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GLOBAL ENVIRONMENTAL MANAGEMENT" (NCSA)**

CROSS-CUTTING ANALYSIS:

ASSESSMENT OF GENERAL NATIONAL CAPACITY NEEDS TO MEET OBLIGATIONS UNDER RIO CONVENTIONS

Astana, 2005

The Project "National Capacity Self-Assessment for Global Environmental Management" is implemented by the United Nations Development Programme (UNDP) and the Ministry of Environmental Protection of the RK (MEP RK) financed by the Global Environment Facility (GEF.) The Project was launched in 2004, it is aimed at identification of priority problems and national capacity needs for global environmental management, development of Action Plan on national capacity building for realization of RIO Conventions: UN Framework Convention on Climate Change, UN Convention on Biological Diversity and UN Convention to Combat Desertification..

The analysis has been prepared from March to July and directed to identification of synergy for capacity building in such focal areas as climate change, biodiversity and desertification. The capacity will also contribute to solving a number of problems of capacity building, rational use of global environment and sustainable development.

The relation between focal areas ensure broad possibilities: more deep understanding of general provisions of the conventions; partial coincidences between them will contribute to elaboration of coordinated and agreed approach to their realization at local and international levels. Such approach will bring to reduction of material costs, exclude duplicating of reporting and will promote increase of efficiency of this work on the whole.

Composite authors:

*Alexandr Belyi
Altynai Valikhanova
Vladimir Krainyuk
Abzal Baltabayev*

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"National Capacity Self-Assessment for
Global Environmental Management" Project

38, Bukei khan Str., room 113,
010000, Astana, Republic of Kazakhstan
Tel. +7326360 (ext. 134, 111, 121), fax +7327847
E-mail: alexandr.belyi@undp.org
Project Web site: www.caresd.net/capacity

TABLE OF CONTENTS

INTRODUCTION

Chapter 1. SYNERGY AMONG GLOBAL RIO CONVENTIONS

- 1.1. Interrelation between obligations under three conventions
- 1.2. Development of synergy elements among RIO Conventions in Kazakhstan

Chapter 2. GENERALIZATION OF RESULTS OF NATIONAL CAPACITY NEEDS ASSESSMENT FOR REALIZATION OF OBLIGATIONS UNDER UN FCCC, UN CCD AND UN CBD

- 2.1. Priority problems of the PK in the area of climate change
- 2.2. Priority problems of the PK in the area of desertification / land degradation
- 2.3. Priority problems of the PK in the area of biodiversity conservation
- 2.4. General assessment of the national capacity for performance of obligations under Conventions

CHAPTER 3. THE CHARACTERISTIC OF THE CENTRAL CAPACITY PROBLEMS OF FOR PERFORMANCE OF OBLIGATIONS UNDER CONVENTIONS

- 3.1. The used technique
- 3.2. Analysis of the central capacity problems of and the reasons causing them

Chapter 4. WAYS OF CAPACITY BUILDING OF KAZAKHSTAN FOR PERFORMANCE OF OBLIGATIONS UNDER CONVENTIONS

CONCLUSION

BIBLIOGRAHPY

ANNEXES

- Annex 1. Stages of self-assessment
- Annex 2. Cross-cutting areas of activity under RIO Conventions in various sectors and directions of economy
- Annex 3. Summary table of the general capacity problems under RIO Conventions
- Annex 4. Trees of central capacity problems

INTRODUCTION

The given analysis represents results of the important stage of UNDP/GEF Project "National capacity self-assessment for global environmental management" (NCSA); it is developed with the purpose of revealing the general (central) capacity problems under three global RIO Conventions.

One of the basic purposes of process of national capacity self-assessment is revealing the spheres where building of the capacity would allow achieving improvement of performance of all three conventions simultaneously. The given result should contribute to development of the uniform approach to capacity building for global environmental management at national level.

The project "National capacity self-assessment for global environmental management" is realized by the Ministry of Environmental Protection (MEP RK) jointly with the United Nations Development Program (UNDP) at financial support of the Global Environment Facility (GEF).

The analysis presents the results of crosscutting capacity assessment in three thematic areas:

- Climate Change (United Nations Framework Convention on Climate Change (UNFCCC));
- Biological Diversity (United Nations Convention on biological diversity (UNCBD));
- Combat Desertification / Land Degradation (United Nations Convention to combat desertification (UN CCD)).

Compilation of the given report was preceded with issuing of thematic profiles on each of the areas:

- Climate change,
- Combat desertification,
- Conservation of biodiversity.

These thematic reviews have formed a basis for the further work, namely, prioritization of thematic problems, and then identification of general or "cross-cutting" capacity issues.

The major principles for preparation of the given analysis were:

- *Use of existing coordination mechanisms and structures to the possible extend,*
- *Maintenance of all-round participation,*
- *Application of the holistic approach to capacity building.*

In this connection the great value was given to consultations in intersectoral Working Group created for these purposes and consisting of representatives of the ministries and departments, scientific institutes, representatives of NGOs and business. Activities of the

given Group entail the analysis of the root causes of the central capacity problems of the country, their prioritization and setting of strategic tasks to eliminate the revealed problems. Thus the most important step was to consider the basic difference of capacity problems from all others. It consists in answering the question - what is necessary to do to realize the thematic aspects (problems) of three RIO Conventions?

The first chapter of the analysis deals with information on synergy among global RIO Conventions, creation of opportunities of synergetic effect from realization of obligations under these Conventions. In the second chapter the results of assessment of national capacity constraints for performance of obligations on each of the Conventions are generalized. The third part is devoted to the description of the central capacity problems, and the fourth contains the ways of capacity building.

Thus, the purpose of the cross-cutting analysis is identification of capacity problems, which simultaneously impede the performance of three conventions, and also revealing of the integrated approaches simultaneously solving problems of three conventions as well as development problems.

Chapter 1. SYNERGY AMONG GLOBAL RIO CONVENTIONS

1.1. Interrelation of obligations under the three conventions

Synergy from Greek “synergía” stands for cooperation, assistance. Synergy may also be defined as "cumulative result of efforts exceeding the total sum of these efforts" [1]. In the aspect of application of this term to three Conventions it means joint and homogeneous performance of obligations and corresponding activities with increase of the total effect, rather than the actions carried out within the framework of each document separately.

Deeper understanding of general provisions of the conventions and partial concurrences between them from the point of view of separately taken country will promote the development of the coordinated and agreed approach for performance at local, national and international levels. Such approach will reduce material costs, will exclude duplication of the reporting and on the whole will promote efficiency increase. Definition of synergetic decisions on capacity building according to three RIO Conventions and in the general context of environmental protection activity and rational use can appear as effective way to increase the efficiency of this activity.

The aims of the Convention on Biological Diversity (CBD), Framework Convention on Climate Change (FCCC) and Convention to Combat Desertification (CCD) are complementary to a considerable degree. Climate change is one of the factors threatening to biodiversity, and is also considered as the factor of desertification. Necessity to slacken the speed of climate change with the purpose of natural adaptation of ecosystems to these changes is admitted by the FCCC. Such measures as conservation of forests and sustainable forest and other ecosystems management can simultaneously promote achievement of the aims of three conventions. It is possible to track other relations under RIO Conventions.

The sessions of the Conferences of the Parties of RIO Conventions in the last years called for strengthening cooperation between Conventions. Thus the following categories of possible joint activity have been determined:

- 1) Analysis of interdependence of global environmental problems and discussion of response measures,
- 2) Use of stimulation measures and discussion of methods of inclusion of aspects of biodiversity, desertification and climate change into each focal area.

Areas of crossing of RIO Conventions form three constituent components [2]:

- **Interdependence of problems** (it is known that environmental problems existing today are interconnected and interrelated).
- **Interrelation of obligations under conventions** (the accepted international environmental agreements comprise a number of general obligations and requirements on their performance).

- **Coordination of activities** (follows from first two marked components and represents joint efforts on implementation of these nature protection agreements as a complex).

Interdependence of problems.

