
National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions



Kingdom of Swaziland National Capacity Self-Assessment NCSA/UNDP/SEA/CC/01



SWAZILAND
ENVIRONMENT
AUTHORITY



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UNITED NATIONS
DEVELOPMENT
PROGRAMME

Inception Report

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INTRODUCTION

Increasing recognition of anthropogenic changes in the natural environment as a result of human interference has resulted in the international community agreeing on a number of multi-lateral environmental agreements. These include, among others, the United Nations *Convention on Biological Diversity (UNCBD)*, the *Framework Convention on Climate Change (UNFCCC)* and the *Convention to Combat Desertification (UNCCD)*. Central to the objectives of each of these Conventions is recognition of the potential that such anthropogenic changes have to undermine the sustainability and development of livelihoods and the global diversity upon which all of these system processes rely.

The UN Conventions provide a framework for countries with specific commitments to mitigate and manage the effects of human developments and pressures on the natural environment. They call for specific policies, strategies, and solutions to mitigate the loss of biodiversity, effects of climate change, and desertification. In particular, each calls on countries to integrate these objectives into national and regional development plans, policies, programmes, and strategies. In order to address these issues and ensure the success of national initiatives, countries need to ensure they have sufficient capacity to respond to the provisions of the Conventions and changing environment.

Poverty alleviation, food security and the need to maintain an environmentally sustainable framework are among the greatest challenges facing the countries of southern Africa. In developing its response to these issues the Government of Swaziland has formulated the National Development Strategy (NDS) as the country's key policy framework. The NDS details the long-term (25 year) vision for the country based on the identification of priority development objectives. The NDS acknowledges Swaziland's international obligations under various international Conventions along with the need for actions in ensuring compliance with these Conventions.

Experience internationally and with various national initiatives has identified a lack of capacity at different levels as one of the key constraints to meeting the challenges and provisions of the Conventions. While the Conventions provide a number of tools and instruments to assist signatories meet their obligations under the provisions of the Conventions, one of the biggest challenges continues to be a lack of capacity at various levels, namely *individual*, *organisational* and *systemic*. The Conference of Parties (COPs) for the Convention on Biological Diversity alone has made more than 65 decisions pertaining to capacity building.

In response, the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP) initiated the Capacity Development Initiative (CDI) in January of 2000. The aim of this initiative was to establish a more comprehensive and informed approach to issues around capacity needs and priorities, along with a strategy for developing capacity among developing countries to meet their global environmental commitments under the UN Conventions. Acknowledging this the Swaziland Environment Authority has commissioned a **National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities**

for the Implementation of the Climate Change, Desertification and Biodiversity Conventions.

Specifically, National Capacity Self-Assessments are aimed at defining a countries capacity needs and priorities, to assist in determining what capacities are required, what capacities exist and where capacity may be lacking within the country. By identifying these capacity gaps, countries can then develop a strategic, integrated plan of action. The Swaziland NCSA aims to address a number of cross cutting issues that are specific to the country e.g. community level capacity, traditional structures, institutional management, technical training, sectoral policies and legislation, data information and political will (UNDP/GEF, 2003). The overall objective of this assignment is *to identify national capacity constraints and priorities to meet binding commitments contained in the three Rio Conventions on biodiversity, climate change and desertification*. This information is to be used by the Project Management Group *to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan*.

THE UNITED NATIONS CONVENTIONS

In order to understand the requirements of the assignment it is first important to define the objectives of the individual Conventions. While the specific requirements of the Conventions will be examined and articulated in more detail in the mid-term stock take report, definition is included herein by way of example.

Climate Change

The ultimate objective of this Convention and any related legal instruments that the Conference of the Parties may adopt is to achieve, in accordance with the relevant provisions of the Convention, stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system. Such a level should be achieved within a time-frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.

Desertification

The objective of this Convention is to combat desertification and mitigate the effects of drought in countries experiencing serious drought and/or desertification, particularly in Africa, through effective action at all levels, supported by international cooperation and partnership arrangements, in the framework of an integrated approach which is consistent with Agenda 21, with a view to contributing to the achievement of sustainable development in affected areas. 2. Achieving this objective will involve long-term integrated strategies that focus simultaneously, in affected areas, on improved productivity of land, and the rehabilitation, conservation and sustainable management of land and water resources, leading to improved living conditions, in particular at the community level.

Biodiversity

The objectives of this Convention, to be pursued in accordance with its relevant provisions, are the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding.

While all three Conventions represent separate distinct entities, with their own set of requirements and obligations upon signatory states, they all deal with the conservation and management of the natural environment with a view to ensuring resource protection within sustainable frameworks. The overlap in terms of obligations and requirements under the Conventions has prompted the Secretaries of the FCCC, CBD and CCD to make several recommendations, conclusions and decisions to increase

mutual understanding and coordination. Despite these there remains a need to develop and enhance synergies between the instruments in terms of their implementation at local, national, regional and global levels. In some cases synergies and integrated approaches exist and can be built upon while others require specific efforts to stimulate collaboration, cooperation and harmonization. To this effect a Joint Liaison Group (JLG) has been proposed by the CBD, endorsed by Parties to the FCCC and agreed to by the CCD. This JLG will be responsible for enhancing coordination between the various bodies of the Conventions.

Elements common to each of the Conventions reporting requirements (National Adaptation Programme of Action, National Action Programme and National Biodiversity Strategy and Action Plan) and opportunities for linkages between these are described in the table below (Velasquez, 2004a). These commonalities shall be important in identify capacity opportunities and constraints for cross cutting synergies between the three Conventions.

Joint components	Linked approach	Assessment tools	Possible outcomes
Stocktaking, assessment of existing data, documents, strategies and policies	Data and information management	Enabling activities Inter-linkages case studies NCSA	Collaborative data collection, storage, management and exchange
Steering committees, coordination bodies (NFP and line agencies)	Information exchange, inter-agency collaboration, joint planning	Enabling activities Inter-linkages case studies NCSA	Inter-agency committees, NCSA
Prioritization of activities; complementarity; mainstreaming into existing policies	Strategic planning and knowledge management	Enabling activities Inter-linkages case studies NCSA	Policy coordination, joint preparation for negotiation, ratification; integrated implementation strategies
Multi-stakeholder participation	Participatory assessments, joint planning procedures	Enabling activities Inter-linkages case studies NCSA	Strengthened ownership, information and experience sharing across levels (national & local)
Awareness raising	Targeting high-level decision makers and the general public	Enabling activities Inter-linkages case studies NCSA	CCC, CCD and CBD linked to sustainable development strategies for politicians and in curricula
Outreach	Joint outreach programmes	Enabling activities Inter-linkages case studies NCSA	Linking Rio-Conventions to sustainable development strategy in public awareness

A review of cross cutting issues across the three Conventions has identified the following common capacity needs across different regions and across the Conventions (UNDP/GEF, 2000).

1. Low levels of awareness and knowledge limit the ability for discussion, decision-making and action.
2. Lack of information management, monitoring and observations hampers policy and decision-making.
3. Lack of synchronization of national policy, legal and regulatory frameworks leads to confusion between sectors and between national, regional and local levels.
4. Incentive systems and market instruments are inadequately developed.
5. Institutional mandates either overlap or have gaps, key institutions are not involved, and interactions between institutions are not always effective.
6. Science and technology are ineffectively mobilized in support of policy and decision-making.
7. Preparing for, skill in participating in, and reporting back on, international negotiations and agreements is weak.
8. Coordination, and processes for interaction within the country are poorly developed.
9. Cooperation and networking within regions is often lacking.
10. Individuals tend to be ineffectively deployed, mobilized, motivated or given responsibility.
11. Institutional effectiveness is hampered by weak management and resource constraints.
12. Lack of financial resources and technology.

These common capacity issues shall provide a framework for guiding the assessment of needs in Swaziland. It should be noted that the approach will be tailored to address the local needs and context. While a number of capacity building initiatives exist (UNDP, 1994; UNDP/SEED, 1998; Mugabe *et al.*, 2000), and some of this information has been distilled to highlight common needs among the Conventions (Velasquez, 2004), the objective of this assignment is to assess the capacity needs of the country, not to look at capacity building initiatives. It is our understanding that these capacity building activities shall be one of the outcomes from this assignment.

APPROACH

The approach will be defined by the key principles that have emerged during the assessment phase of the Capacity Development Initiative and which are outlined by the GEF for the NCSA process, namely;

- Ensuring national ownership, leadership and policy commitment and that built capacities are sustained;
- Adjusting the programme to the local context;
- Utilising existing coordinating mechanisms and structures where appropriate
- Making use of provisions and obligations of the Conventions
- Promoting comprehensive participation
- Adopting a holistic approach to capacity building
- Adopting a long-term approach to capacity building within the broader sustainable development context

There are essentially three different approaches that can be employed in Capacity Assessment;

1. Incremental

2. Transformational

3. Barrier-removal

None of these are mutually exclusive, although the most common approach is an *Incremental* approach. This relies on an analysis of differences between existing capacity and the capacity needed to achieve *existing* goals or obligations. This is the favoured approach and will require identifying the capacity needed within Swaziland to meet the binding commitments contained in the Conventions and to determine how best to develop this capacity. The incremental approach focuses on taking actions in the short- and medium-term and individuals, institutions and the system evolve in relatively minor ways with few dramatic changes at any level.

