS — measurable signals of performance or success — how to know if we have achieved the planned results?	MEANS OF MEASUREMENT — where will we obtain the information to monitor progress?	ASSUMPTIONS & RISKS — external factors likely to inĺuence the project — what else is required to achieve each objective?
1 — GOAL (Program Objective) and expected IMPACT — the broad, long-term development result to which the project is intended to contribute	specific indicators of the project's contribution	sources of data	external factors
2 — PURPOSE — the specific result to be achieved within the scope and timeframe of the project or initiative	specific indicators	sources of data	external factors
3 — OBJECTIVES — the medium-term outcomes or impacts of each component or strategy of project outputs and activities	specific indicators	sources of data	external factors
4 — OUTPUTS — the specific short-term results produced from each set of project activities	specific indicators	sources of data	external factors
5 — ACTIVITIES — a summary schedule of activities required to produce the outputs	INPUTS: quantified resources needed to implement activities		

In the log frame matrix, each level of objectives leads up to the next level, so that, for example, if each Output is produced, the relevant component Objective is achieved; if the project Purpose is achieved, the project has contributed towards the Goal. This cause : effect linkage occurs only when external influences on the process are favourable, i.e. if the Assumptions listed in column 4 are met. For example, referring to the diagram, IF the planned Activities are carried out, AND the Assumptions are met, THEN the Outputs will be produced. Examples of external factors that often need to be considered include support being made available or approval granted from an outside partner, funding source or decision-making authority.

A Flow Chart can also be useful to summarise the hierarchy of objectives and the logical structure of the planned project.

```
                            ┌─────────────┐
                            │    Goal     │
                            └──────▲──────┘
                                   │
                            ┌──────┴──────┐
                            │   Purpose   │
                            └──────▲──────┘
                 ┌─────────────────┴─────────────────┐
          ┌──────┴──────┐                     ┌──────┴──────┐
          │ Objective 1 │                     │ Objective 2 │
          └──────▲──────┘                     └──────▲──────┘
        ┌────────┴────────┐              ┌────────┴────────┐
  ┌─────┴────┐    ┌───────┴───┐    ┌─────┴────┐    ┌───────┴───┐
  │Output 1.1│    │Output 1.2 │    │Output 2.1│    │Output 2.2 │
  └─────▲────┘    └─────▲─────┘    └─────▲────┘    └─────▲─────┘
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  │Activities│    │Activities │   │Activities│    │Activities │
  │  1.1.1   │    │  1.2.1    │   │  2.1.1   │    │  2.2.1    │
  │  1.1.2   │    │  1.2.2    │   │  2.1.2   │    │  2.2.2    │
  │  1.1.3   │    │  1.2.3    │   │  2.1.3   │    │  2.2.3    │
  └──────────┘    └───────────┘   └──────────┘    └───────────┘
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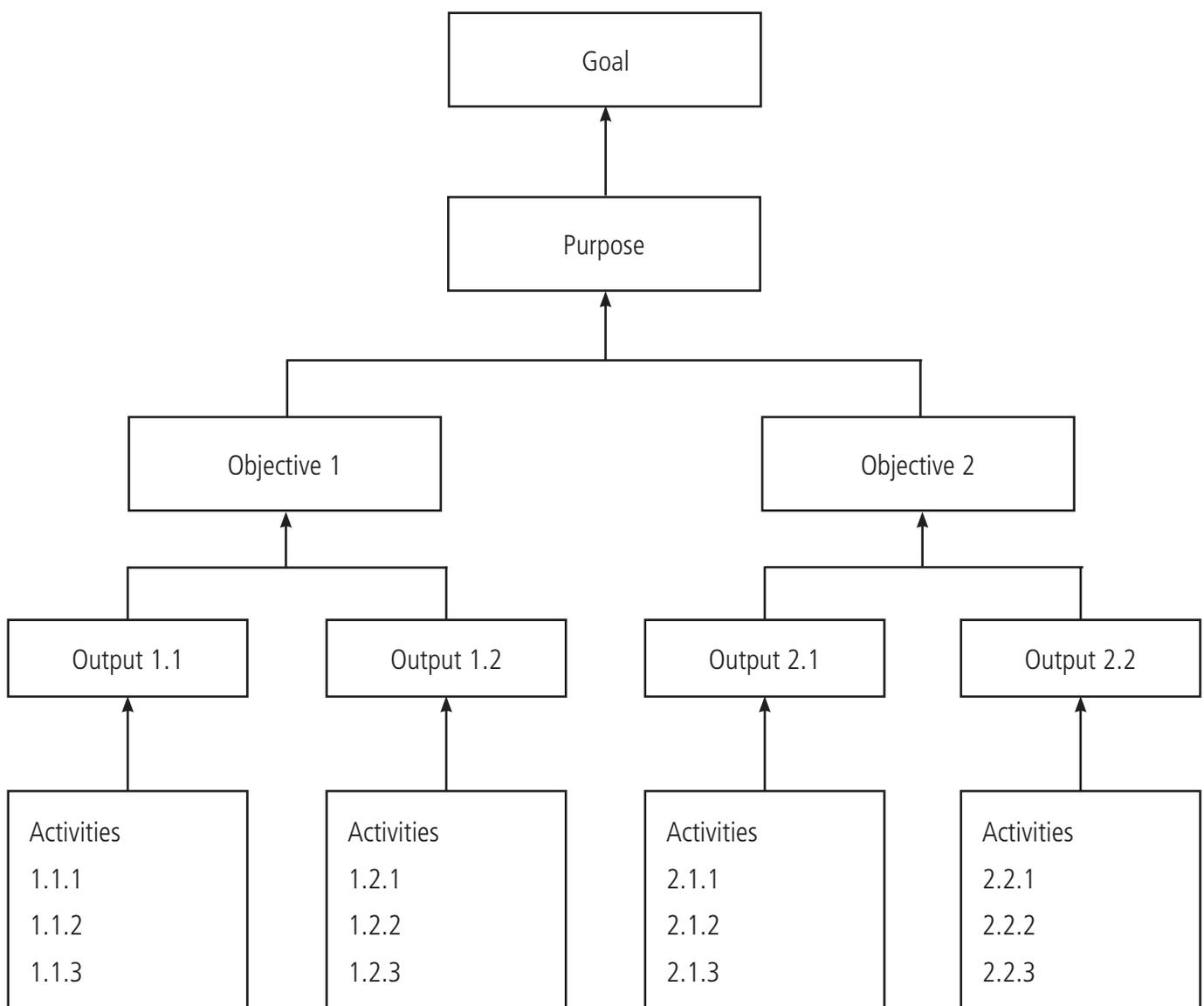
2.   Quality Management Matrix

Project managers and teams can use this matrix to help with NCSA design, report on progress and monitor the quality of NCSA progress.