Climate change, loss of biodiversity, desertification, deficiency of drinking water, degradation of woods, social and economic problems are connected to the whole complex of physical, chemical, biological and social processes. For example, climatic changes influence a global hydrological cycle, on functioning of ecosystems; accelerate degradation and desertification of lands. These negative effects can intensify influencing on each other and represent serious threat to productivity of lands, availability of fresh water resources, and also to conservation of biodiversity, etc.

For Kazakhstan, which occupies a midland position and distinguished by peculiar natural-climatic conditions, the most actual interrelations among three areas are:

- *Climate change and desertification*: according to the forecasts of KazNIIK [3] the dryness of the climate on the flat territory of Kazakhstan will increase, there will be a shift of moisturizing zones in northern direction maximum by 400 km;

- *Climate change and reduction of water resources*: in terms of global warming the climatic conditions of Aral Sea zone will worsen due to amplification of aridity of territories; an intensive reduction of glaciers in mountain areas will lead to deficiency of fresh water resources [4].

- Among other actual interrelations shall be noted: *loss of biodiversity and problem of data on afforestation (including saxaul) [5], desertification and water resources [6], etc.*

Interrelations of mentioned above problems and their topicality in Kazakhstan are shown in the commonness of social and economic consequences caused by them: poverty increase, loss of productivity in agriculture, growth of costs on adaptive activities, etc.

Interdependence of problems predetermines **interrelation of obligations** under the accepted international environmental agreements. Below is presented the fragment of the matrix of “Partially-coinciding requirements of RIO Conventions by the example of separate articles».

Table. Commonness of obligations set out by RIO Conventions

Obligations	CBD	CCD	FCCC
Preparation of National Reports			Article 4
Development of National and Regional Action Plans	Article 6	Article 9,10	Article 4
Data identification and monitoring	Article 8	Article 16	
Increase of the territory of Protected Areas	Article 8		
Legislation	Article 8	Article 5	Preamble
Scientific effort	Article 12	Articles 17,19 (b)	Article 5
Educational activities	Article 13	Article 5, 6,19	Article 6

Environmental Impact Assessment	Article 14		Article 4
Establishment of Centers for data compilation, processing and dissemination	Article 18	Article 18	
Public participation	Article 9	Article 19	Article 6
Systematic preparation of communications to the Conference of the Parties			Article 7
Information exchange	Article 17	Article 16	Article 7
Training activities	Article 12	Article 19	Article 6
Preparation and submission of National Reports	Article 26		Article 12
Data collection		Article 16	
Review of observation of obligations	Article 23		Article 7
Preparation of interim reports	Article 26	Article 26	Article 12

The analysis of guidelines of three RIO Conventions shows that they **are similar** in many respects. Concurrence of requirements under three Conventions can be tracked on:

- Development of national and regional plans and programs;
- Acceptance and perfection of the corresponding legislation directed to solve the problems;
- Researches in corresponding areas;
- Public education and awareness increase;
- Public participation in development and realization of the measures undertaken by the Parties.
- Professional training on corresponding questions.
- Reporting on measures accepted by the Parties for realization of provisions set out by the Conventions.

The synergy among RIO conventions is traced also in needs of the various data necessary for performance of obligations under these Documents. Comparison of needs under three RIO Conventions shows interrelation of needs in data on corresponding monitoring system, organization of the last one would allow reducing considerably the required resources and to increase efficiency of data collection and use for performance of obligations under three Conventions at once.

This statement is traced also in all three RIO Conventions where necessity of minimizing of duplication of efforts on data gathering, regular supervision and assessment of the corresponding information within the framework of performance of obligations of the parties is mentioned. Acceptance of adaptation measures to climate change owing to a drought, for example, assumes presence of knowledge not only in climate change, but also in water resources etc. Necessity to carry out coordinated actions directed on achievement of the purposes of these documents follows from interrelation of obligations under RIO Conventions.

Coordination of activities.

It is known that while growing the trees absorb and keep carbon. Woods or others

carbon absorbers within the next 50 years are capable to keep approximately 10-20 % of emissions from fossil fuel. Nevertheless, taking into account insignificant amount of woods in Kazakhstan and other factors it makes sense to develop and use low-emission technologies:

- *Preservation of existing carbon reservoirs* (for example, by improvement of farming or the terminations of deforestation);
- *Increase in volumes of reservoirs* (for instance by planting trees or increase in ability of soil to keep carbon);
- *Replacement of mineral fuel for renewable energy sources* (wind power, sun, fuel of biomass, etc.).

The list of activities shows that they are concentrated in the frames of 3 focal areas simultaneously: climate change, biodiversity and desertification.

Subject to effective management the wood and soil reservoirs besides reduction in the level of carbon dioxide in the atmosphere can play an important role in solving of social, economic and environmental problems. Healthy forests absorbing CO₂ can also prevent from soil erosion, contribute to nature protection and job creation in rural areas.

Improvement of agricultural management can considerably increase the capacity for performance of obligations under three environmental Conventions at once. Carbon accumulated in agricultural soil in most of the cases can be kept or increased in volume by application of methods of superficial plowing or without plowing the soil at all, to slow down the speed of decomposition of organic substances in the soil. Positive role can play the change of the function of this or that land area according to the soil characteristics, for example, the use of the land as a pasture after using as arable land. Application of leguminous cultures on pasturable lands by fixing nitrogen raises their productivity and the level of soil organic substance that in its turn positively influences accumulation of carbon. Reduction of soil erosion by terracing, arranging windshields and waste management can also prevent from losses of carbon (and nitrogen).

It is possible to lower to a certain degree emissions of methane on rice fields by using other methods of plowing, carrying out water-economic activities and crop rotation. On the whole more effective use of nitric fertilizers can lead to reduction in emissions of nitrous oxide - one of the strongest greenhouse gases.

From above-stated follows the conclusion that integration of efforts for performance of obligations under RIO Conventions is needed. It is especially important for the GEF which is a financial mechanism providing realization of conventions. Moreover, CCD especially provides cooperation with CBD and FCCC, including development and realization of joint programs (article 8).

1.2 Development of synergetic elements of RIO conventions in Kazakhstan

Now the activities under international environmental conventions and agreements directed on decision of priority environmental problems are carried out by the country. All interrelations between environmental problems and ways of their complex decision are well known enough in the country. The analysis that has been carried out within the framework

of self-assessment has shown the presence of sound capacity in scientific and industrial environment for development of such nature protection activities at which synergetic effects of interrelations are taken into account. The activity in various sectors of economy (at least at the stage of planning) takes into account these interrelations.

Within the process of national self-assessment the analysis of ten completed and on-going UNDP/GEF projects with synergetic elements among three conventions has been carried out. Using the reporting and other projects documents the matrix of partially conterminous spheres of activity of these projects has been filled as shown below.

TABLE

THE MATRIX OF PARTIALLY CONTERMINOUS FIELDS OF ACTIVITY (UNDER THREE FOCAL AREAS) OF COMPLETED AND ON-GOING UNDP/GEF PROJECTS IN KAZAKHSTAN

<i>№</i>	<i>Project title</i>	<i>Combat desertification/land degradation</i>	<i>Biodiversity</i>	<i>Climate Change</i>
1	2	3	4	5
1	Restoration of brush and grass ecosystems on degraded lands	2	3	2
2	The project of Central-Asian transboundary biodiversity	1	3	1
3	Preservation and sustainable use of biodiversity in Kazakhstani sector of Altai - Sayan mountain region	1	3	1
4	Complex preservation of priority globally significant wetlands as migrating birds habitat: a demonstration at three project sites	1	3	2
5	Regional preservation of biodiversity in Altay - Sayan mountain ecoregion	1	3	1
6	Development of the strategy for performance of obligations under Convention on biodiversity	1	3	1
7	Conservation and restoration of biodiversity of saxaul	2	3	2

	and tamarisk ecosystems			
8	Alatau Agrobiodiversity or conservation of wild apple-tree forests at foothills of Zailiskiy Alatau	2	3	1
9	Elimination of barriers for wind energy	0	1	3
10	Elimination of barriers for energy-effectiveness in central heat and water supply	0	1	3

The matrix is based on expert evaluation and reflects the conformity degree of the project profile to three focal areas (climate, desertification, biodiversity) from low (0) up to high (3).