The *Transformational* approach to capacity development involves a detailed evaluation of overall goals and determination of the kinds of organizational structures and capacities needed to attain them without regard to the existing baseline. As such it is possible that very little of the existing capacity (individuals, institutions or system level) remain unchanged. Individual positions, sub-units and entire organizations may be eliminated or restructured, take on new mandates, and develop entirely new skill sets. This approach is a drastic one, requiring extended time horizons and is considered beyond the scope of this assignment.

The third approach, *Barrier-removal*, focuses on current failings of existing efforts and quick fixes to develop missing capacity. This can be achieved through development of interventions that fill gaps or shift capacity around. It is envisaged that such an approach will be employed in conjunction with an incremental approach. These two will form the foundations for the approach to the National Capacity Self-Assessment.

Create's approach shall be based on examination and definition of priority issues within the Global context, as articulated in the provisions of the Conventions and identification and definition of priority issues within context of Swaziland, determined through expert knowledge, interviews, own research and drawing heavily on an iterative workshop / stakeholder engagement process of feed-back and verification. This shall be followed by quantitative and qualitative analyses *within* and *across* each of the thematic areas with a view toward engendering the development of a culture of continuous self assessment.

Create Swaziland will use a participatory process of *Self Assessment*. It is envisaged that this will provide for and develop capacity through a process of experiential learning. This in turn will ensure sustainability of the process, inculcating amongst the participants and institutions a philosophy and recognition of the need for continual re-assessment.

The Create team has a detailed and intimate knowledge of the provisions of the Conventions and their approach will focus on these in relation to those issues most pertinent to the situation in Swaziland. In this context, we will draw heavily on the effect of desertification on land use, water resources and biodiversity within the Swaziland agricultural context. Issues of climate change will similarly be examined in relation to land use planning, water resources, along with food and water security, with the cumulative effects of these on the distribution of diversity and designation of ecotypes as the foundations of the nation's poverty alleviation, food security and sustainable development strategies.

Create's approach shall be a Consultative one based on the United Nations and Global Environment Facility *Guide for Self-Assessment of Country Capacity Needs* (GEF, 2001). It should be noted that this approach shall be contextualised within the national framework and in summary will include determination of the existing capacity, identification of needs through quantitative and qualitative analyses and highlighting priorities for the development and implementation of future programs. This will include initial identification of requirements under the Conventions and relate these to existing and future capacity requirements. In addition to this the Create team is able to draw on the personal experiences of several of the team members who have served in various capacities within government structures and programmes. In an effort to build national capacity and retain some institutional memory the team includes several junior consultants. These will serve under the supervision and mentorship of senior team members.

This approach shall be undertaken *within* and *across* each of the Thematic Areas, further facilitating the development of institutional and individual capacity to monitor and detect change in conditions pertaining to provisions within the Conventions, as well as linkages between local and national development priorities, such as sustainable livelihoods and development, agricultural production and poverty alleviation programs. These will be contextualised within Swaziland's National Development Strategy.

COMMENTS ON TERMS OF REFERENCE

The Terms of Reference for the *National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions* are included as Annex 1.

While the objective of the assignment is to determine national obligations under the Conventions, prioritisation of those obligations and recommendations of the capacity needed to adequately fulfil them, the process by which this is achieved should also engender the capacity and mechanisms for organisations and individuals undertake future self-assessments. This will enable them to monitor and evaluate the success of any subsequent interventions, assess progress and realign priorities in meeting the needs of the Kingdom of Swaziland and the provisions of the Conventions.

The proposed approach will rely heavily on interaction and feedback with key stakeholders, most importantly the focal points and their supporting technical committees for each of the Conventions. Initial contact has already been made with these representatives. We would request that the Project Management Group provide the team with a letter of introduction to expedite the process and procedures associated with arranging meetings with stakeholders. A draft version of this letter is included as Annex 2.

The Create team has proposed an iterative consultative process drawing heavily on the inputs and verification of information through a series of participatory discussions with focus groups comprised of key stakeholders. It is understood that limited funds are available for facilitation of stakeholder workshops. It is our belief that the process would benefit greatly from such discussions with stakeholders from key sectors, departments and ministries. This approach would also provide the tools facilitating and inculcating a philosophy of, and capacity for, future self-assessment. Preliminary cost estimates for this series of stakeholder meetings is included (Annex 3).

The proposed work schedule, submitted in accordance with the indications given by the Project Management Group, does not include time for amendments or corrections to any of the reports following the PMG comments. Create will endeavour to ensure that all comments are incorporated with due diligence and without additional expense or delay to the implementation programme.

The PMG has requested a mid-term report summarising the findings of Activities 1 to 9. This report is due four weeks after approval of the inception report. Activity 7, 8 and 9 relate more specifically to the Thematic Assessments. We therefore propose that the mid-term report provide a preliminary Table of Contents for the Thematic Reports but not be detailed further. This would mean that the mid-term report provides a more focussed stock-take of the current status quo in Swaziland. This information would be distilled to address each of the Conventions specifically under the Thematic Assessments which will deal more specifically with and report on Activities 7, 8 and 9.

METHODOLOGY

Increasing recognition of the important issues surrounding capacity have become such that definition of the concept has lost substance. References to capacity and to capacity development often carry with them certain connotations and are often misused and misinterpreted. It is therefore important to define from the outset exactly what is meant and understood by capacity and the assessment thereof. Attaining a common understanding of the definition of “capacity” is central to successful implementation of this study and its recommendations.

Definition

Our definition is derived from the GEF (2001; CDI, 2000), which has adopted the commonly accepted definition of capacity as “*the ability of individuals, institutions and systems to make and implement decisions and perform functions in an effective, efficient and sustainable manner.*” This shall provide the starting point for the process of identification and determination of Swaziland’s needs under the United Nations Conventions on Biodiversity, Climate Change and Desertification.

Capacity is comprised of three different components. These include Individual, Organisational and Systemic levels of capacity. These combine to create an enabling environment within which the country takes decisions in relation to the obligations of the Conventions, performs specific functions and undertakes particular actions in response to these obligations. Each of these component parts can be defined as the following;

Systemic Capacity: refers to organisational concerns in creating “enabling environments”. This includes policies and plans, economic, regulatory and accountability frameworks within which institutions and individuals operate, the relationships that exist, both formally and informally, between institutions and the distribution of institutional responsibilities.

Organisational Capacity: refers to institutional levels, focusing on the overall performance and functional capabilities of an organisation, access to finances, information, technology, infrastructure and other resources, its organisational structure and its ability to adapt to change.

Individual Capacity: refers to specific attributes enabling individuals to perform functions, make decisions and ensure these are implemented in an effective, efficient and sustainable manner. Common definitions include human resources, ecological and geographical conditions, scientific and technological capacities, levels of education, formal and informal skills development programmes, levels of responsibility, participation and accountability in decision making, understanding of roles and functions, incentives, salary structures, motivation and morale.