Is Project Management Effective?	Is the Project Complying with the Key Principles of the GEF for NCSAs?	Quality of Project Outputs	Quality of Outcomes and Impacts
Timeliness Time to start up is less than 3 months from project approval. **Financial management** Disbursement rate is more than 90 percent.	**National Ownership** NCSA activities are conducted by national and regional experts. When Project has an international consultant, he/she acts as an advisor Final report and action plan are oﬁcially endorsed by the Government. **Use of Existing Coordinating Structures** An existing coordination mechanism plays an important role in the NCSA, such as acting as the Project Steering Committee. **Due Attention to Provisions and Decisions of the 3 Rio Conventions** Final report lists the obligations under the 3 Rio Conventions and priority capacity constraints to comply with the obligations. **Multi-stakeholder Participation** NCSA processes involve active participation of the National Focal Points of the 3 Rio Conventions, the Government, NGOs, Private Sector, and other relevant players. **Building on Ongoing Work** Final report states the linkage between the NCSA and relevant past and ongoing initiatives. **Holistic Approach** Final report identifies capacity constraints at the individual, institutional, and systematic levels. Final report and action plan cover both thematic and crosscutting capacity constraints. **Long-term Approach** NCSA is mainstreamed into broader national sustainable development context such as Agenda 21, Poverty Reduction Strategic Paper Internal and external funding is mobilized for follow-up actions to the NCSA.	**Stocktaking** Stocktaking report lists all relevant past and ongoing initiatives for the 3 Rio Conventions. **Thematic Assessments** Thematic assessments identify priority capacity constraints at the individual, institutional, and systemic levels. **Crosscutting Analysis** Crosscutting analysis identifies priority cross-cutting issues and capacity constraints at the individual, institutional, and systemic levels. **Action Plan and NCSA Report** Action plan lists: a) actions to be taken to address the identified priority capacity constraints; b) timetable; and c) players to drive the actions. Action plan states a monitoring and evaluation plan. NCSA report clearly explains the NCSA processes and products, including methodologies used. Report lists priority thematic and crosscutting capacity constraints at individual, institutional, and systematic levels.	**Contribution to Socio-Economic Development** NCSA action plan proposes measures that can improve management of environmental issues and contribute to national development priorities. **Improved Negotiation Skills** NCSA final report and action plan are used to negotiate with donors for technical cooperation and capacity development assistance. **Enhanced Cross-sectoral Coordination** NCSA helps build a more cooperative relationship between ministries and agencies. **Involvement of Non-governmental Organisations** NCSA strengthens NGO roles and contributions to capacity development and environmental management. **Established Culture of Self-Evaluation** NCSA helps establish culture of self-evaluation and problem-solving.

B.   Information Collection Tools

1. Desk study

A desk study is a review of the existing literature to collect information that is relevant to the NCSA. It is often used as a starting point to gather existing documents and to assess what additional research is needed. Desk studies are likely to be part of all steps in an NCSA. They should include both published and unpublished documents since much of the information on convention implementation may not be published. Instead, it might be found in meeting reports and minutes, files, memos and workshop reports, stored in people's offices or posted on-line.

Desk studies may be done by the project team or contracted out. Detailed TORs should describe how information will be collected, analysed and summarized. Requesting desk studies from key stakeholders is a way to involve them in the NCSA. For example, if the aim is to involve the Ministry of Energy in environmental management, the Ministry could be sub-contracted to do a desk study on energy and environment links in the country.

2. Interview

Interviews are an effective and efficient way to collect detailed information and comments from stakeholders. They can be done in person or on the phone. They can be done with key informants, i.e., those that are important to the process or have high quality information, or with a diverse sample of stakeholders. Interviews are a good way to reach high-level officials and busy stakeholders who may agree to a short interview but would not attend a workshop.

An interview can be (a) structured, using a template with set questions; (b) semi-structured, where the interviewer uses a set of questions as a guide only, or (c) informal, where the interviewer proceeds based on the interviewee's knowledge. Types (a) and (b) are useful when you wish to compare answers from different interviewees. Type (c) is suitable when you need specialized kinds of information from a specific interviewee. Interviewers and interview questions should be appropriate for the target group, considering educational backgrounds, languages and customs. For example, both women and men interviewers may be needed to make both genders feel comfortable.

3. Focus group

A focus group is a kind of "group interview", usually done with 3-6 people. It is used to test ideas and identify areas of agreement and disagreement. It also helps to reach larger numbers of people with interview questions. The interviewer may ask participants to respond to draft ideas and then assess the degree to which they agree/ disagree, and how strongly they feel.