Within the project on “Restoration of biological diversity of brush and grass ecosystems on degraded lands” in Aral Sea region restoration of biodiversity of pasturable vegetation was provided, development of distant pastures during spring-summer-autumnal season was carried out, thousands hectares of pastures with qualitative fodder stock were involved. All given results were directed not only on decision of the problem of biodiversity, but also on solving of the problem of desertification regarding land degradation, prevention of erosion and deflation, digression of pastures by searching the ways of formation of system of rational agriculture for restoration and further preservation of natural resource capacity of lands. Except for it the project also indirectly covers activities on climate change regarding preservation and increase in volumes of reservoirs of carbonic gas drains. Thus the given project on the declared purposes meets at once three GEF’s thematic areas and Operational Programs No 5, 13 and 15 (Overcoming constraints for energy efficiency and energy supply, preservation and sustainable use of agricultural biodiversity and sustainable management of land resources).

The analysis of the filled matrix shows that the majority of the purposes and tasks of on-going or already completed projects are directed on decision of three thematic problems at once: biodiversity, desertification, and climate. Such pilot projects financed by the GEF and other donors, are rather indicative for the country, demonstrating synergetic elements not only at the planning and preparatory stage, but also during realization of such activity on specific territory.

The researches which have been carried out within the framework of national self-assessment show that complex decision of environmental problems existing in the country corresponding to three focal aspects is possible. The developed and accepted programs and strategies for complex salvation of problems of Aral Sea region, Semipalatinsk nuclear testing site and other crisis regions prove it.

Experts state that **ecosystems** are the major basis of synergy among environmental conventions. All components of these systems are interconnected and exposed to

influence of external and internal factors.

Kazakhstani scientists understand the processes of interrelations of factors in ecosystems and necessity of realization of corresponding complex activities directed on simultaneous elimination of negative processes. In Kazakhstan function research institutions (Institute of Geography under MES of the RK,), a lot of research-and-production organizations (GIS "Terra", Forestry Research-and-Production Center, Kazgiproleskhoz), engaged in complex estimation and planning of nature protection activities covering three focal areas of RIO Conventions. Also in the country corresponding normative and-legal documents obliging nature users to carry out complex approach at environmental impact assessment, development and realization of activities directed on reduction of such impact and also restoration of natural environment (Law on Environmental Examination, makeshift instruction on EIA) are accepted.

The nature protection documents widely enough apply the so-called **ecosystem approach** [7]. Over the last years the scientists of the country widely discuss the problem of application of **geoecosystem approach** [8]. Numerous publications and scientific conferences testify to this [9,10,11]. There are theoretical developments on this issue, the part of which is already applied (for example, in landscapes assessment, at EIA of mining complex, etc. [12]).

As it is known [13] in ecosystems the relations between elements are considered centered, i.e. all of them are focused on one object – biota, acting as the owner, and the role of nucleus can act both a man, society or the population as a whole. In geoecosystems the special value of biota is kept (it is called a subsystem "owner"), but abiotical relations such as for example, air - water are necessarily taken into account (they are not investigated in ecosystem approach though these abiotic subsystems act as the main distributors of polluting substances influencing both on biodiversity, and land degradation and climatic system as well). Therefore, the geoecosystem approach has an advantage to be essential at synergetic realization of obligations under global environmental conventions.

As evident from above-stated, there is sound enough scientific capacity in the country for realization of the complex approach on protection of the global environment at national level.

However, such integrated approach mostly concerns to preliminary stage on decision of such problems and less to their practical realization. The reasons can be uncertainty of some theoretical aspects, influencing on practical realization of such ideas, and non-fitments in administrative structures complicating performance of such complex activities of different branches and sectors of economy and society.

The analysis of activity of ministries, departments and organizations in Kazakhstan, relating to performance of requirements of conventions shows an insufficient level of synergetic approach. Lack of coordination between various departments involved in work under international ecological projects that is a barrier to optimum planning of both national and international resources directed on activities for realization of such contracts is sharply felt.

At a level of this problem there is a real necessity to develop and deepen the synergy between agreements regarding their realization at national and local level. **Mainstreams of the conventions demand the reflection both in politics and at the level of executing structures.**

The analysis of requirements for building synergetic approach carried out during the project realization has shown the following future priority directions of Kazakhstan:

- Preservation of biodiversity in droughty areas;
- Pasture management;
- Prevention of changes in biodiversity and condition of lands due to shift of humidifying zones.
- Preservation of sustainability of natural and anthropogenous systems as a result of climate change, desertification and reduction of biodiversity.
- Rational use of arid lands, as a component of carbon drains.
- Increased use of sources of renewable energy considering the natural and climatic capacity of the territory.

There are also big opportunities in scientific area of problems, for example, in impact assessment of climate change on biological diversity and soil degradation, in estimation of vulnerability of certain geo ecosystems to climate change etc.

All specified directions to a greater extent relate to the following sectors of economy of the country:

- **Agriculture,**
- **Forestry,**
- **Power engineering.**

In conclusion it should be noted that building of synergetic elements for participation in decision of global problems of the environment at national level is connected to various factors on system, institutional and individual levels. The reasons why essential progress in this direction is not achieved yet are stated in details in the following chapters of the analysis.

Chapter 2. GENERALIZATION OF ASSESSMENT RESULTS OF CAPACITY CONSTRAINTS OF THE COUNTRY FOR PERFORMANCE OF OBLIGATIONS UNDER UN FCCC, UN CCD AND UN CBD

Results of preparation of thematic profiles have shown situation in each of the three areas, have defined the basic problems for performance of obligations under RIO conventions, opportunities in the area of capacity building for their realization in the future. These results are received from the analysis of the collected material, analysis of documents and reports on climate change, combating desertification, conservation of biodiversity, materials on preparation of the first and second National Communication under UN FCCC, national reports on realization of UN CCD and UN CBD in the country, as well as discussions and consultations with experts and officials.

Brief description of basic problems existing in each focal area and the factors constraining their solving is provided below.

2.1. Priority problems of the RK in the area of climate change

Based on the analysis of materials **the following main problems of the RK in the area of climate change [13]** are formulated:

- The problems related to reduction of emissions of greenhouse gases and conditioned **by the branches of economy**, influencing the capacity of climate change (decision of these problems is considered as contribution to reduction of anthropogenic influence on global and regional climate):

1. High power intensity of economy causes high specific emissions of greenhouse gases (per unit of gross national product and per capita).
2. Weak use of significant capacity of renewable energy sources (hydraulic power, wind power, sun power, etc.).
3. An additional source of greenhouse gases is burning of accompanying gas at constantly increasing oil recovery.
4. Decrease and loss of biological and landscape diversity (woods, digression of pastures, and reduction in bio-efficiency of ecosystems) reduce opportunities of deposition of emissions of greenhouse gases by natural absorbers.

- The problems connected to **adaptation to climate change** (decision of this problem will allow to lower adverse risks from consequences of climate change on the territory of the country):

1. Insufficient integration of issues related to climate change in the national strategies and programs, weak coordination of activity of state bodies (maintenance of intersectoral approach).
2. Inefficiency of legislative and economic incentives for realization of activities on energy-efficiency and energy supply.
3. Uncertainty due to participation of the country in Kyoto Protocol that causes uncertainty of the policy and methods on reduction of greenhouse gases emissions.

- Problems **of scientific and employment character** (overcoming of them will allow to improve an assessment of observable changes of the climate to raise reliability of

forecasting, influence of climate changes on resources, economy and society as a whole as well as to increase capacity to realization of certain activities):

1. Insufficiency and (or) insufficient availability of information resources, absence of full-scale scientific researches, low level or unsystematic character of awareness of the community and professional training on the problem of climate change.
2. Discrepancy of density of the network of hydrometeorological observations in the country with requirements of the World Meteorological Organization.
3. Uncertainty of assessments of consequences of climate change.
4. Shortage / ageing of the top staff.