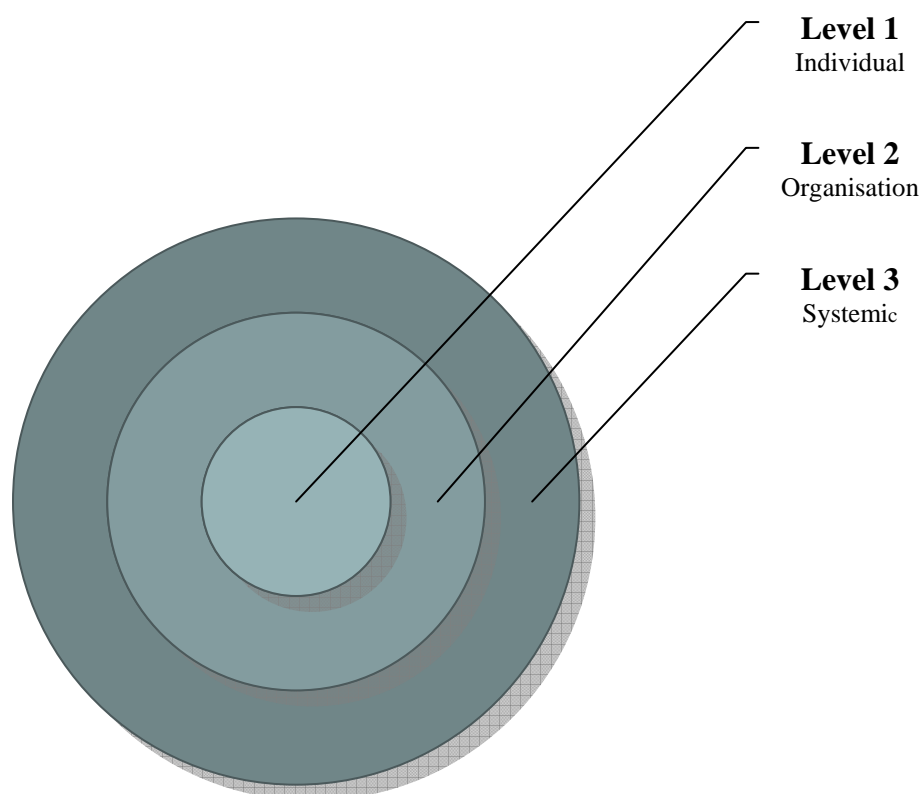
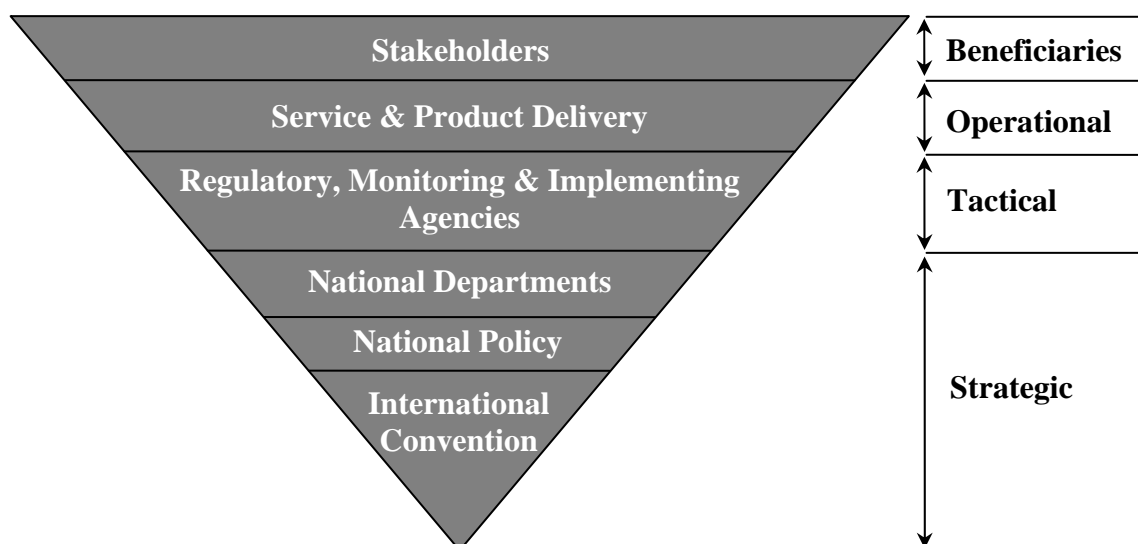


Figure 1. Schematic representation of the three spheres of Capacity

Traditional definitions of capacity are generally associated with the individual sphere of training, human resources development, knowledge acquisition, the learning organization and other concepts. While development of the individual sphere and the organisational sphere within which the individual works is central to capacity development, systemic capacity provides initial definition for the enabling environment. These three spheres of capacity form the framework for Capacity Assessments. In order to perform effectively and meet the organisational objectives the individual first requires the appropriate enabling environment. We have therefore chosen to look first at the Systemic sphere. This defines the enabling environment within which organisations and individuals must function.

Defining issues relating to Systemic Capacity will assist in informing the process of interviews at the individual and organisational level. Additional insights gained during the individual and organisational assessments will subsequently feed back in to the assessment of Systemic Capacity. For example, ratification of the UN Conventions themselves has provided an enabling environment for Swaziland to approach and address the issues covered therein in a strategic, integrated manner. This is represented in the diagram below, highlighting the enabling environment created by the Conventions themselves.



The Project Management Group has requested undertaking of a specific set of activities in order to achieve the objectives of the assignment. The approach to each of these is detailed below. Each activity shall consider Systemic, Organisational and Individual levels of capacity as required.

Assessment Tools

Using an *Incremental* and *Barrier-removal* approach (as defined in the Approach section above) various tools will be used to assess capacity. These will depend to a certain extent on the level of the capacity framework being examined, but will include SWOT (Strength, Weakness, Opportunity, Threat) and PESTLE (Political, Economic, Social, Technological, Legal, Environmental) analyses, desktop studies and review, structured interviews and focussed workshops, the extent of which will be determined by available funding.

Having agreed on a working definition the second phase shall examine the obligations *within* and *across* each of the Conventions. Several generic needs have been identified among the provisions and obligations contained within the Conventions, these include;

- cross-sectoral policymaking
- planning and programming
- assessment & monitoring of ecological & socio-economic conditions
- forecasting
- policy formulation
- reporting
- project formulation & development
- design & implementation
- dialogues, negotiation mediation, conflict resolution
- research
- systematic observation & information collection & exchange
- financial support for capacity building programs
- education & awareness training

Spatial Extent

Using the definitions of capacity, the assignment shall be executed at levels appropriate to the national context in Swaziland. As such due consideration will be given to national programmes toward poverty alleviation, sustainable development, environmental degradation, food security and climate change and increasing the productivity of Swazi National Land. Particular cognisance will be afforded to programmes focused on improving productivity of small-scale dry land farmers and the integration, monitoring and realisation of the intentions of the Conventions upon such programmes and groups.

Create propose to employ a cross-cutting strategic approach that includes the various administrative layers as well as an examination across each of the four regions in Swaziland. This will look at the institutional and individual capacity within the human element but by looking within each region will also consider the distribution of this capacity across the country.

Team Organisation and Structure

Create has put together a comprehensive team with a wealth of varied experience and expertise. The team includes Swazi nationals with a detailed knowledge of the local condition and first hand experience in dealing with the provisions of the Conventions within the national context. Key international staff provide the management and assessment tools by facilitating the assessment process through provision of broader contextual insights in to the provisions of the Conventions and integrating approaches from the human resource, administration and business management perspectives. Figure 3 illustrates the working organogram.

A core team is responsible for undertaking a process of data collection, review and documentation (Activities 1 and 2 of the ToR Annex 1). This information will be synthesised in a Stock Take report (Activity 6). A team of specialists, all of whom have been involved in the development of national development strategies and action plans specific to the various Conventions, will provide backstopping support and be responsible for reviewing this documentation to ensure its accuracy and overall contextual accuracy. It should be noted that we envisage this information will not relate specifically to the provisions of the Conventions *per se* but rather to the legal, institutional, infrastructural, technological, human resource and other issues that constitute the components of individual, organisational and systemic capacity defined by the scope of this assignment. This team will also be responsible for compiling the list of stakeholders for analysis by the strategy team with input from the backstopping team, Convention focal points and the Project Management Group.

A Project Management and Strategy team is responsible for preparing instruments and implementation of the assessment of capacity. This will be carried out within the context of the stock take report. The Backstopping team of experts specialised in each of the three Conventions will consolidate and review all material, providing the overall context for implementation of the assignment, and consolidating the findings in the Thematic Assessments. The focus is not on the Conventions *per se* and the

provisions contained therein, but rather on the Kingdoms' enabling environment and hence needs to be contextualised within the Kingdoms existing Institutional Framework. The team therefore includes a specialist in this field along with a Policy and Legal expert providing backstopping support to ensure that all findings, conclusions and recommendations are in accordance with legal constraints.