Focus groups may be conducted with people from the same organisation or area of interest, e.g., Ministry staff or biodiversity specialists, or with diverse stakeholders. The degree of formality varies, but a focus group is usually structured around specific topics and questions. The focus group is a good alternative to a workshop because you can hear from more people than you would in a large workshop. Facilitation techniques should be used to ensure that you hear from all participants and that one or two people don't dominate. For example, go "round the table" to seek comments from all participants or ask quieter people for their views.

4. Questionnaire/ survey

A questionnaire is a list of questions that is distributed to individuals. It is used to:

- reach a wide range of participants,

- reach participants distributed over a large geographical area,

- reach people with only a low level of interest in the project, i.e., they are unlikely to attend other events,

- compare views among different participants,

- provide a non-threatening way to collect views from people who are unlikely to speak in interviews, focus groups, meetings and workshops, and

- to allow for anonymous comments.

Questionnaires vary considerably, in that they can:

- be done in hard copy (mailed or distributed in person) or electronically (e-mail or on-line);

- be done orally, by phone or in person;

- use closed and/or open questions (i.e., multiple choice vs. comments);

- be anonymous or ask for names; and/or

- be done with one or more targeted group(s), a representative sample and/or a statistically random sample.

The key to an effective survey is to use clear, unbiased questions that will elicit useful answers directly relevant to the analysis. If surveys are sent by e-mail or phone, there should be a suggested return date and phone or e-mail follow-up to increase the rate of return. Because surveys have been used frequently in recent years, some teams avoid them. If you want statistically significant results, specialists will be needed to assist with the survey design and distribution plan.

Questionnaires can be used with other techniques, e.g., they can be handed out to workshop participants or left with interviewees after an interview. A variation on the questionnaire is a "workbook", which asks the participant to read a short piece of information and then respond to questions. For example, a draft list of capacity constraints could be provided, followed by the questions: "Do you agree with the above list of capacity constraints? "If not, what could be dropped?" "What is missing? "Other comments?"

5. Field trip, site visits or other direct observation

The project team may do a field trip or site visit to observe directly what is happening "on the ground" or "in the workplace". They might visit a demonstration project, laboratory, protected area, farm, research facility, library, information clearinghouse, office or industrial facility. This "field research" complements desk studies and what people say is happening, through allowing the team to "ground-truth" and see what is actually happening. For example, visitors can observe the state of laboratories, databases, infrastructure and equipment, and examine work activities, work samples and staff performance. These are all components of individual, institutional and systemic capacity for environmental management.

Field trips and site visits can also be incorporated into stakeholder workshops and media events to attract participants or get them to focus on the NCSA away from the office. Organisers can distribute printed information and surveys to participants during the trip. Photographs and videos from the visits can be used in NCSA Powerpoint presentations, displays, brochures and reports.

6. Workshop

The term "workshop" generally refers to a relatively large group of people meeting to "work" on something for a period of a few hours to several days. A true workshop includes a mix of presentations and opportunities for participants to provide comments. However, in some organisations and countries, they are run as relatively-formal large group meetings in which participants listens to presentations, with or without question periods. NCSA project teams may be obliged to organize both types of workshops, or some combination, if it is the custom in the country. If necessary, the first couple of hours could be more formal, followed by participatory sessions.

Workshops should be used selectively as they can take considerable time and resources to organize and need careful planning. Also, in many countries, stakeholders are losing interest in workshops, especially formal ones. A workshop is best used to achieve one or more of these goals:

- To generate information or comments which cannot be collected by other techniques.

- To encourage information sharing, debate and discussion among stakeholders.

- To promote communication and collaboration among stakeholders, where appropriate.

- To discuss complex and multi-dimensional issues or controversial topics, for which there are many viewpoints.

- To ask stakeholders to come to agreement on key points or to indicate the degree of agreement or disagreement on these points.

- To involve high-level officials and senior managers in the NCSA by giving them a high profile public role, e.g., keynote speech.

- To reach a large number of people in a short time.

Teams should try to ensure that workshops are as participatory as possible, providing opportunities for participants to raise and discuss substantive topics and provide useful feedback. Key stakeholders can be actively involved in the workshop by being invited to help to plan or convene it, do a presentation, participate in a panel discussion, or facilitate a small group discussion. Although most workshops will include some presentations, they should not be used to present large amounts of information that could be distributed in reports. Most people do not retain much information from formal presentations. In any case, the workshop should take advantage of participants being face-to-face.

A good workshop will usually:

- Have clear written objectives, target groups, agenda and expected outputs.

- Use diverse workshop techniques, both passive (e.g., Powerpoint, speeches, plenary sessions) and participatory (e.g., Q & A, brainstorming, small group work, participatory exercises).

- Use effective facilitators or chairpersons, in both large and small group sessions, to keep participants "on time and on task" and ensure that all participants are heard.

- Have well-prepared speakers and resource persons. It may be advisable for organizers to review presentations ahead of time to check length, content and format of slides.

- Provide written materials for participants to read ahead of time or use at the workshop, so they can participate in an informed way (in the local language, if appropriate).

- Have good logistical planning and support, including:

- a comfortable meeting place, with good signage, room temperature and light;

- a room set-up that facilitates discussion, e.g., participants should face each other in a circle, square or U shape or sit at small tables;

- reliable audio-visual equipment and materials (e.g., flip charts, hand-outs), tested in advance; and

- well-timed breaks and mealtimes, with attractive refreshments and time for participants to interact.

- Make sure that participants' comments are carefully captured, using note-takers, flip charts, surveys or workbooks. (Transcripts are not needed, just summaries.)