Constraints for decision of the given problems in the country:

1. Absence of incentives for reduction of GHGs emissions or increase of their absorption by reservoirs and absorbers.

To date in the country the character of EP is that nature users have no incentives for reduction of GHGs i.e. managing subjects find unprofitable to introduce new technologies with small emissions of GHGs. Also there are no measures of economic incentives necessary for realization of activities on increase of the percentage of forestland and wide introduction of alternative and renewable energy sources.

The given barrier is caused by:

- Absence of legislative mechanisms allowing the state to adjust the volumes of greenhouse gases emissions or volumes of their reservoirs and absorbers;
- Absence of national incentives for increase of energy supply, energy effectiveness and involving into energy balance renewable power resources and clean technologies for reduction of GHGs emissions and improvement of their absorbers;
- System of licensing for emission of polluting substances into the atmosphere (it is not applicable to effect of influence of greenhouse gases, and to internationally established obligations on reduction of emission volumes);
- Declarative character of some legislative and normative acts.

2. Inefficient coordination of interested ministries and agencies on the issue of reduction of greenhouse gases and adaptation to climate change.

The given barrier in particular is caused by:

- The problem of climate change is not related to functioning of the state system (for example, more than 45 development programs are realized in the republic, but precise system for development, realization and interrelation of programmes is absent);
- In the country there is no uniform coordinating interdepartmental body on climate change vested by appropriate powers.

In the country an interdepartmental dissociation and some disagreements between ministries, departments, NGOs regarding entering Kyoto Protocol is kept that is reflected on productivity of the steps taken in the frameworks of UN FCCC. Despite of establishment

of Interdepartmental Commission (IDC) on ratification by the Republic of Kazakhstan of Kyoto Protocol and performance of obligations under UNFCCC by the Republic of Kazakhstan, its mandate is limited only to consultation. Besides, the IDC during its work brought to a focus the procedures of Kyoto Protocol only, while other obligations under the Framework Convention were seldom considered. At present the IDC does not carry out the sessions, it does not have secretarial and administrative base, and the budget is limited. To live up the work on joining of the RK to Kyoto Protocol an Interdepartmental Working Group on issues of ratification of the KP to the UN FCCC was established. This WG is temporary and focuses on discussion of opportunities and consequences of ratification of the KP. It is also necessary to stress the delayed character of agreement procedure, approval and adoption of various national programs, including on climate change issue.

3. Absence of special program (strategy) on reduction of greenhouse gases and adaptation to climate change.

The problem of climate change is partially reflected in a number of national programs, but there is no coherence and system of activities. In these conditions the normative and economic mechanism of reduction of GHGs emissions and adaptations to CC in the country is not realized. Strategy of adaptation should include policy and measures necessary for strengthening of adaptation ability to climate change and special attention should be given to sectors / systems which vulnerability will grow with climate change or which possess weak adaptation ability.

4. Inefficient realization of mechanism of education, public awareness on climate change.

In the country the Concept of Environmental Education is accepted, approved by the Decrees of the Ministry of Education and Science and the Ministry of Environmental Protection of the Republic of Kazakhstan. It separately establishes the necessity of increase of awareness on global problems such as for example the CC. However there are problems with realization of the given concept, consisting in absence of necessary base. At the same time the MEP is not competent in the issue of environmental education and cannot provide correct realization by covering global environmental problems. Besides, the issue of environmental education is not priority for the MES of the RK. Absence of the training centers on orientation of civil servants, businessmen and the public on necessity of increase of energy effectiveness and reduction of GHG emissions by nature users and other businessmen affects also.

In connection with such situation the country faces the following problems:

- Professional training (experts on environmental protection) is conducted unsystematically, the system of continuous training of the staff is not generated;
- Awareness level on CC among population still remains poor, skepticism on negative consequences of CC on the population and economy prevails.

Despite of availability of significant educational and scientific capacity, professional training remains inefficient, there are no specialized training courses and disciplines allowing training staff for performance of obligations under the UN FCCC and Kyoto Protocol mechanisms. Partly it is explained by small demand for such experts in the country. Other causes are poor motivation of training personnel of the main educational

institutions on introduction of innovative technologies in educational process, maladjustment of issues related to government contractual work for such experts, the reforms on professional training etc. Rapid change of technologies, principles and approaches in policy on reduction of GHGs emissions and adaptations to climate change defines the necessity of creation of Institute of continuous training of such staff which is absent in the country. This implies, that by the present time there is a lack of qualified personnel, in particular, experts on standardization and certification that is a barrier for performance of obligations under FCCC.

The problem of climate change both in curriculums and mass media is covered unsystematically. This is explained by both the absence of reliable information on the problem and its features on the territory of the RK, and the mentality of the population formed in the past. The community and the population do not perceive it yet as a problem of vital importance demanding adequate and urgent decision. The problem is also aggravated with absence of serious and effective training base that have not been updated for some decades.

2.2. Priority problems of the RK in the field of desertification / land degradation

Based on the analysis of materials on the problem of land degradation and the activity carried out in this direction **the following basic problems** of the country have been formulated in the field of combating desertification / land degradation [14]:

- Insufficient rational organization of the territory providing ecologically and economically expedient accommodation of lands and their internal arrangement;
- Display of water and wind erosion, mud-flows, flooding, bogging, secondary salinization, siccation, soil condensation,
- Pollution of lands and contamination by production wastes, chemical substances,
- Significant flammability risk of woods,
- Decrease in fertility of arable lands, efficiency of haymaking and pastures,
- Presence of significant areas of lands broken as a result of economic activities, necessity of their returning in secondary economic circulation;
- Insufficient rational use of water resources, not universal application of water saving technologies in branches of industrial, rural, municipal economy.

The factors constraining the decision of prime problems:

1. *Insufficient adjustment of responsibility and accountability of various bodies responsible for decision of CD problem, absence of due management.*

This barrier is caused by complicatedness of the public management in view of significant amount of the state bodies engaged in CD problems. The MEP of the RK agrees the programs related to CD among existing ministries and departments related to EP and desertification, as well as forms a uniform information system. But intergovernmental disagreements on assessment criteria and definition of concepts (desertification degree, classes and types of land degradation, quality standards, etc.), which are not adopted at national level on CCD prevent from creation of uniform management system. Limited access of all participants (especially local communities, NGOs) to the available information of the ministries and departments connected to necessity of payment

complicates feedback and the general management of programs. CD priorities are practically not brought to the local level.

An important component of the given barrier is *absence of effective structure of local management for decision of problems of desertification / land degradation*.

With peculiarity of UN CCD and its approach of «local initiatives» the given barrier is rather appreciable. Experts state the following factors causing the given problem:

- Disorder of organizational form of local agencies,
- Difference of directions of carried out functions,
- Absence of correlation between managerial scheme at central and local levels,
- Instability of structure of local government,
- Lack of qualified experts at places.

2. *Weak institutional infrastructure of noncommercial organizations providing interaction and coordination with state structures and donor organizations and noncommercial organizations among themselves.*

The barrier is caused by an ambiguity of functioning legislative system, financial and economic mechanism, noncommercial organizations regulating activity in the area of CD; insufficiency of information on activity of domestic, international financial institutions and funds, the programs supported by countries-donors; observance of requirements in formation and registration of applications for reception of financial, technical and other assistance from donors; weak understanding of technology of reception of various forms of assistance during project realization.

In a number of regions especially subject to processes of desertification, absence of concern or experience of local NGO for attraction of new technologies directed to combat desertification and land degradation is felt.

3. *Declarative character of some legislative and normative acts on CD problem.*

Despite of undertaken steps to strengthen the EP policy disinterest of sectors of economy in establishment of high environmental standards is still kept; absence or insufficient level of influence of the interested parties (state bodies and NGO) on the sectors of economy impacting the actual environmental situation in the country. Another problem is the lack (and also insufficient efficiency) of both private and state financing of EP activities. Mechanisms of state regulation should ensure stability to investors and reduce the tax and legislative risks related to long-term investments. The Government in view of possible budgetary expenses takes the care in relation to introduction of mechanisms of economic environmental management.