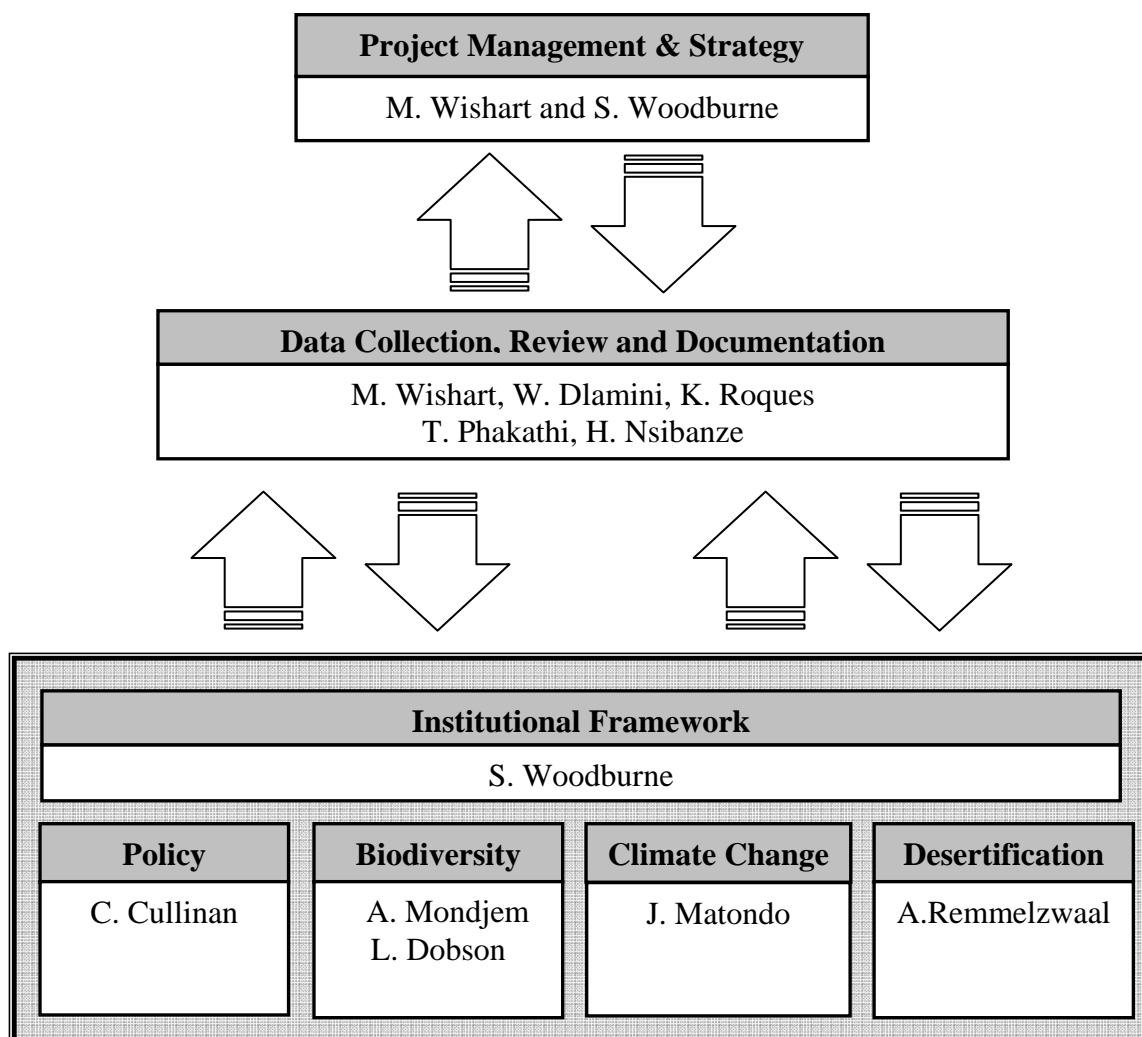


Figure 3. Organogram of the Team Structure, roles and responsibilities.

Team Coordination

The Team has not yet been able to meet due to various individual commitments. As an interim measure a briefing document has been prepared outlining the tools and detailing the approach, expectations and deliverables for each of the team members. It is envisaged that regular team meetings will take place weekly to review progress, discuss issues arising and plan the following week's activities. This will be coordinated by the Project Management and Strategy Team comprising Mr Woodburne and Dr Wishart.

Table 2. Team composition and responsibilities.

Staff	Position	Responsibilities
Project Management and Strategy Team		Overall project management, development of strategy, tools and scheduling
Woodburne	Project Management and Strategy	Project management and overall strategy
Wishart	Project Management and Strategy	Project management and overall strategy
Data Collection Review and Documentation Team		Definition of the status quo, stock take report, institutional map, report preparation
Woodburne	Data Collection, Review and Documentation	Definition of the institutional framework and enabling environment, data review, report compilation and review
Wishart	Data Collection, Review and Documentation	Definition of instruments, questionnaires for assessment, analysis, data review, report compilation and review
Dlamini	Data Collection, Review and Documentation	Collection of data relevant to Swaziland's institutional arrangements, government policies, documentation and data on the 3 Conventions,
Roques	Data Collection, Review and Documentation	Collection of data relevant to Swaziland's government policies, documentation and data on the 3 Conventions,
Nsibandze	G I S specialist	GIS specialist, collection of existing infrastructure, database and map production
Phakathi	Assistant: Data & Documentation Collection	Assistance in collection of data, documentation, general management and administration
Backstopping and Specialist Support Team		Review of deliverables, context to Convention, general backstopping support
Cullinan	Policy Framework	Review of documentation, reports and deliverables relating to policy framework
Matondo	Climate Change	Review of documentation relating to UNCCC, reports and deliverables
Rommelzwaal	Desertification	Review of documentation relating to UNCCD, reports and deliverables
Dobson	Biodiversity – Flora	Review of documentation relating to UNCBD, reports and deliverables
Monadjem	Biodiversity – Fauna	Review of documentation relating to UNCBD, reports and deliverables

Specific Activities

Activity 1. Collation and review of relevant documentation

This first phase shall examine the relevant documentation pertinent to the Swaziland context. It will examine Swaziland's current status (i.e. ratified or not), the international, regional and bi-/multi-lateral context, existing frameworks and Conventions, provisions and obligations within these.

While this will be an ongoing activity there will be an initial period of intense data collection in the first two weeks following approval of the Inception Report. The data collection team shall be responsible for gathering all relevant material. This material will be catalogued digitally and this catalogue reviewed by the specialists to ensure it is complete. The success of this phase, ensuring that all relevant material is identified, will provide the overall framework and therefore influence the success of future phases. As such, it is envisaged that the Project Management Group together with the Focal Points for each of the Conventions will provide important inputs, assisting in identification of all relevant documents and providing strategic focus. Initial contact has already been made with each of the focal points and cataloguing is under way.

Activity 2. Review and evaluate relevant strategies, action plans, government policies and thematic assessment reports, where they exist

Concomitant with the collection and review of documentation collected during Activity 1, an organogram of government line ministries, departments and agencies shall be elaborated (Figure 4). Strategies, action plans and initiatives of non-government implementing agencies, (eg NGOs and CBOs) and various scientific associations and professional organisations will be reviewed. The responsibilities of each in relation to the provisions of the Conventions will be highlighted and individuals identified. This shall identify the "chain of command", lines of communication, what information and data relevant to the Conventions is available, how information is disseminated and assimilated and identify specific management units tasked with management of each of the Conventions.

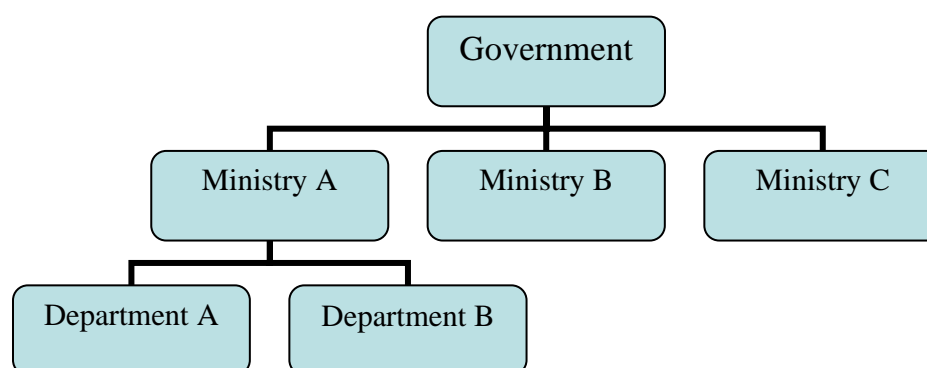


Figure 4. Organogram mapping the institutional arrangement of government ministries and departments.

In addition to the institutional map and policy review, we propose to produce a series of maps indicating the relationship and distribution of infrastructure and technological capacity, in relation to Swaziland's four zones. The objective of the assignment is to determine the national obligations and the capacity required to meet those obligations. This infrastructure is central to determining the current conditions within the country and forms the basis for monitoring compliance with the provisions of the Convention. The Conventions call for monitoring to define the existing condition and monitoring and evaluation measures. The Convention on Biological Diversity, for example, requires *monitor, through sampling and other techniques, the components of biological diversity* which is reflected in the GEF NCSA Guide (GEF, 2001). The Guide suggests that Thematic Reviews examine the relevant technical capacity and if this infrastructure is available and sufficient to address the objectives of the respective Conventions. We will therefore include an determination of whether or not relevant information and databases exist, where are they located and who has access to them and will include a review of weather and river gauging stations, conservation areas, land and soil types, population densities et cetera and shall form a separate section, Infrastructural Capacity Assessment, in the mid-term report.

Activity 3. Identify and describe key capacity requirements or implications of Conventions

Through synthesis of information derived from the first two Activities the evaluation of national frameworks, action plans, agreements, policies and thematic assessment reports shall be juxtapose against the review and evaluation of relevant strategies.

A matrix, of the type indicated below, will be developed to analyse the existing government response to the obligations and priorities contained within the Conventions. This shall assist in identifying gaps and recommendations for prioritising the development of future plans. Capacity shall be determined and examined according to the definition above, namely, Individual, Institutional and Systemic. Backstopping experts in each of the Conventions will provide contextualise the requirements for facilitation of this stage. The catalogue of relevant documents shall give insight as to whether or not these documents are being prepared, and if not why not, and by whom they are being prepared which by so doing will define the location of the existing capacity.

