

National Capacity Self-Assessment



Resource Kit

Global Support Programme
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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.

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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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Guide to the NCSA Resource Kit

The NCSA Resource Kit

Background

Implementing the National Capacity Self Assessment



Step 1 Inception



Step 2 Stocktaking



Step 3 Thematic Assessments



Step 4 Cross-cutting Analyses



Step 5 NCSA Report and Action Plan

Annexes

A: Selected references

B: Guidance from the Conventions

Guidance from each Convention

Guidance on Synergies

Rio Convention Requirements

C: Strategies for a Successful NCSA

Interest & momentum

High-level support

Engagement of stakeholders

Choose priorities

Communicate

D: Analysis and Planning Tools

Logical framework analysis

Quality management matrix

Information collection tools

Information analysis tools

Stakeholder involvement tools

E: Acronyms

The resource kit is designed to assist project teams¹ 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

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://nrsa.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.

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 Pollutants³, 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.

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

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 (UNFCCC) – 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.

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 functions⁶:

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.)

预览已结束，完整报告链接和二维码如下：

https://www.yunbaogao.cn/report/index/report?reportId=5_13316