In the country a number of laws and sub-laws important for realization of aims of the Convention to Combat Desertification are accepted, however not all provisions are successfully executed (especially at local level) due to insufficient study of the mechanism of their realization, required high costs, or simply insufficient awareness. Recently development of the land market, introduction of agricultural lands into market relations demand introduction of economic elements for financial stimulation or financial constrain of

owners and land users.

4. *Inefficient realization of the mechanism of education, public awareness on CD problem.*

Professional training (experts on environmental protection in the area of CD) is conducted unsystematically; the system of continuous training is at the initial stage of development.

Despite of presence of significant educational and scientific capacity inefficient activity in the field of professional training, and absence of specialized training courses and disciplines, allowing preparing the staff for performance of provisions of UN CCD is kept. Partly it is explained by small demand for such experts in the country and low incomes. Other reasons causing the barrier is weak motivation of training personnel of basic educational institutions specialized in introduction of innovative technologies to educational process, maladjustment of issues of government contractual work for such experts, reforms conducted on professional training etc. New technologies, principles and approaches of the policy on reduction of negative consequences of desertification determine the necessity of creation of institute of continuous training which is not created yet in the country. Systematic environmental education should provide studying of interaction of all natural environments (system direction) and modern technologies on optimal nature management. The new list of specialties hardly promotes the decision of these problems. This implies that by the present there is a lack of qualified personnel, in particular, experts on standardization and certification, complex analysis of natural environments constraining the performance of obligations under CCD.

5. *The level of awareness on CCD and measures of combat desertification among the population still remains poor.*

The problem of combating desertification both in curriculums and mass media is covered unsystematically, influenced by absence of open reliable information on the problem and its peculiarities on the territory of the RK, as well as mentality of the population developed during the past period. Community and the population do not perceive it yet as the problem of vital importance demanding adequate and urgent decision. The problem is also aggravated by absence of serious and effective training base that has not been updated for some decades as well as often change (basically - reduction) of the lists of specialties of ecological direction. While considering the problem unclaimed participations of scientific organizations in initiation and realization of the Convention, and intellectual inflow of mass movements directed on combat desertification/land degradation is found.

2.3. Priority problems of the RK on conservation of biodiversity

On the basis of multilateral analysis of present situation in the country in the sphere of protection, restoration and use of biological and landscape diversity the experts have revealed a number of basic problems demanding the decision for more successful realization of the state policy in the given sphere and provisions of the CBD [15]. These problems can be solved by efforts of the government and society by attraction of international organizations and experts, as well as by own forces.

The problems have been grouped by thematic conformity and their priority degree.

Here as a rule present overriding of separate groups by contents.

The basic problems:

- The problems related to imperfection of national legislation and rigid state financial policy caused by the backlog of legislative process from the developing situation:

1. Some discrepancy between national legislation and provisions of CBD, in particular in regard to local communities, GMO etc.;
2. Absence of some laws regulating mutual relations in the sphere of protection, restoration and use of fish and vegetative resources, acclimatization activity and biosafety;
3. Absence of legislatively fixed precise differentiation of powers between state bodies on conservation and use of biological variety;
4. Absence in legislation of the term "landscape diversity" and rights and duties following from it.
5. Strong taxation pressure on SPAs as a legal entity.
6. Absence of finances for repayment of lands from owners for the establishment of new SPAs.

- The problems related to biological and landscape diversity management causing an imbalance of the state policy in the given area:

1. Absence of National Plan and Strategy on biodiversity authorized by the Government (or short-term and intermediate term state programs and basic strategic documents);
2. Weak personnel and material base of territorial divisions of authorized bodies (forest and hunting, fish industry).

- The problems related to territorial protection of biological and landscape diversity:

1. Absence of authorized program for the development of SPAs in the nearest years
2. Absence of special discrete body working on SPA management;
3. Absence of uniform target programs on researches development and tourist activity on SPA;
4. Insufficient staff at SPA and their weak social protection;
5. Absence of bodies engaged in direct and constant protection of SPAs with legal entity status.

- The problems related to protection of types and ecosystems:

1. Low priority of state programs on preservation of rare, endangered and commercial species (only one program on saiga and hoofed animals protection is approved);
2. Local budgets do not include costs on conservation of biodiversity in full measure.

- The problems related to studying of biodiversity:

1. Absence of inventory of population and species composition of flora and fauna;
2. Absence of uniform system of monitoring of biodiversity at the state level. The

cadastre of biodiversity is not conducted.

3. Poor development of banks of genetic material for vulnerable and other species of flora, fauna and microbial world.
 - The problems related to preservation of agro biodiversity, microbial world and ex-situ conservation:

1. Weak network of nurseries, botanical gardens, dendrology parks and microbiological collections;
2. Absence of modern technologies of resource-saving technologies for these categories of organisms.

- The problems related to participation of civil society:

1. Absence of specialized program on biodiversity within the framework of the state social order;
2. Close limits for NGO and local communities for initiation of projects, programs and activities directed on preservation, sustainable use and restoration of biological diversity. Absence of tax remissions for the activity in the given sphere.

- The problems related to international cooperation:

1. Prevalence of cooperation with less socially and technologically advanced states of the Central Asia to the detriment of interaction with more advanced neighbor states - Russian Federation and Chinese National Republic.

The carried out analysis has shown the presence of the following basic groups of constraints for realization of CBD in Kazakhstan displayed on all three levels: system, institutional and individual.

1. Imperfection of biodiversity management.

It is defined by the presence of gaps in legislation, negative changes in legislation and its inadequate performance. Maladjustment is kept in a number of spheres on protection and use of biodiversity, in particular, in flora, fish resources, acclimatization activity and biosafety. New changes in land legislation render negative influence on processes of territorial nature management, especially on assigning of lands to SPA. The tax law does not render stimulate EP services. Inadequate execution of the legislation also affects the situation negatively influencing processes of protection, studying and use of biodiversity.

To date there is no National Strategy and Action Plan on BD (NSAPBD) authorized in accordance with all procedures that leads to insufficiency of the state policy in the field of preservation, restoration, studying and rational use of biodiversity. As a consequence, the weakening of the state influence on processes of use and protection of wild nature and agrobiodiversity is observed.

There is no clear division of powers between the state bodies that results in unsolvable situations in some cases related to implementing by nature users of instructions of various departments.

There is no cadastre and monitoring system of biodiversity that entails absence of information for decision-making at the state level. The created program framework cannot

be productive step of its own without information from the monitoring system of biodiversity.

There is a low level of administrative and scientific training that results finally in a low qualitative level of ecologically significant decisions at the state level. It is marked also the unwillingness of separate officials to carry out duties on realization of CBD that influences decision-making in special cases, as well as results in undermining of trust of the executors and nature users to the state bodies.

2. Weak interest of business in realization of CBD provisions.

The given problem is also related to gaps in legislation on attraction of private capital to the process of reproduction and protection of biological diversity. It results in significant reduction of financial assets directed on protection, reproduction and restoration of biodiversity. High taxes that essentially do not correspond to importance of the problem push the business away from development of activity in the given sphere. Nowadays there is only one private nursery on cultivation of wild species.

The national problem of corruption in experts view is also reflected in decision of the given problem. It results in undermining of the trust to the state not only in the given sphere, as well as slackens the processes of protection, restoration and use of biological diversity.

3. Weak participation of civil society in preservation, restoration and use of biological diversity.

At system level two basic constraints seriously limiting the capacity of civil society during participation in realization of CBD are singled out:

- Toughening of the policy of the state in relation to NGO on political grounds. New changes in the legislation on public associations will lead to weakening of the civil society, reduction of activity of NGO, including, and in sphere of preservation of biological diversity.
- Poor awareness of the community on problems of biodiversity. Non-disclosure of information by the state bodies conducts to ecological nihilism of the population, reduces an overall performance both state bodies, and public associations.

At institutional level - the absence of the body for effective coordination of efforts of the state and the civil society on conservation of biodiversity. The present situation results in differences in priorities, separation of activities and waste of money between the state and public associations on preservation and use of biodiversity.

Weak interaction among NGOs working in the sphere of biodiversity conservation is marked also. Absence of consolidation among public associations does not allow them to influence more actively on processes of CBD realization in Kazakhstan.