Requirement	FCCC	CBD	CCD
National Action Programmes	✓	✓	✓
National Inventories	✓	✓	
<i>et cetera.....</i>			
<i>et cetera.....</i>			

Activity 4. Identify key stakeholders that have capacity obligations to implement the Conventions

From the results of Activity 3 involving translation of the international obligations outlined in the Conventions to definition of the national context, a Stakeholder Analysis will be carried out according to the criteria defined in Table 3, which is presented below. A Stakeholder Analysis is an analytical approach for assessing potential influence in a process. A stakeholder is defined as persons, groups, organizations, systems, etc., that have a 'stake' in a process (eg. a development project) and that are either likely to be affected by the process, whose support is needed or who may oppose the process. The Stakeholder Analysis identifies the stakeholders and maps out their relative power, influence and interests in a given process.

The Stakeholder Analysis will be informed by the institutional map. It will involve identification of key stakeholders at all levels of government. This will include Ministers who are responsible for the Conventions and defining the vision and mission statements for their ministries, to those involved in the project management process of the Conventions, through to those tasked with the responsibility of implementing or collecting information pertinent to the Convention. This will include Permanent Secretaries, quasi government agencies, institutions, senior managers, national experts and development agencies – for example Swaziland Komati Project Enterprise, Swaziland National Trust Commission, Swaziland Environment Authority. It is envisaged that existing government technical working groups and focal points for each of the Conventions will be available and form an important link in facilitating such a process.

The Stakeholder Analysis shall also include educational institutions, private enterprises, CBOs, NGOs and individuals as custodians of and dependents upon the environment. For example, private game parks and protected areas do not have specific obligations under the Conventions but have the capacity to ensure protection and meeting of national obligations. Similarly individual farmers may not have obligations under the Conventions but have an important role in ensuring sustainable use of the Kingdoms lands and are therefore directly affected by provisions and approaches of the Conventions. Similarly, the University of Swaziland is responsible for developing human and intellectual capacity to meet the needs of the country while many CBOs are potentially important contacts for information pertaining to obligations and reporting requirements under the Conventions.

For the analysis, stakeholders will be categorised according to various criteria. These are detailed in Table 3 and include such factors as stakeholder position, level of interest, role and potential influence over processes relating to and implementation of the Convention/s. Classification criteria will allow stakeholders to be identified according to each of the Conventions as well as according to specific sectors, levels of importance, geographic location, et cetera.

A specific section detailing the Stakeholder Analysis shall be included in the mid-term report.

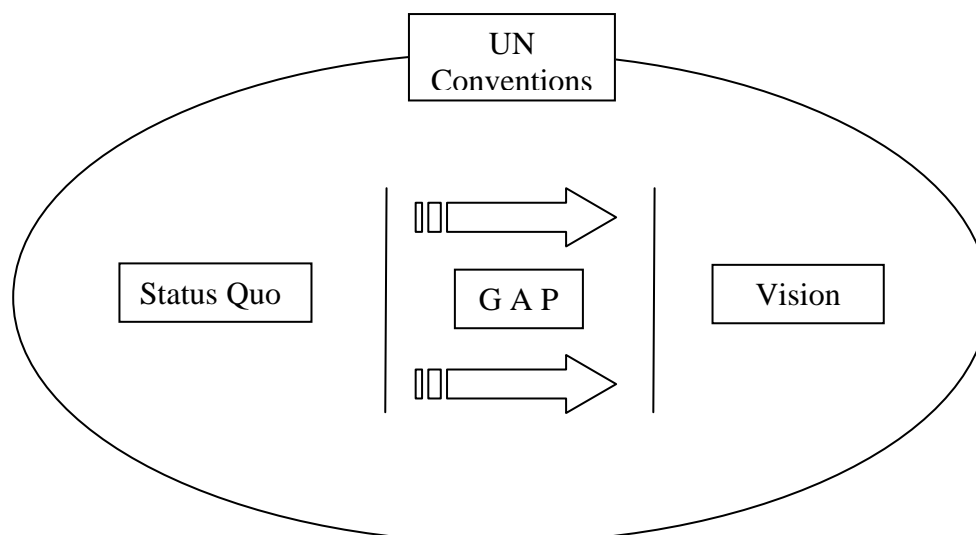
Activity 5. Develop a programme of work to identify capacity constraints and priority issues in implementing the Conventions

This Phase shall be based on the premise of Participatory Self Assessment through formal and informal interviews, field assessments and workshops. The technical working groups for each of the Conventions will constitute an important focal point during this phase.

Based on the Stakeholder Analysis and review of key documents a matrix shall be developed for each level of stakeholder facilitating a semi-quantitative assessment. Capacity shall be assessed at individual, institutional and systemic levels. Profiles shall be developed for formal quantitative analysis based on numbers of staff, level of qualifications and distribution. Organisational capacity will be quantitatively determined, including vehicles, gauging and weather stations, hydrometric networks with the view toward providing the information for meeting the Conventions requirements. The Technological Capacity shall also be assessed looking at internet access, levels of IT and support, satellite recording and relaying stations, programmes and information linkages. Other capacity issues identified during preceding activities will be incorporated.

Activity 6. Undertake stock-take and gap analysis of existing capacity (systemic, institutional, individual) of key stakeholders to implement Conventions

A stock-take is simply a review and summary of what's been done in terms of implementing the Conventions (national reporting, technical studies, regional cooperation, etc), assessing capacity and developing capacity. The Stock-take results in a document that is used as a basis for future discussion and for designing the future activities in the project. Information derived from the desktop study, interviews, stakeholder analysis through Activities 1, 2, 3 and 4 will be summarised and serve as the "stock-take" of the current status quo in Swaziland. This will provide the benchmark against which the capacity needs shall be analysed. The Stock-take will provide a thorough, balanced picture of the current situation in Swaziland and the results and outcomes from previous activities.



The Stock-Take Report shall include the following;

- A catalogue of related documents, projects and exercises, both ongoing and previous. This will be broad based and inclusive to ensure that the NCSA builds all past experience, lessons learnt, existing country-specific analyses. Thus, it will not be limited only to official government sources but consider university studies, unofficial government exercises, NGOs studies, etc. This will include prepared reports to the three Conventions, relevant or called for Strategies and Action plans, assessments of land, water and forest resources, preparation of national sustainable development strategies, environmental action plans, Agenda 21. It will also include similar exercises for other international environmental Conventions and agreements, and capacity assessments.
- A discussion of the main Convention areas not addressed by the related exercises;
- A discussion of the lessons learnt from the previous and related exercises;
- A discussion of the main findings in terms of capacity.

Through determination of the status quo and stakeholder participation a gap analysis will be carried out within the framework provisions of the UN Conventions, indicated in the previous diagram. This will rely on the summary of information collected in the preceding phases and in identification of the different visions as interpreted within the Swaziland context.

Mid Term Report

The Project Management Group has requested a mid-term report summarising the findings and outcomes from Activities 1 – 9. This is to be submitted four weeks after the approval of the Inception Report. We propose that this report include only the findings from Activities 1 to 6 and that these subsequently be distilled to form the basis of the Thematic Profiles detailed in Activities 7, 8 and 9.

The mid-term report will therefore constitute a stock take of the status quo and form a discrete stand alone reference volume. Information contained therein shall be distilled and key elements abstracted to form the foundations of the three Thematic Reports on each of the Conventions due two weeks after the mid-term report.

Activity 7. Prepare Thematic Profiles describing all capacity-related issues in descriptive and neutral manner and determine priorities as distilled from existing studies and analyses

The NCSA Thematic Profiles will be prepared through a process of desktop study and review of existing material distilled from the stock-take report, interviews, focussed discussion groups and some limited site visits. The Thematic Profiles will include a succinct summary of the strength and weaknesses in the country related to implementing the related Convention. This will be formulated through specialist input and extensive consultation.

A comprehensive table of contents for each of the Thematic Profiles will be included in the mid-term report for comment. A preliminary draft table of contents is included in Annex 4. The report will identify and validate priority areas for action, and include a general discussion of existing capacity in the priority areas. This will include consideration and analysis of capacity at each of the three levels (systemic, institutional and individual).

The Thematic Profiles will include written description of the results distilled from the preceding Activities. This will determine the “state of the nation” in terms of each of the Conventions over-riding themes, constraints and capacity issues, along with broader constraints such as financing and resourcing.

These themes will provide summaries of the findings from the Stakeholder Analysis and interpretative review. It will venture to articulate the envisaged capacity constraints derived from research and stakeholder consultation.

We propose that the findings from the Thematic Assessments should be workshopped under each of the Convention themes, a budget estimate for which is included in Annex 3. The idea behind these three workshops would be to host small specialist meetings with key stakeholders to inculcate and facilitate the process of self assessment. These meetings would also provide a valuable opportunity to confirm the validity of the results from the Thematic Assessment.

Activity 8. Review and analysis of cross-cutting issues and evaluation of capacity constraints and complementarities to identify opportunities for synergy and inter-Convention cooperation

A comparative summary of provisions contained within each of the Conventions has been undertaken by the United Nations. In addition however, the Kingdom of Swaziland benefits from its relative small size and an Integrated Strategic Development Framework will be developed that will look to integrate the provisions of the Conventions into regional planning. Analysis will include review of the matrix developed under Activity 3 to look at the provisions and responsibilities within the Conventions with a view to highlighting over-lapping and cross-cutting issues.