- Thank participants and follow up by sending a workshop summary and future NCSA outputs and progress reports, possibly with a request for comments.

There are two variations on the traditional workshop that could be used in an NCSA:

a) Mini-workshop: a shorter workshop (e.g., 1-3 hours) with a small number of stakeholders, although it still might include presentations and participatory activities.

b) Working session: core project participants meet to accomplish a specific task, for example, to collectively prepare a SWOT analysis, linkages study or prioritization matrix. These can also combine informal training with working on a task, e.g., a session on the meaning of capacity development and its application to the conventions.

C.   Information Analysis Tools

1.   Linkages Study (or Linkages Plan)

A Linkages Study identifies how the NCSA can be linked with other global and national sustainable development and environmental initiatives in mutually beneficial ways. It also helps to avoid overlap and ensure complementarity among these processes. Because an NCSA touches on many environment and development issues, it can be integrated into numerous global and national programmes, projects, and activities. These linkages will be useful during both preparation of the NCSA and for the Action Plan and follow-up. Linkages information can be presented using text, tables, figures or concept maps (see Tool C.2 below).

The Linkages Study will identify past, on-going and planned national convention-related and national environmental management initiatives, and how the NCSA can be linked with them. Consider the following questions:

- Which past initiatives could the NCSA build on? ("input linkages")?

- How could the NCSA findings contribute to on-going and future initiatives ("output linkages")?

- Are there ways to link the NCSA directly to other current initiatives while it is being undertaken ("process linkages")? These might include information-sharing, joint workshops, common project team members.

Depending on the scope of your NCSA, a Linkages Study might identify the following information:

- Initiatives (laws, policies, plans, strategies, programmes and projects) that are relevant to the Rio Conventions, other MEAs, and environmental capacity development;

- National sustainable development and environment initiatives (as above);

- Mandates and responsibilities of institutions and organisations related to NCSA topics;

- Opportunities for linkages, including information-sharing and collaboration on inputs, activities or outputs;

- Contact people or committees who are responsible for each initiative;

- The relevance and potential strategic value of each possible linkage; and

- Which linkages will be pursued and how.

Sample Section of a Linkages Study		
Institution/ Initiative/ Project	**Primary Intersections or Overlaps with NCSA**	**Linkages**
National Sustainable Development Strategy (NSDS) of <Country>	• Incorporation of Convention obligations in National Legal Frameworks and institutional mandates • Strengthening the ability of local communities to develop sustainably	**Input:** • Consider the NSDS in stock-taking and priority-setting exercises **Process:** • Organize joint workshop on local Agenda 21 and the NCSA • Fund a joint study on legal issues related to the Rio Conventions **Output:** • Brief technical staff overseeing NSDS implementation on relevant NCSA outcomes
National Forestry Institute (NFI)	• Implementation of a sustainable forestry policy • Promoting agro-forestry initiatives that promote biodiversity conservation (i.e. shade coffee or organic banana plantations)	**Input:** • Review sustainable forestry policy as part of analysis of cross-cutting issues **Process:** • Include NFI representative on Cross-Cutting Issues Work Group **Output:** • Designate NFI as a responsible party for key activities in the NCSA Action Plan

2. Concept mapping: e.g. systems map, flow chart, "web" diagram

Concept mapping is the technique used to develop graphical presentation of systems, processes and relationships, using diagrams, drawings or other figures. They are used to gather, analyse or present complex information visually. Concept maps harness our visual powers to understand complex information "at a glance", because it is generally easier for the human brain to understand information that is presented in this way. (This is why "a picture is worth a thousand words".)

A concept map consists of nodes or cells that contain concepts, items, questions and/ or links. The links are labeled and show direction with an arrow. The labeled links explain the relationships between the nodes, and the arrows describe the direction of the relationship. The most well known concept maps are "flow charts" showing stages in a process and "organagrams", showing institutional structures. Types of concept maps include flow charts, systems maps, hierarchy maps and spider concept maps. See examples at http://classes. aces.uiuc.edu/ACES100/Mind/CMap.html

For an NCSA, the linkages study (see Tool C.1 above) could be represented as a linkages "map" which shows relationships and flows of information and activities between the NCSA and other initiatives. Or a concept map could be used to show the relationships among individual, institutional and system environmental capacities. The *root cause analysis and problem tree analysis* tools presented below are both types of concept maps.