4. Problems of international cooperation

The prevalence of international cooperation within Central - Asian region is marked. In this case Kazakhstan is only the donor of technologies and ideas. This is not a mutually advantageous process and it weakens scientific and technical and research exchange. At the same time mutual relations with technological super powers - neighbors - the Russian Federation and Chinese People's Republic are not developed.

2.4. General national capacity assessment for performance of Obligations under Conventions at three levels

Capacity at system level

- **General political frames:**

The general political environment of the country is favorable for realization of three Conventions. The Republic of Kazakhstan has executed necessary requirements for assigning the provisions of three RIO Conventions of legal efficacy on the territory. Hot discussions are developed on ratification of Kyoto Protocol to UN FCCC. The basic fears preventing from ratification of KP by the country are uncertainty with possibility of performance by the country of obligations on reduction of greenhouse gases in case of ratification and an ambiguity on definition of the second test period under the Protocol. In present conditions before making a decision on KP to UN FCCC it worth joint accounting of the factors promoting and preventing from its ratification that is feasible during consultations of the interested parties (ministries, departments, NGO, national and international organizations). Necessity of enhanced attention to the factors constraining the ratification of KP to UN FCCC and stage-by-stage but operative elimination of such "weaknesses" is obvious.

In the long term threat of environmental safety of the country can represent release to the environment, and also accommodation on the markets of genetically modified organisms (GMOs). In this connection, and also owing to possible entering of the PK into WTO, definition of national position on Cartahena Protocol on biosafety to UN CBD is necessary.

- **Legal and normative frames:**

Resource saving from the point of view of biodiversity, climate change and desertification has not received due reflection in the acts of the corresponding legislation the country. It is necessary to further improve legislative base on preservation of biological diversity and sustainable use of its components. Reduction of greenhouse gases demands development of legislative conditions for creation of national system of licensing of GHG emission quotas. The National Program and Action Plan to combat desertification is developed and approved by the Government. However development of the land market, introduction of agricultural lands into market relations demand application of economic elements for financial stimulation or financial constrain of owners and land users in regard to problem of desertification and land degradation. In case of adoption by the country of framework Eco Code, reflection alongside with others of problems of global environmental conventions would be reasonable.

- **Accountability of top management:**

Spheres of institutional powers of basic interested parties participating in performance of obligations under Conventions are differentiated indistinctly. The practice of participation of the community in official decision-making on EP issues is rather weak. Definition by the interested state body of a degree of public participation in adoption of such decisions would benefit to the situation.

- **Economic environment:**

Effective economic incentives for preservation and sustainable use of biodiversity and lands, prevention of negative influence on climate do not operate in the country yet. Measures of economic incentives create payment system for use of resources (land and biological), but actually nature users prefer to make payments for use of resources, pollution of the environment, rather than to incur costs connected to prevention of pollution and introduction of effective resource-saving technologies.

- **Resources of system level:**

There are significant human, financial and information resources for realization of obligations under Conventions. However in various regions of the country maintenance of such resources is various.

- **Processes and mutual relations:**

Various institutes cooperate among themselves. Weak intersectoral cooperation between the ministries and departments, scientific and academic institutes, NGO in performance of obligations under Conventions is observed. Results of activity of one state institutes are not effectively enough used by others.

Capacity at institutional level

- **Authorized activity / strategic management:**

Issues of responsibility and accountability of the state bodies are insufficiently adjusted, and their significant number and frequency of changes result in absence of stable and transparent structure of the government. At the moment there is a reforming of structures and functions, including transfer of more broad powers to local level.

- **Structure:**

Over last years a plenty of various strategies and programs of development are developed in the country. The legislation in the sphere of preservation of the environment undergoes the process of reforming where adoption of the framework EcoCode is mostly probable. The problem of desertification from institutional point of view is the most complex as includes components both of environmental protection and reduction of poverty level. The system of biodiversity conservation becomes complicated by a plenty of interested parties from academic sector etc. The clearest system is connected to climate change. The necessity of adjustment of accepted and approved national strategies and programs on performance of obligations under RIO Conventions became urgent.

- **Processes:**

Institutional processes such as planning, quality management, control on works and assessment of results demand additional perfection and strengthening. Forecasting of the legislation is carried out without participation of the interested parties; there is no strategic environmental assessment of planned programs on environmental protection. Inefficiency of assessment of programs performance is felt from the point of view of their influence on environmental quality.

- **Manpower resources:**

The country possesses sufficient human capacity. Nevertheless, there is topic issue

on the qualified experts in the field of conservation and sustainable use of components of biological diversity, desertification and climate change. Some deficiency of the engineering and technical personnel is kept, there is no staff on environmental insurance, and training of ecologists - experts on standardization practically is not carried out. Necessity to create complete effective system of continuous preparation and retraining of personnel of ecological structure is observed.

- ***Financial resources:***

There are budget allocations for co-financing of environmental projects, means for SPA maintenance, restoration of degraded lands (re-cultivation), research works on biodiversity and desertification, inventory of greenhouse gases etc. It is necessary to note, that number of workers of national parks and reserves is insufficient for realization of protection, researches and monitoring. Only during the last years there were allocations from the state budget not only for maintenance, but also on development of SPAs with the status of the legal entity (reserves, national parks, and natural reservates). Within the last 4 years the Government allocates funds for necessary protective and regenerative activities on SPA, strengthening of material base, scientific works, arrangement of territories etc. However, local agencies insufficiently allocate means for improvement of material equipment of forest protecting establishments, necessary fire-prevention and forest protection activities, actions on reproduction and forestation, staff of state forest protection service is below the normative. It is necessary to improve sustainable financial maintenance of the activity directed on performance of obligations under Conventions.

- ***Information resources:***

On the level of informatization among the CIS countries Kazakhstan is on the third place after Baltic and Russia. In the global scale Kazakhstan takes 62 place (assessment of the United Nations, 2003). General information on condition of biological diversity, problems of desertification / land degradation and climate change is available. There is a number of scientific research institutes engaged in estimations of biodiversity of the country, tendencies in desertification / degradations of lands and climate change. However, results on monitoring of biodiversity, and to a lesser degree results on problems of desertification and climate change are not accessible for a wide public. The information on considered problems in the country demands regular updating, addition and distribution. An extremely insufficient attention is paid to issues of bringing of official information on the state of the environment up to the public. Mass media frequently provide with noisy information, and the state bodies do not duly assist in distribution of such information. The population is poorly informed on the reasons, consequences of use of biodiversity, lands, impact on climatic system, and also about technologies for prevention of these influences. Usually information on condition of the environment in a state language is unavailable that is especially important for ecologically unfavorable regions of the south of the country where the population speaking in the Kazakh language prevails.

- ***Infrastructure:***

In the Republic the process of formation of national infrastructure for realization of conventions is carried out. By the present time certain management structures on realization of RIO Conventions in the country were identified: responsible body – the MEP, National Coordinators and contact persons are appointed. Insufficient resources of

responsible body (MEP) for realization of Conventions affect the situation. One of the capacity restrictions is assignment of contact persons by name, rather than by post. In case of change or leaving of such persons the work stops, the succession is broken. To assist the performance of obligations under UN FCCC the Climate Change Coordination Center is functioning, within 2000-2002 the Interdepartmental commission on ratification of the KP and performance of obligations under UN FCCC functioned; there is a branch scientific and research institute on ecology and climate on the basis of which researches on this problem are conducted and inventory of GHG is carried out. For performance of obligations under UN CCD the working group consisting of experts of different profile - from administrative staff up to scientific employees is established, the issue on creation of Desertification Center is considered. No effectively working intersectoral group or the center on biodiversity is formed yet though such necessity is obvious and an attempt of creation was taken. Under the Ministry of EP an Interdepartmental Working Group on GEF projects for intersectoral coordination and support of GEF projects, including on biodiversity, desertification and climate is established. Institutional infrastructure providing interaction and coordination of the state structures and noncommercial organizations is estimated as weak. The material base of many state institutions demands significant strengthening. It is necessary to take measures on perfection of organizational structure of all establishments regarding performance of obligations under RIO Conventions.