Requirement	FCCC	CBD	CCD
National Action Programmes	✓	✓	✓
National Inventories	✓	✓	
<i>et cetera.....</i>			
<i>et cetera.....</i>			

A link analysis will be used to identify opportunities for synergies and inter-Convention cooperation. We will analyse the relevance and potential strategic usefulness of these opportunities, determine a discrete set of linkages that could be pursued and examine capacity constraints to achieving these. This will contribute to the overall global environmental protection envisaged within the Conventions while potentially adding value to national development initiatives through integrating

environmental protection, community based tourism, etc. This will be included in the programme for the aforementioned Workshop.

Activity 9. Identify key priority cross-cutting issues for each thematic area

A comparative summary of provisions contained within each of the Conventions has been undertaken by the United Nations. Using this as a template and having defined the manner in which the Conventions interact, further analysis will highlight existing links and more importantly the potential for improved linkages or efficacy of existing links. The results from the previous activities during the process of the assessment will be synthesised. The Thematic Workshops will be important in prioritising key issues and identifying potentially cross cutting issues. These will be considered in relation to the findings of the UN study. The findings from the workshops, experts and experience will be juxtaposed against the findings from the UN study to highlight those issues and capacity constraints that are common to all three Conventions. Once identified a priority matrix will be used to undertake more detailed analysis.

The links analysis will superimpose the organogram of government institutions with key priorities to facilitate examination of existing links and the potential for new or improve linkages among government and broader civil society.

Development and accuracy associated with the priority matrix improves according to the experience and input of those conducting the analysis. This exercise would benefit greatly from a focussed workshop of key stakeholders. Issues are identified subsequent to which each stakeholder is requested to prioritise using a numbering system the key issues. The finding arising out of this exercise can assist in providing an objective assessment of the issues and their relative importance. It may be sufficient to undertake this exercise with focal points for the Conventions and backstopping team members,

Activity 10. Identification and description of key capacity constraints of identified stakeholders, suggestions for optimal capacity levels required for sustainable implementation of Convention obligations.

Identification and description of the constraints shall include synthesis from the previous phases along with interpretive description of the global, regional and local context within the Conventions need to be implemented. Information gathered from the iterative workshop process with Stakeholders will be incorporated in to the findings from previous stages with a view toward synthesising the description of key constraints.

Such an examination is based on the desktop review and analysis of key documents and previous initiatives which will inform the development of key guiding questions. These questions will be used in consultation with key stakeholders to probe the capacity constraints. Examples of the types of questions that will be used to guide the process of assessment through interviews with key stakeholders are given below.

Guiding questions facilitating the assessment of capacity in relation to the UN Conventions on Climate Change, Biodiversity and Desertification.

Systemic Capacity	Organisational Capacity	Individual Capacity
<p><i>Policy Framework</i> Is the overall policy environment conducive?</p>	<p><i>Management Framework</i> Do the institutions have clearly defined & understood visions, mission statements & mandates?</p>	<p><i>Job Requirements and skill levels</i> Are they correctly defined and are the required skills available?</p>
<p><i>Legal & Regulatory Framework</i> Is appropriate legislation in place & are they effectively enforced? Including cultural mores.</p>	<p><i>Culture / Structure / Competencies</i> Are the structures & management effective?</p>	<p><i>Re / Training</i> Is there appropriate skills development taking place? How is this prioritised, managed, individuals identified?</p>
<p><i>Management & Accountability Framework</i> Are institutional responsibilities clearly articulated? Is there any accountability?</p>	<p><i>Processes</i> Do institutional processes (planning, quality, mgmt, M & E) work effectively?</p>	<p><i>Career Progression</i> Are individuals able to advance & develop professionally? What mechanisms are in place?</p>
<p><i>Economic Framework</i> What market forces are at work, how influential & how effective are they?</p>	<p><i>Human Resources</i> Are they sufficient, with adequate skills, appropriately deployed, with incentives, continuity, retention.</p>	<p><i>Accountability / Ethics</i> Is responsibility effectively delegated & is there any individual accountability?</p>
<p><i>Systems Level Resources</i> Are necessary HR, financial & information resources available?</p>	<p><i>Financial Resources</i> Are they sufficient, managed effectively, allocated appropriately?</p>	<p><i>Access to Information</i> Is there adequate access to information and how is info accessed & deployed?</p>
<p><i>Processes & Relationships</i> How do different institutions & processes interact? Do they interact positively & effectively?</p>	<p><i>Information Resources</i> Is information sufficient, how is it distributed and communicated and managed?</p>	<p><i>Personal / Professional Networking</i> Is peer exchange & development taking place?</p>
	<p><i>Infrastructure</i> Are there sufficient material requirements (bldgs, computers, gauging stations, vehicles) deployed appropriately and managed effectively?</p>	<p><i>Performance / Conduct</i> Is performance assessed? How? Are there reward mechanisms & incentives? Are these sufficient to promote excellence?</p>
		<p><i>Values, integrity and attitudes</i> Are values, integrity, attitudes defined?</p>
		<p><i>Morale and Motivation</i> Are these adequately maintained?</p>
		<p><i>Communication</i> Are communication mechanisms effective?</p>

Activity 11. Identify problems faced in addressing the identified priority issues within each thematic area and identify the or root cause(s) of the problem and at what level these capacity constraints occur (systemic, institutional, individual)

The iterative stakeholder consultations based on summaries of information gathered during previous phases will highlight many of the problems faced in addressing the identified priority issues under the Conventions. Formal analysis of the consultation process and information garnered from the research and review phase will be synthesised to reveal each of the problems in relation to the provisions of the Conventions. A Root Cause Analysis, which provides a tool for diagnosing fundamental problems and challenges and defining key interventions to address these issues, will be employed. The root cause analysis will assist in providing a clear understanding of the capacity constraints, help define priority areas, and assist the process of determining necessary actions to re-move capacity constraints.

The root cause analyses will draw on consultation and involvement of the focal points, experts in the respective Conventions along with other practitioners and decision-makers. These three groups are all necessary to ensure technical accuracy and ownership over the findings. The root cause analysis is best done in a workshop or working-group situation and this activity could be combined with the specific Thematic stakeholders focus meeting if financing is available. Such an analysis would include the following steps:

1. Identification of the problem
2. Determining the significance of the problem
3. Identifying the causes (conditions or actions) immediately preceding and surrounding the problem
4. Identifying the reasons why the causes in the preceding step existed, working back to the root cause.

The root cause analysis continually probes the reasons underlying a problem by asking the question *why?* until an answer is identified that can be addressed. This is used to define the fundamental reason which, if corrected, will prevent recurrence of the problem. This root cause is the stopping point in the identification phase. Through a facilitated stakeholder meeting the answers to this question and findings are written on small pieces of card and pinned to a board. They are moved until all participants are satisfied that they accurately represent the actual situation. The results from this exercise will be presented as a *problem tree*, a diagram linking all the root causes, causes and problems. This tree will illustrate clearly *bottlenecks*. A bottleneck is one cause that lies at the root of many problems, and removing this cause will have a major impacts. Problem trees can also reveal causes that underlie problems in all three Conventions; addressing the one cause will therefore improve implementation across all three Conventions.

Activity 12. Identify opportunities for capacity building or development to address the identified capacity constraints for each thematic area

Having identified the problem the focussed meeting of key stakeholders will assist in identifying their own gaps and capacity needs. This process will help to engender and enable individuals and institutions to move toward bridging those gaps. Communities shall be helped to identify capacity gaps, but also how to then identify and access opportunities to overcome these gaps.

Based on the GAP analysis and outcomes from the identification and descriptive process, strategies for development of a capacity programme will be made. This will include an outline monitoring and evaluation programme along with a template for deterministic solution pathway to enable identification of interventions and development options.

Activity 13. Prepare a final report presenting the findings of thematic assessments and evaluation and assessment of synergy opportunities and cross-cutting issues and priority issues.

The final report shall include a summary of the over all approach along with excerpts from each of the individual reports on the various different phases. The final report will include the solution pathway and outline methodology for self assessment and adaptive monitoring and evaluation measures. The proposed approach shall engender a culture of self assessment and provide the foundations for the identification and development of future action plans and funding proposals. A preliminary draft table of contents for such a report is included in Annex 5.

Activity 14. Presentation of final report and findings to national stakeholder workshop

Following approval of the findings from the final draft report the team from Create will assist the Project Management Group in presenting the findings and outcomes to a stakeholder workshop.

Activity 15. Finalisation of report and submission to PMG for approval

Following the workshop the team from Create will incorporate the comments and discussion points from Stakeholders and finalise the report for approval by the Project Management Group.

WORK PLAN

The following schedule details the proposed programme in relation to the activities detailed above.