Example of a concept map

Map of Relations
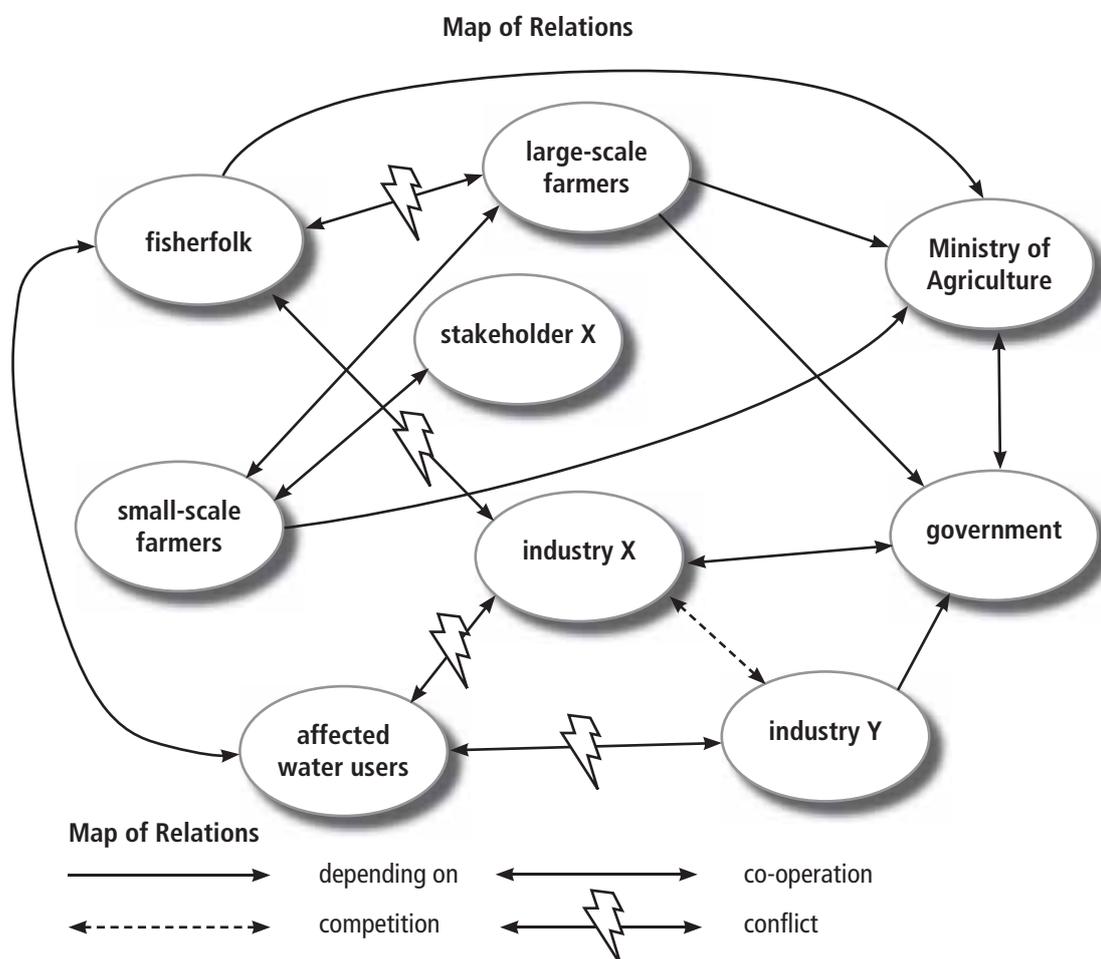
3.   Matrices, including SWOT Analysis (Strengths, Weaknesses, Opportunities, Threats) or Variation

A matrix is a multi-cell table that can be used to gather and analyse information and to present results. A logical framework analysis (LFA) is a type of matrix. A SWOT analysis is also a specialized type of matrix which is used to analyse a current situation through identifying Strengths, Weaknesses, Opportunities and Threats. The SWOT analysis is a relatively simple, easily-understood tool which can be adapted to different tasks through changing the headings. A SWOT analysis can be prepared by an individual or done collaboratively by a project team or at a stakeholder workshop. If done by individuals, it should be given to other analysts or stakeholders for comment.

Sample matrices for collecting and presenting NCSA information

Example for Step 3. Thematic Assessments

Convention on Biological Diversity

Requirement *(convention obligations and COP decisions)*	National initiatives to address *(plans, strategies, activities)*	How well the requirement is being addressed	Constraints preventing better compliance (and greater benefits)
etc.			
Possible benefit or opportunity from the convention	National initiatives to address	To what degree the country is benefiting	Constraints preventing greater national benefits
etc.			

Example for Step 4. Cross-cutting Analysis

Priority Issue # 1: (insert issue)		
Strengths	Constraints	Capacity Needs
etc.		
Priority Issue # 1: (insert issue)		
etc.		

Another matrix example for Step 4

> - For each category in the first column, enter capacity constraints under the relevant thematic area to identify capacity constraints for each convention as well as cross-cutting ones.
>
> - A similar matrix can be used to analyse capacity strengths, needs and/or opportunities.
>
> - You might want to sub-divide these into systemic, institutional and individual levels.

Categories of Capacity Constraints	Biodiversity	Climate Change	Desertification/ Land Degradation	Opportunities for Cross-cutting Capacity Development
Information management systems				
Negotiation skills				
Planning skills				
etc.				