Capacity at individual level

- ***Working meeting and professional level:***

Official bodies responsible for performance of obligations under Conventions developed terms of reference for specialists. As a whole the personnel understands and realizes the set tasks. However owing to often reforming and change of management structure there is a redistribution of powers and duties of experts. Certain period for acquaintance of experts with a new scope of work is required.

- ***Training / retraining:***

The country has huge capacity for training of environmental experts. Practically all high educational institutions of the country prepare experts on environmental protection and rational use of natural resources. However the level of preparation of such experts over the last years has decreased in connection with developed conditions for educational and scientific work in high educational institutions (low prestige and unsatisfactory condition of material base). For maintenance of continuous ecological education under the MEP in 2004 the Training Center for the staff on EP and wildlife management (136 experts were trained in this center) has been created. Also, within the framework of budgetary programs annually by purchasing the services on retraining and improvement of professional skill for executives and employees of wood, fish, hunting, specially protected areas organizations ran corresponding courses and seminars.

In the country the Academy of Public Management, which carries out retraining of civil servants, is established. Outstanding scientists and teachers from Kazakhstan and foreign states conduct training courses. One of the primary goals and functions of the Agency are coordination of activity of the state bodies on issues of training, retraining and improvement of professional skill of civil servants, coordination of formation and allocation of governmental work under the state programs of retraining and improvement of professional skill of civil servants. At present employees of the MEP are trained in the

Academy, the subjects of their diploma papers will relate to the conventions.

The country administers Presidential educational program "Bolashak" which purpose is elite education abroad for kazakhstani students (in prestigious high schools of the world: USA, Russia, China, Germany, Czech Republic, France, Australia, etc.) at the governmental expense. Within twelve years under the "Bolashak" Programme more than 800 students were granted foreign education. It is necessary to note, that the training also covers environmental (nature protection) specialties, such as management / environmental pollution etc., but, unfortunately, graduates of these courses do not work in the spheres related directly to realization by the country of obligations under global environmental conventions. It is necessary to undertake efforts on monitoring of such experts and their attraction to capacity building for implementation of the Conventions.

- **Professional growth:**

Conditions for professional growth for staff engaged in EP system are created. Attraction to the process of professional training of experts of other state bodies responsible for performance of obligations under RIO Conventions is necessary.

- **Access to the information:**

The general information related to RIO Conventions as a whole is accessible to employees, especially in regard to international information on rules, procedures of performance of Conventions and decision-making. Such information is accessible through a global Internet network and also from other sources. The international organizations also render the expert assistance on many issues. Civil servants get access to the departmental information through system of corresponding inquiries. Specific country information on climate, biodiversity, and desertification is collected in state statistics Agency as well as in numerous scientific research institutes. Access to it can be gained also with the help of corresponding inquiries, but probability to receive such material not high, especially on scientific and technical area. The information is submitted to KazGOSINTI through which it can be distributed on a paid basis. For the public, including. NGO such way of access to the major environmental information is not acceptable. There are certain problems of access to the information on climate, biodiversity, including for the experts participating in mechanisms of performance of obligations under RIO Conventions.

- **Personal / professional contacts:**

Experts on the whole support contacts, there is an aspiration to exchange experience on practices and knowledge between colleagues. However there are age barriers, and claims of some people on correctness of their opinions in certain issues. These difficulties were faced basically at work with research sector and a number of NGOs (on biodiversity, desertification). Participants of these processes criticize results, without bringing due contribution to improvement and stability of the received and discussed results.

- **Productivity / behavior:**

It is rather difficult to assess expert's productivity. There is no clearness in used criteria of assessment of such productivity.

- **Financial stimulation / compensation:**

Over the last years due to the growth of attention to social problems and availability of national funds for their decision remuneration of the state bodies, science officers, and

workers of education is increased. However it still remains insufficient and essentially lower than that of the commercial sector. Especially in scientific research institutes where prestige due to low financial compensation is reducing.

- ***Interpersonal skills:***

Over the last years in connection with development of institute of public service in the country and active work of international organizations, efficiency of interpersonal skills on professional questions among themselves have considerably increased. It entirely relates to experts working with projects on three focal areas (in particular on climate change, biodiversity). Experts show interests in opinions of colleagues, aim at obligatory respect of all opinions, and participate in conciliatory process. The problem is absence of knowledge of foreign languages of majority of experts. In research sector, and also in a number of state institutions former stereotypes of communication with colleagues are kept.

CHAPTER 3. THE CHARACTERISTIC OF THE CENTRAL CAPACITY PROBLEMS FOR PERFORMANCE OF OBLIGATIONS UNDER CONVENTIONS

3.1. The technique used

As a result of preparation of thematic reviews, building of the problem trees on each of the three focal areas and their analysis, the general factors for all thematic areas constraining national capacity building for performance of obligations under conventions were identified, in particular:

- Public awareness,
- Information exchange,
- State policy, legal and normative base,
- Coordination and processes of interaction and cooperation between all interested participants,
- Science and its role in decision-making process,
- Motivation system,
- Professional skills of decision-makers,
- Coordination and control of performance of decisions, progress assessment,
- Efficiency of civil sector activities,
- A role of business in decision-making on problems of global environment.

At the following stage the list of 10 problems that are as a matter of fact the factors constraining the capacity building for performance of obligations under three RIO Conventions simultaneously has been received. They are so-called general capacity (central) problems. The basis for their formulation is provided in the summary table of the general capacity problems developed by the experts under three Conventions (Annex 3).

The central capacity problems answer the question: why or due to what factors the country does not achieve essential progress on implementation of RIO Conventions. The central capacity problems are characteristic for the performance of all three RIO Conventions at the same time; they do not contain details of peculiarities of this or that Convention.

Each of the problems are caused by complex reasons which in their turn have root causes defined in the materials of the developed thematic profiles, as well as consultations and comments held in intersectoral working group. For each of the central problems «the tree of problems» has been developed (see Annex 3), on this basis the cause-and-effect relations allowing afterwards transforming them into strategic purposes on capacity building have been investigated and analyzed.

Considering recommended GEF principles of systematization of the revealed general problems on the following capacity functions:

- Capacity for conceptualization,
- Capacity for performance,
- Capacity for attraction of interested parties and creation of consensus,

- Capacity for mobilization of information and knowledge,
- Capacity for observation, assessment and studying,

Summarizing the received results 10 capacity problems have been reduced to four central problems provided in detailed characteristic below.

3.2. Analysis of the central capacity problems and the caused reasons

1. Central problem - Ineffective mechanism of realization of international environmental conventions: UN FCCC, UN CCD, and UN CBD.

The given problem closely corresponds to obligations of the country on performance of the Conventions, in particular, to necessity of designation of authorized or responsible body for their realization, creation of institutional mechanisms, allowing integrating the purposes of Conventions into the practice of sectors of economy and country development on the whole.

As the analysis of normative and legal documents in the RK has shown, at period of ratification of RIO Conventions an authorized bodies have not been officially designated and corresponding mechanisms were not created. The interdepartmental commissions on UN FCCC and UN CBD did not justified the hopes as the first one actually does not function at present, and last one has not been created at all.

Threats for the given central problem are:

- Low efficiency of accepted measures on realization of activities within the framework of Conventions
- Work on realization of conventions is not systematic
- Activity of various sectors is not identified with the aims of Conventions and is not reflected in reports for the Secretariats
- The impression of complicatedness of work under Conventions (no appreciable results and benefits from participation in Conventions is visible) is developed.

Complex cause 1 - The authorized body for realization of the conventions is not designated. No any Law or Decree of the Government of the RK on ratification of RIO Conventions designates authorized body. In this connection the functions of any department working on Conventions are not fixed legislatively, staff and resources are not allocated and the powers are not identified. As formally all environmental Conventions are under the MEP of the RK, the ministry designated national coordinators of the Conventions and the contact persons. Within the frames of work under UNCCD functions the working group on a voluntarily basis.