ANNEX 1 TERMS OF REFERENCE

PREPARATION OF THE NATIONAL CAPACITY SELF-ASSESSMENT REPORT ON NATIONAL CAPACITY NEEDS, CONSTRAINTS AND PRIORITIES FOR THE IMPLEMENTATION OF THE CLIMATE CHANGE, DESERTIFICATION AND BIODIVERSITY CONVENTIONS

A Request for Proposals is called for by the Swaziland Environment Authority to contribute to an ongoing project assessing the capacity needs of national stakeholders in implementing the three key Rio Conventions (climate change, desertification and biodiversity).

Background

Over the last decade, capacity constraints have been increasingly recognised as a main obstacle to sustainable development in many countries. Accordingly, the development community has paid increasing attention to capacity development and capacity assessment in its policies and projects. In addition, a large number of regional and international agreements and Conventions have come into force over the last two decades. Each places additional demands on the capacity of participating countries. This lack of capacity has been identified as a key obstacle to the effective implementation of the Conventions.

In this context, the Government of Swaziland in cooperation with the UNDP is currently undertaking a National Capacity Self Assessment (NCSA) with respect to three global conventions: UN Framework Convention on Climate Change (UNFCCC), UN Convention on Biological Diversity (UNCBD) and UN Convention to Combat Desertification (UNCCD).

The NCSA process provides Swaziland with an opportunity to review her global environmental responsibilities she has assumed since the Rio Earth Summit and determine how to reconcile these responsibilities with national sustainable development priorities. In particular, the NCSA process has three aspects that make it a particularly valuable exercise. First, the NCSA process can carefully examine past capacity development efforts focused on the three thematic areas in order to derive lessons from the successes and failures of specific interventions. Second, the process allows stakeholders the freedom to explore potential “win-win” situations between their global environmental obligations and local and national environmental challenges and opportunities. Third, with its unprecedented focus on analysing issues that cut across the Rio conventions, the NCSA represents a critical step in effective implementation by promoting a more integrated and synergistic approach.

Lessons learned from past projects seem to suggest a need in countries for capacity building measures to strengthen co-ordination of environmental policy formulation

and implementation among sectoral authorities at the national (and local) levels for global environmental management.

A key deliverable of the overall NCSA process is an Action Plan for Capacity Development which outlines - for each thematic area of biodiversity, climate change and desertification as well as across the thematic areas - priority issues, capacity constraints and opportunities for capacity development.

Potential Benefits Flowing From a National Capacity Self-Assessment for Global Environmental Management (NCSA)

The Government of Swaziland has recognised the need for a concerted effort to strengthen Swaziland's capacity to manage the global environment and has thus decided to undertake this NCSA process to identify the gaps and opportunities in building its capacity. Issues such as unused, misused, underused or overburdened capacities need to be identified and gaps or constraints that cut across several sectors need to be addressed as a joint effort by different stakeholders.

Study Objective

The objective of this study is to identify national capacity constraints and priorities to meet binding commitments contained in the three Rio Conventions on biodiversity, climate change and desertification and determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan.

Scope of the Work

Under the overall guidance of the NCSA Project Management Group (PMG), and the direct supervision of the NCSA Project Coordinator (PC), the Consultancy will undertake a cross-cutting capacity assessments of key stakeholders and institutions for the implementation of the climate change, desertification and biodiversity conventions.

Capacity assessments will be conducted within and across the thematic area of each convention (climate change, desertification and biodiversity). Instead of focusing upon one aspect of capacity development, the NCSA aims to address all aspects of capacity - systemic, institutional and individual and local and national levels.

In order to develop specific opportunities for capacity building within the three thematic areas of biodiversity, climate change and desertification, a good understanding of the baseline situation for each of the respective area is essential. The availability of a thematic profile/situation analysis can provide insight and guidance into major challenges and opportunities for future capacity building interventions. It is with this information in hand that priorities can be identified (or confirmed) and related capacity constraints and opportunities for capacity building determined. Preparing a separate profile for each of the thematic areas is considered to be important to obtain a clear understanding of each thematic area. While various options exist regarding the magnitude of thematic profiles and the process selected for preparing the profiles, it is important that all interested and affected parties have an opportunity to contribute to the preparation of the profiles.

The thematic assessments will embrace three levels of capacity assessment and development - individual, institutional and systemic:

Capacity assessment and development at the individual level refers to the process of changing attitudes and behaviours - imparting knowledge and developing skills while maximising the benefits of participation, knowledge exchange and ownership.

Capacity assessment and development at the institutional level focuses on the overall organisational performance and functioning capabilities, as well as the ability of an organisation to adapt to change. It aims to develop the institution as a total system, including individuals, groups and the organisation itself.

Capacity assessment and development at the systemic level emphasises the overall policy framework in which individuals and organisations operate and interact with the external environment, as well as the formal and informal relationships of institutions.

The study will focus on capacity related issues that are common across the conventions, assessing the capacities needed to address these in a synergistic manner, including needs associated with strengthening existing institutional mechanisms and developing appropriate networks. In addition this study aims to strengthen the dialogue, information exchange and cooperation amongst all stakeholders.

It is expected that the successful Consultant will undertake this study in a highly participatory manner with detailed consultations with identified stakeholders and institutions using methods such as workshops and focus group meetings amongst others.

Activities to be Undertaken

To realise the NCSA Study Objective, the Consultant will undertake the following key activities for each thematic area:

1. Collate and review relevant documentation including the text and subsequent modifications/decisions to the three Rio Conventions
2. Review and evaluate relevant strategies, action plans, government policies and thematic assessment reports where they exist
3. Identify and describe the key capacity requirements or implications of the Conventions
4. Identify key stakeholders that are considered to have capacity obligations to implement the Conventions
5. Develop a programme of work to identify capacity constraints and priority issues in implementing the three Conventions
6. Undertaking a stock-take and gap analysis of existing capacity (systemic, institutional and individual) of key stakeholders to implement the three Conventions. The stock-take should produce a comprehensive overview of the current situation and previous capacity building activities
7. Prepare Thematic Assessment Profiles that describe all the capacity-related issues in a descriptive and neutral manner and determine priorities as distilled from existing studies and analyses
8. Carry out a detailed review and analysis of potential cross-cutting issues and

- evaluate capacity constraints and complementarities and the means to address them more effectively and efficiently
9. Identify the key priority cross-cutting issues for each thematic area
 10. Identify and describe key capacity constraints of the identified stakeholders and suggest minimum and/or optimum capacity levels required for sustainable implementation of Convention obligations
 11. Identify the problems faced in addressing the identified priority issues within each thematic area and identify the key or root cause(s) of the problem and at what level these capacity constraints occur (systemic, institutional and individual)
 12. Identify opportunities for capacity building or development to address the identified capacity constraints for each thematic area
 13. Prepare a final report presenting an analysis of the findings of the thematic assessments and an evaluation and assessment of the synergy opportunities and cross-cutting issues and priority issues
 14. Present report and findings to a national stakeholder workshop
 15. Finalise report and submit for approval by the PMG

Study Outputs

Although the following outputs are presented as key deliverable steps, the Consultant is advised that the NCSA National Report (the final outcome of this study) is an integrated study of capacity and the final report will combine the findings and analysis from all stages of this study into a final report.

The outputs shall include, for each thematic area:

1. Inception Report
 - a. Within 2 weeks from the date of appointment, the Consultant shall prepare an Inception Report to be presented to the NCSA Coordinator and PMG that describes your proposed workplan and methodology to implement this study. The workplan should be time bound and as detailed as possible.
 - b. The same report shall also identify gaps and constraints that these TORs may have overlooked and recommend a way forward. Cost implications can be discussed with the Coordinator and PMG.
 - c. The PMG will require 5 copies of this report and a digital version on a CD.
 - d. The PMG would require 5 days for comment and feedback.
2. Mid-Term Report
 - a. Within 4 weeks from the finalisation and acceptance of the Inception Report, the Consultant shall prepare a Mid-Term Report to be presented to the NCSA Coordinator and PMG that describes the outcomes of Activities 1 to 9.
 - b. The PMG will require 5 copies of this report and a digital version on a CD.
3. Thematic Assessment Reports
 - a. Within 2 weeks from the finalisation of the Mid-Term Report, the Consultant shall prepare three thematic assessment reports that present the major findings of the capacity requirements, needs, opportunities, challenges and cross-cutting synergies for the implementation of each Convention.
 - b. The PMG will require 5 copies of this report and a digital version on a CD.
 - c. The PMG would require 5 days for comment and feedback.