4. Gap analysis

A gap analysis is a simple tool that is often used in capacity assessment and development, for example, in training needs assessment and institutional analysis. In a gap analysis, participants describe the current situation, identify the desired situation, and specify what needs to be done to "close the gap" between the two. They also identify what would be needed to ensure that the desired results were sustained in the longer term. For more information, see references listed in Annex A, especially UNDP, 1998. *Capacity Assessment and Development: In a Systems and Strategic Management Context.*

Gap Analysis
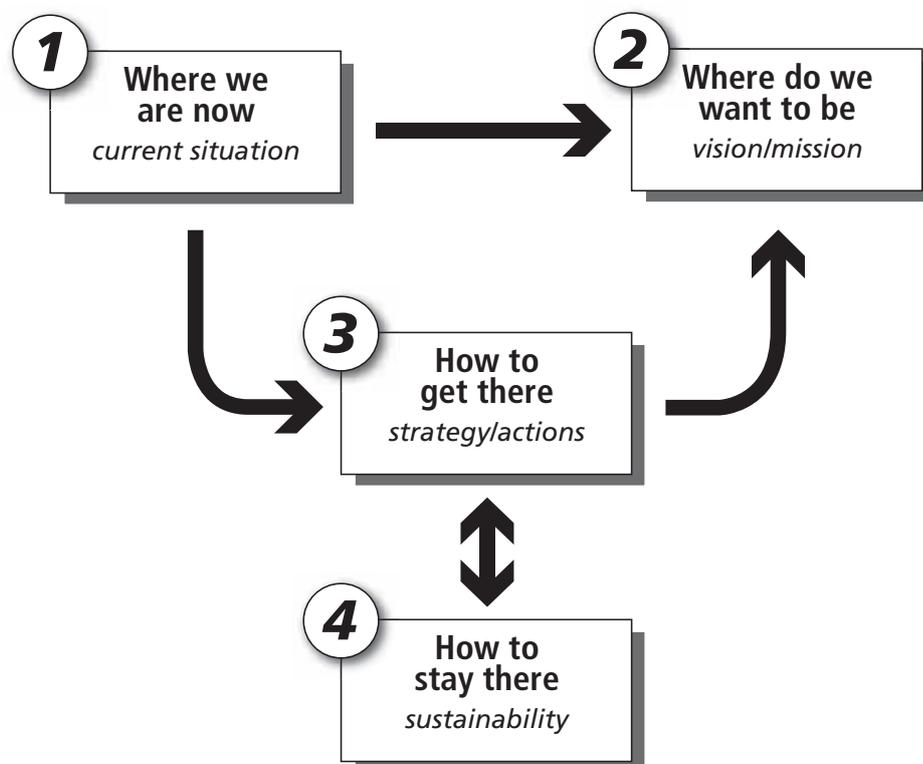
UNDP, 1998. *Capacity Assessment and Development: In a Systems and Strategic Management Context.*

5. Prioritisation Matrix

A prioritization matrix is a tool for choosing priorities, i.e., determining the relative importance of multiple items. The simplest version of this involves asking participants to rank items as High, Medium or Low, or 1st, 2nd or 3rd priority. They may also be asked to do "dot voting", for example, by distributing only 5 dots among 10 options. More complex prioritization exercises may ask participants to score and rank items using multiple criteria and/or a weighting system, which assigns different weights to criteria that are seen as more important. The results of scoring and weighting in the matrix will lead to a ranking of the items in order of priority. For this type of matrix, tasks might include:

1. Decide who will do the exercise, e.g., project team, panel of experts, group of stakeholders.

2. List options or items to be prioritized.

3. Develop selection criteria, for example, urgency, feasibility, legal importance, cost. Participants should agree on the criteria.

4. Display the list of items and the criteria in a matrix form, with items down the side and criteria across the top.

5. If it seems that not all criteria are equally important, create a weighting system to give different "weights" or degrees of importance to each criterion. For example, "urgency" might be considered more important than "cost". Weighting could also be used to give emphasis to cross-cutting issues and issues which are important to both global and national environmental management.

6. Each participant allocates a score for each option or item, under each criterion.

7. The points are totaled, and the items with the highest points are chosen as priorities, based on their ranking.

6. Root Cause Analysis and Problem Tree Analysis

A Root Cause Analysis is a tool to diagnose the fundamental problems or "root causes" that underlie a particular issue and identify key interventions to address them. A root cause is one that, if addressed effectively, will help to prevent undesired outcomes from recurring. A root cause analysis helps to determine the linkages between symptoms and problems, and between causes and effects.

Root cause analysis is best done in a workshop or working session where multiple experts and group discussion can contribute to the analysis. The root cause analysis is performed by asking a series of questions that probe the fundamental basis of a problem or issue. It is important to keep asking why? until the answer is an issue that can be directly addressed. This can be done graphically by writing and/or drawing the answers on a large paper or on small cards that can be attached to the paper. Lines and arrows between the cards represent cause-effect relationships. Cards can be changed and moved until participants are satisfied that they accurately represent the situation.

The "Tree diagram", including a "problem tree" is a helpful format to present the root cause analysis graphically. Tree diagrams are multi-purpose, visual tools that can be used to narrow down and prioritize problems, objectives or decisions. Information is organized into a tree-like diagram. In the simplest version, the main problem or issue is represented by the tree's trunk, and the relevant factors, influences and outcomes are put on the roots and branches.

A typical root cause analysis might include the following steps:

1. For a particular priority issue, identify one or more key problems. These are the "starter" problems. Problems can then be identified at a number of additional levels, working both "upwards" and "downwards", as needed to create an accurate picture of the situation.

2. Determine the impacts of the problem, their significance and who is affected.

3. Identify the causes (conditions or actions) immediately preceding and surrounding the problem.

4. Identify the reasons why these causes exist, working back to the fundamental root cause(s). This is the stopping point in the identification phase.

5. If you are going to use this analysis to identify solutions, identify what actions would address these root causes. Who needs to do what and when? The problem tree can be transformed into a "solution" tree.

Root cause analysis and problem trees can be used during the thematic and cross-cutting analyses for an NCSA. They can help to examine the cause-effect linkages between failed commitments to the conventions and capacity needs, to identify underlying capacity constraints, define priority capacity needs, and identify the most effective capacity development actions.