4. Capacity Assessment Reports
 - a. Once a number of priority issues have been determined, relevant capacity constraints can be identified, within each thematic area. The guiding question in identifying the capacity constraint should always be, “What specific problems are preventing an adequate response to the priority issues?”
 - b. Within 2 weeks from the finalisation and acceptance of the Thematic Assessment Report, the Consultant shall prepare a Capacity Assessment Report that presents the initial findings and analysis of the Activities 10 to 12.
 - c. The PMG will require 5 copies of this report and a digital version on a CD.
 - d. The PMG would require 5 days for comment and feedback.
5. National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions (Draft Report)
 - a. Taking into consideration the results from the previous assessment phase, it should be possible to synthesise the results into a single concise document, the National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions Report. This document will serve as an important tool to brief national decision-makers as well as external funding agencies about specific capacity needs to protect the global environment.
 - b. Within 2 weeks from the finalisation of the Capacity Assessment Report, the Consultant shall prepare his integrated draft National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions Report which synthesizes findings and recommendations from the thematic analysis.
 - c. The PMG will require 5 copies of this report and a digital version on a CD.
 - d. The PMG would require 5 days for comment and feedback.
6. National Stakeholder Workshop
 - a. Upon approval of the draft report by the NCSA PMG, the Consultant will present the draft report to a stakeholder workshop arranged and organised by the Consultant at a venue suited to the expected number of participants.
 - b. The workshop aim will be to present the NCSA report and seek broad approval from stakeholders for the report and its findings and recommendations.
7. Finalisation of the National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions
 - a. Following the workshop the Consultant shall, taking into account comments received from stakeholders, finalise the report and present it to the PMG.
 - b. The PMG will require 5 copies of this report and a digital version on a CD.
 - c. The PMG would require 5 days for comment and feedback.

Professional Skills and Experience

To effectively undertake this assignment the Consultants (organisations or individuals/teams) are expected to have broad relevant experience and a skill base covering not only capacity assessments but with a detailed knowledge and understanding of capacity issues and synergies relating to biodiversity, climate change and desertification.

The PMG encourages the use of technical specialists resident in Swaziland and to form part of the Consultants team.

The Consultant must possess the following:

- Good knowledge on and extensive working experience in capacity assessments/building/development, environmental policy and management related projects/programmes preferably in SADC countries.
- Advanced degree in a relevant field, including public Client, business Client, environmental management, economics, natural resources management or law.
- Good knowledge of the objectives of the UNFCCC, UNCBD and UNCCD conventions and new developments in elaboration of synergies between international conventions.
- Working experience with international organisations.

Study Duration

It is expected that this study will take 16 weeks from appointment.

Budget

With funding support from the GEF the NCSA PMG are able to offer a maximum budget of \$36,800.00.

Proposal Presentation

As part of the proposal submission and evaluation process, it is likely that you will be required to make a verbal presentation and defence of your proposal to the PMG. During this 20 minute session, the PMG will be at liberty to ask questions and clarify any points that may arise from your submission, comment upon your workplan, methodology and general understanding of the study.

The date, time and venue for this presentation will be communicated to you in good time.

Study Related Literature

The implementation of the NCSA Project is guided by an international process and though this study forms an important part of the overall project, the Consultant is strongly urged to read around the project in the preparation of this RFP and in the execution of related activities. Useful documents include:

UNDP/GEF, 2003. National Capacity Self-Assessments UNDP/GEF Resource Kit (No. 3). <http://www.undp.org/cc/publications.htm>

GEF, 2001. A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management. <http://www.gefweb.org/>

ANNEX 2 LETTER OF INTRODUCTION



The NCSA Project Coordinator
Swaziland Environment Authority
Ministry of Tourism, Environment
and Communications
2nd Floor, Income Tax Building
PO Box 2652
Mbabane H100
Swaziland
Tel +268 404 6420
Fax +268 404 1719
Email seabiodiv@realnet.co.sz

To whom it may concern,

Re: Letter of Introduction

The Swaziland Environment Authority has appointed Create Swaziland to undertake an assessment of the country's capacity to implement the United Nations Conventions on Climate Change, Desertification and Biodiversity (Contract N^o: NCSA/UNDP/SEA/CC/01).

In order to ensure successful implementation of the assignment and that we maximise the benefits derived from the process, we solicit your support in affording them access to whatever assistance and documentation they may require in undertaking this assignment. We would be grateful if you could identify any documents or data that may be pertinent.

Should you have any queries or wish to find out more about this process please do not hesitate to contact the me on the number above.

Yours sincerely,

Rex Brown.

ANNEX 3

STAKEHOLDER MEETINGS

A number of additional stakeholder meetings have been proposed to facilitate the assessment of capacity. It is proposed that individual stakeholder meetings should be held for each of the thematic profiles. These should be limited in number but should include representatives of all interested national, regional and local ministries / agencies, universities and research institutes, industrial and professional organisations, labour organisations, and environmental, consumer and other interested community-based groups. The representatives of the various national ministries should be high-level officials with sufficient authority to ensure the required input of various ministries in the NCSA process. These should be used to verify information collated during the first phase of the assignment, to define constraints and issues arising from implementation of the Conventions and in meeting the obligations contained therein. The meetings should probe the root causes behind these and identify possible interventions to overcome these problems.

A fourth meeting of key stakeholders should be held to facilitate examination of cross-cutting issues. Attendance at this meeting should also be limited to ensure active engagement. It is proposed that those to attend be defined during the thematic meetings. Individuals will be identified at each of the thematic meetings and tasked with taking forward the issues identified to determine any over-lap or potential synergy with issues identified from the other stakeholder meetings.

We would envisage no more than about 20 personal at each of the thematic stakeholder meetings, with representatives from the Project Management Group and the Create team, totalling in the order to 30 participants.

	Unit	Unit Cost (Emalangeni)	N ^o of Participants	Total Cost
Tea and Sandwiches	participant	30	30	900
Lunch	participant	65	30	1950
Conference Fee	participant	10	30	300
Total	meeting	105	30	3150

	Unit	Unit Cost (Emalangeni)	N ^o of Meetings	Total Cost
Cost	meeting	3150	4	12600
Contingencies	%	20	4	2400
Total Global Budget			4	15000

ANNEX 4

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THEMATIC REPORT

The following should be considered a draft version and has been adapted from the GEF Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management (GEF, 2001).

Executive Summary

- a. Summary of the NCSA, including proposed next steps
- b. Introduction and Background

1. Rationale and context of the NCSA

2. Overview of participation and preparation process

3. Literature Review

- a. Summary of existing national thematic studies, reports, policies, legislation, strategies that provides important background information for the preparation of the Thematic Profiles including, but not limited to:
 - i. Biodiversity
 1. National Biodiversity Assessments,
 2. Strategies and Action Plans
 3. Forestry Assessments, Strategies and Action Plans
 - ii. Climate change
 1. UNFCCC National Communications
 2. Climate Change Assessments, Strategies and Action Plans
 - iii. Desertification/Land degradation
 1. National Action Programmes to Combat
 2. National Action Plan for the CCD and subsequent revisions
 3. National Reports on the Implementation of the CCD
 - iv. Cross-cutting and miscellaneous
 1. National Environmental Action Plans (NEAPs)
 2. National Sustainable Development Strategies
 3. National Agenda 21 and Earth Summit Reports
 4. Capacity 21 Programme Reports
 5. State of the Environment Reports
 6. National Conservation Strategies
 7. Biosafety Frameworks
 8. Environmental planning documents
 9. Capacity needs assessments
 10. Sector studies

4. Identified Thematic Priority Issues

- a. Summary overview of the existing situation and identified, confirmed or reviewed priority issues for climate change, biodiversity and desertification
- b. Detailed description of capacity constraints for the three thematic areas
- c. Presentation of project opportunities identified for building capacity in each of the three thematic areas

5. Opportunities for Synergistic and Cross-cutting Capacity Building Approaches and Projects

6. Presentation of opportunities for synergistic and cross-cutting capacity building approaches and projects

7. Summary of the process for preparing the Assessment

8. Description of the steps, the challenges, and the measures taken to overcome the challenges

9. Description of the benefits emanating from the process

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NATIONAL CAPACITY SELF-ASSESSMENT REPORT ON NATIONAL CAPACITY NEEDS, CONSTRAINTS AND PRIORITIES FOR THE IMPLEMENTATION OF THE CLIMATE CHANGE, DESERTIFICATION AND BIODIVERSITY CONVENTIONS

Executive Summary

- Summary of NCSA including proposed next steps

1. Introduction and Background

- Rationale and context of the NCSA
- Overview of participation and preparation process

2. Identified Thematic Priority Issues

- Summary overview of the existing situation and identified, confirmed or reviewed priority issues for climate change, biodiversity and desertification/land degradation

3. Summary of Capacity Constraints and Opportunities for Capacity Building in the Three Thematic Areas

- Detailed description of capacity constraints for the three thematic areas
- Presentation of thematic project opportunities identified for building capacity

4. Opportunities for Synergistic and Cross-cutting Capacity Building Approaches and Projects

- Presentation of opportunities for synergistic and cross-cutting capacity building approaches and projects

5. Elements of a Strategy for Capacity Building to Protect the Global Environment

- Presentation of strategy for capacity building and sustaining the capacity developed, both within and across the thematic areas, including, where applicable, overall goals, specific objectives and elements of an action plan

6. Proposed Next Steps and Follow-up

- Brief description of next steps that need to be taken in order to be in a position to begin developing and/or implementing proposed strategies (this section should clarify who is expected to do what)

Annexes

- Terms of Reference for NCSA process
- Thematic Situation Analyses/Profiles
- Persons and organizations / institutions consulted and their relations to the three conventions
- Workshop and meeting reports
- Description of tools and or methodologies used to undertake the study
- References