These tools may also point to "bottlenecks", which are single root causes that may underlie multiple problems. Removing a bottleneck can have major positive and synergistic impacts. For example, there may be one or two key actions that would greatly improve implementation of all three Rio Conventions. For more information, see http://www.asq.org/pub/qualityprogress/past/0704/qp0704rooney.pdf

Example of Problem Tree Analysis: Desertification issues

Examples	Causes	Problem	Effects
	Desertification/ Land Degradation		

Examples column:

- Weak harmonization of NR management
- Inadequate actors to advocate for UNCCD issues
- Inadequate gender mainstreaming
- Inadequate capacity to collect, analyse and disseminate information on drylands
- Inadequate capacity to peacefully resolve conflicts
- Inadequate operationalisation of DEAPs
- Inadequate research in drylands

Weak institutions

- Weak enforcement of laws, policies and bye-laws
- Inadequate capacity to enact, review and enforce policies on SLM
- Limited capacity to streamline land tenure systems

Weak laws, policies and enabling frameworks

- Inadequate local capacity to implement SLM practices
- Lack of private sector investment in drylands
- Limited capacity to exploit alternative livelihoods
- Lack of management plans for fragile ecosystems
- Inadequate use of appropriate policies and indigenous knowledge

Poor land management practices

- Water harvesting and conservation for domestic and production purposes
- Lack of capacity to access water from permanent sources
- Weak capacity to manage water catchments

Poor water management practices

- Inadequate enabling infrastructure
- Limited capacity to store, process and market agroproducts from drylands
- Poor delivery of services to mobile pastoralists

Poor infrastructure

- Inadequate awareness of desertification issues
- Inadequate knowledge of efficient alternative energy sources
- Inadequate integration of dryland issues in school curricula
- Inadequate participation of the private sector
- Inadequate awareness of bye-laws on management of NRs

Public education and awareness

- Inefficient use of biomass energy
- Limited capacity to popularize alternative energy sources

Poor management of energy resources

Problem: Continued Land Degradation

Effects:
- Reduced Household Income
- Food Insecurity
- Low Tax Base
- Conflicts Over Resource Use
- Off-site Effects

Example of a Problem Tree Analysis: Endangered Species

Situation:

- A CBD convention obligation and national priority for environmental management goal was noted: "Endangered Species Protection Strategy is developed, functional, implemented and monitored. NGO "X" was vocal about a threatened species that is declining rapidly because of forestry activities close to its habitat.

- The NGO asked the Minister of Environment to stop the forestry activities. She promised to take action and directed the department to solve the issue.

- The Stocktaking under CBD found that Endangered Species Protection Strategy is developed and properly covered in the NBSAP; however, there are some problems in implementation and coordination

- The NCSA team jointly with MoE CBD Focal Point undertook a problem-tree analysis as the start for the thematic assessment.
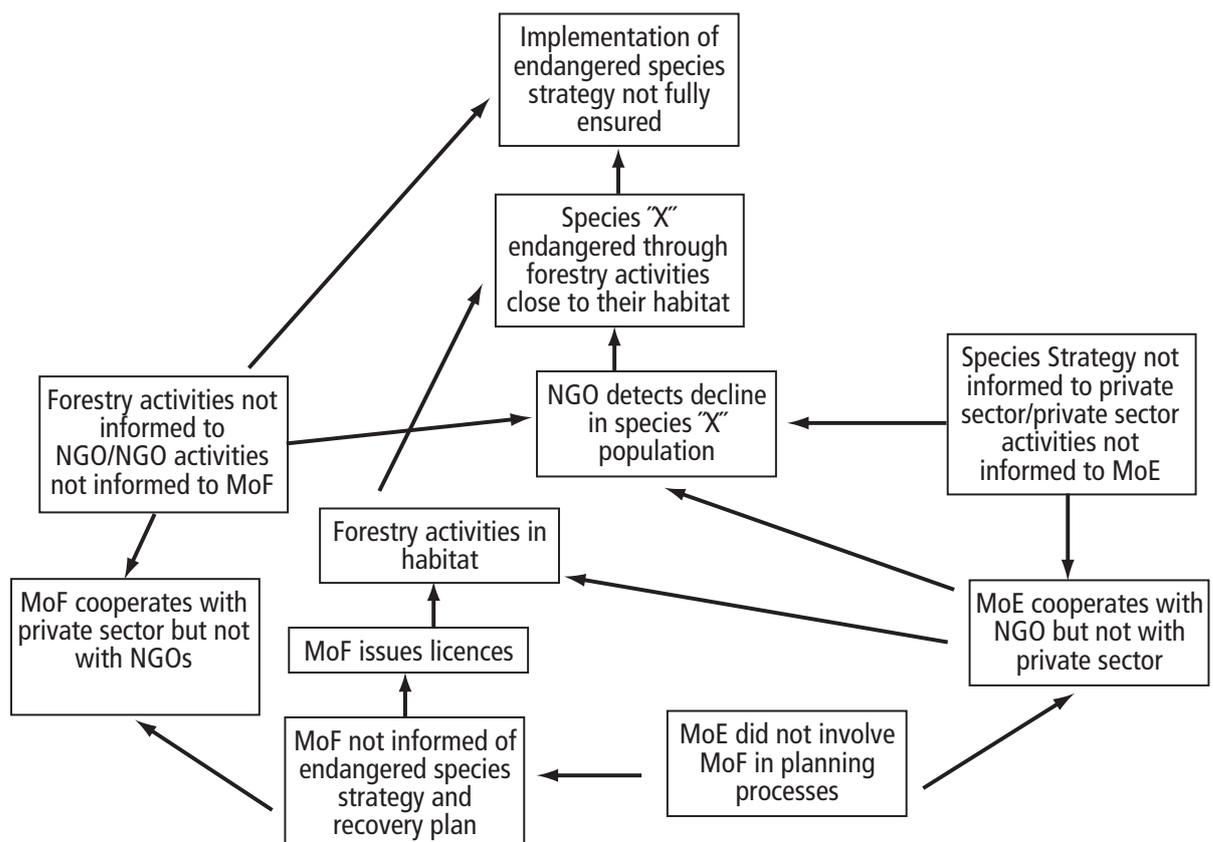
D.   Stakeholder Involvement Tools

1.   Stakeholder Analysis Matrix

A stakeholder is defined as a person, group, organization, system, etc., that has a "stake" in an initiative, i.e. will be affected by or have an interest in the results of that initiative. Stakeholders are involved in the NCSA to ensure that the process benefits from their combined knowledge, skills and views and to promote their long-term interests in capacity development, i.e., "ownership" of the NCSA products.

Example of Stakeholder Analysis Matrix

Who? Stakeholder Name: (organisation or individual)	**What?** Stakeholder Responsibilities and Interests related to the NCSA	**Why?** Reasons for inclusion	**How?** Possible roles and involvement techniques	**Degree to which affected or interested** high, medium, low*

The following questions can help you to identify stakeholders:

- Who makes or influences decisions related to NCSA topics?

- Who has information or expertise that might be helpful, related to both the thematic areas and environmental capacity development?

- Who could use the results of the NCSA findings?

- Who could help to implement the Action Plan?

- Who could provide financial or technical resources for doing the NCSA or for implementing the Action Plan?

- Who has been/ is involved in similar initiatives? (contact lists from other projects)

- Who are current or potential supporters or "champions" of capacity development?

- Who are possible beneficiaries of capacity development and strengthened environmental management?

- Who could exert a negative influence or be negatively affected, if they are not involved?

- Who has little formal "voice" through an organisation, yet should be involved?

* Stakeholders can be divided into the following three categories of involvement, based on the degree to which they are affected by, and/or interested in, the NCSA. (This can be based in part on consulting with them regarding their desired role.)

1.   They want to participate fully or their involvement is needed for a credible process.

2.   They want to play a secondary role or only want involvement in some steps.

3.   They want only to be kept informed.

The Stakeholder Analysis is a tool for identifying which individuals, groups and organisations should be involved in the NCSA and the most appropriate ways to involve them. It is most useful if done early in the NCSA and revised at each step. The stakeholder analysis can be prepared by an individual, a team or in a workshop session.

2.   Selected Stakeholder Involvement Techniques

The following is a list of selected stakeholder involvement techniques, with brief descriptions of how they can be used in an NCSA. Many of them are similar to the "information-gathering tools" described in Annex DB above, however, in this case would be used specifically with stakeholders. The following techniques are organized around three possible objectives for involving stakeholders.

Techniques for informing stakeholders about the NCSA (communication)

1. Information hotline/ key contact person

2. Printed materials: brochures, posters, educational materials

3. Displays and audio-visual presentations

4. Websites, e-mail

5. Meeting, presentation or briefing

6. Mass media - TV, radio, newspapers: media release or media kit

Techniques for collecting information, feedback and comments (consultation)

7. Interview

8. Focus group

9. Survey, questionnaire

10. Workbook: a small booklet which contains short descriptions of key issues + related survey questions)

11. Site visit or field trip; direct observation

12. Open house or other community and business events, e.g., launch event, clean-up day

Techniques for involving stakeholders directly (involvement)

13. Workshop, mini-workshop, working session

14. Advisory committee

15. Participatory Rural Appraisal (PRA) and related techniques

BCH	Bio-safety Clearing House (CBD, Cartagena Protocol)
CBD	Convention on Biological Diversity
CCD	Convention to Combat Desertification
CDI	Capacity Development Initiative
CHM	Clearing House Mechanism (CHM)
CITES	Convention on International Trade in Endangered Species
CMS	Convention on Migratory Species
COP/MOP	Conference/ Meeting of Parties (to the Convention)
CRIC	Committee for Review of Implementation of the Convention (CCD)
EIA	Environmental Impact Assessment
EU	European Union
GEF	Global Environment Facility
GSP	Global Support Programme for Capacity Development
IA	Implementing Agency
IAS	Invasive Alien Species
JLG	Joint Liaison Group (Rio Conventions)
LD	Land Degradation
LDC	Least Developed Country
LFA	Logical Framework Approach/ Analysis
LMO	Living Modified Organism
MDG	Millennium Development Goals
MEA	Multi-lateral Environment Agreement (Convention)
MoE	Ministry of Environment
MoF	Ministry of Forestry
NAP	National Action Programme (CCD)
NAPA	National Adaptation Plan of Action (UNFCCC)
NBSAP	National Biodiversity Strategy & Action Plan (CBD)
NC	National Communications (UNFCCC)
NCB	National Coordinating Body (CCD)
NCSA	National Capacity Self-Assessment
NEAP	National Environmental Action Plan
NFI	National Forestry Institute
NGO	Non-Governmental Organisation
NIP	National Implementation Plan (POP)
NRM	Natural Resource Management

NSDP	National Sustainable Development Programme
NSDS	National Sustainable Development Strategy
OECD	Organisation for Economic Co-operation and Development
POP	Persistent Organic Pollutant
PRA	Participatory Rural Appraisal
ProDoc	Project Document
PRSP	Poverty Reduction Strategy Papers
PSC	Project Steering Committee
Q&A	Question & Answer
RAP/ SRAP	Regional (Sub-Regional) Action Programmes (CCD)
SBSTA	Subsidiary Body for Scientific and Technological Advice
SEA	Strategic Environmental Assessment
SEED	Sustainable Energy and Environment Division (UNDP)
SIDS	Small Island Developing State
SLM	Sustainable Land Management (CCD)
STAP	Scientific and Technical Advisory Panel (GEF)
SWOT	Strength - Weakness - Opportunity - Threat analysis
TOC	Table of Contents
TOR	Terms of Reference
UN	United Nations
UNCCD	UN Convention to Combat Desertification
UNDP	UN Development Programme
UNEP	UN Environment Programme
UNFCCC	UN Framework Convention on Climate Change
UNITAR	UN Institute for Training and Research
UNU	United Nations University
WSSD	World Summit on Sustainable Development