The root causes of the given complex problem are:

- Absence of due attention to Conventions from the Government.
- Conflicts of interests of the state bodies preventing from identification of authorized body on realization of conventions and appropriate powers.

- Primary uncertainty of the authorized body at ratification of Conventions

Complex cause 2 – The procedure of consideration of aims of the conventions in developed and approved state programs is not created.

Rather low attention in no specialized departments to conventions and developed interdepartmental coordination (see Central Problem 2) does not allow taking into account the aims of the convention at planning and adoption of the state programs.

The root causes of the given complex problem are:

- The conflict of priorities of the state programs of various and adjacent subjects.
- Absence of consolidation of efforts within the framework of programs of various budgetary lines.

Complex cause 3 - Insufficient responsiveness of aims of the conventions in the legislation.

There is a statement about optional legislative regulation of provisions of international conventions in national legislation, as their primary force is only declarative, but in national law enforcement practice it can be used only by interstate entities - foreign and mixed companies. The practice shows that with reference to subjects of national status the courts do not accept such norm as a rule. This is caused not only by that courts ignore the given norm, but mostly due to declarative statement of norms of the conventions, in tradition of the European and American general law; Kazakhstani legislation is based on traditions supposing a detailed regulation without which litigation is ineffective. Therefore, the norm about primary force of international agreements and conventions should be considered as a reference point for as more as possible effective incorporation of provisions of international agreements into the national legislation.

At the development and acceptance of laws and legal acts the same causes (low attention to conventions and the developed interdepartmental coordination) do not allow taking into account the aims of the conventions.

The root causes of the given complex problem are:

- The conflict of the national and international legislation.
- Absence of effective mechanisms of inclusion of provisions of Conventions into the national legislation.

Complex cause 4 - **The monitoring system and consideration of the contribution of various sectors and kinds of activity to performance of obligations under Conventions is insufficiently developed.**

Many agencies of the country carry out profile activity (in particular, assessment and protection of lands, biodiversity components) usual for Kazakhstani professional environment. Such activity was carried out by them before ratification of the corresponding Conventions by the country and at present as well. However, due to some reasons (see

below) such activity frequently does not correspond to the activity carried out under Conventions, it is not considered and directly reflected in official national reports submitted to the Secretariats of the Conventions. Results of this activity could be useful at the international level and the country would use all benefits from international cooperation.

In case this problem will not be solved, the following threats will appear:

- Insufficient level of performance of the decisions related to the aim of the Convention.
- Progress assessment on performance of the aims of the Conventions for comparison with other countries is complicated.
- Absence of the basis for effective correction of the activity related to the aims of Conventions, and, accordingly, costs escalation for unreasonable kinds of activities.

The root causes of the given problem are:

- *There is no uniform system of indicators for progress assessment on performance of aims of the Conventions.*
- *Inconsistency of the statistical parameters related to performance of the Conventions in the country.*
- *There is no necessary knowledge, experience, and staff in tracking progress on achievement of aims of the Conventions.*
- *Data collection is not systematic.*
- *Maladjustment of information exchange between agencies and sectors of the country.*
- *Institutional weakness and lack of resources of the responsible body for realization of the Convention.*

Central problem 2 – Inefficient intersectoral / interdepartmental and internal departmental interaction for achievement of the aims of the Conventions.

The given problem correlate with obligations of the country on application of the complex approach in combating desertification, climate change and conservation of biodiversity, assuming participation of interested parties related to different sectors of economy, social sphere, as well as consideration of aspects, connected with these problems at formation and carrying out of the state social, economic and ecological policy (sub items a) and c) item 2 of article 4 of the UN CCD; item b) article 6, article 10 of the UN CBD; Sub items d), e), f) item 1 of article 4 of the UNFCCC).

The problem consists in weak intersectoral and interdepartmental cooperation between ministries and departments, scientific and academic institutes, NGO, business in performance of obligations under Conventions. Results of activity of one state institutes are not effectively used by others. There is interdepartmental dissociation of responsibility of performance of obligations under RIO Conventions in the country.

Undesirable consequences of the given central problem are:

- Decision-making in the field of protection of global environment without taking into account opinions of the interested parties;
- The opinion on necessity of observance of positions of the Conventions will not be formed in the society.
- Inconsistency between the state structures, business and organizations of civil society in realization of the planned measures
- There is no interrelation under three conventions
- Weak efficiency of realization of the planned activities

Actual monopoly of the MEP on conventional problematic and alienation of other state bodies is developed that puts the necessity of more attentive analysis of interdepartmental aspects, as well as pays special significance to recommendations on institutional component of the capacity.

Complex causes of the given problem are:

Complex cause 1. - Ineffective activity of established working groups and commissions for realization of provisions of RIO Conventions.

The analysis of intersectoral interaction and participation of the project team in discussion and coordination of various issues on RIO Conventions among various interested parties has shown insufficiency of created intersectoral working groups. Duration of formation of such groups involving representatives who sometimes do not know or not enough competent in the discussed issues, as well as lack of professional experts, employment and disinterest of participating persons are the major factors promoting weak efficiency of such working groups. Partly this situation is determined by the remoteness of the central state bodies located in Astana from the scientific centers located in Almaty.

Deficiency of interdepartmental interaction blocks the work of interdepartmental groups, the MEP agreements with other authorized ministries and agencies involved in realization of the conventions makes disinterested and inefficient the activity of the working groups created not so much for development but mainly for agreement of the policy.

The root causes of the given complex problem are:

- Insufficient management of WG activity.
- Inefficient number and competency of WG.
- Terms of reference of the WG are not specific enough.
- Formality of invitation into WG of representatives of other sectors (not directly connected to EP).
- Inefficient mechanism of introduction of decisions of the WG.
- Insufficiency of officially created working groups at expert level.
- Disinterest of members of created intersectoral working groups, including due to excessive occupancy and absence of incentives.

Complex cause 2. - Insufficient level of interdepartmental powers of the MEP (coordinating body of the Convention).

There is no uniform coordinating interdepartmental body on realization of the Conventions in the country. Though the responsibility for their realization is assigned on the MEP where national coordinators under conventions work and contact persons are appointed, this Ministry has no effective intersectoral powers. For example, the UNCBD by content is rather close to the MA of the RK under which the divisions responsible for SPA activity are functioning, while the MEP of the RK is a responsible body for realization of obligations under this convention. By the present time there is no interdepartmental group engaged in coordination of realization of the given Convention, though the Decree on its establishment was accepted 10 years ago during ratification of this Convention by Kazakhstan.

In regard to realization of obligations under UN FCCC it is necessary to note the Climate Change Coordination Center - a working body of interdepartmental commission on realization of obligations under UNFCCC and KP. To date, after two years of work this commission as a matter of fact has stopped working and now coordination on UNFCCC became considerably complicated. In terms of forthcoming ratification of the KP the given issue will be burning. Also it is necessary to note that the CCCC is a public organization and coordination of activities of the state bodies on realization of FCCC and the KP in future КП is rather problematic.

For realization of UNCCD the Working Group was established on a voluntarily basis under the MEP consisting of representatives of ministries, departments, NGO and scientific staff, the major result of work was development and adoption by the Government of the Program to Combat Desertification for 2005-2015. At present for successful realization of the given program and intersectoral coordination strengthening of the given working group by receiving of official status, or creation of special coordination center on CD stipulated by the adopted program is required.

In general it is necessary to note that in discussions of the working groups held within the project framework the offers on creation of coordination centers under each of the RIO Conventions or one center for performance of obligations under three international environmental conventions was expressed.

The practice of financing of EP activities on residual principle (the share of GDP for EP makes within 0.154% (2005)) is kept in the country. In this connection attention to EP problems of other state institutes are not sufficient. Probably, the insufficiency of attention to realization of RIO Conventions and absence of coordinating powers at responsible body of these Conventions is explained by this fact.

In its turn an interdepartmental barriers are rather negatively reflected on the researched problematic.

The root causes of the given complex problem are:

- There is no official agreement between the MEP and ministries and agencies on joint work under Conventions.
- Developed interdepartmental coordination does not allow the MEP to provide to the full extend such coordination in performance of obligations on IEA.
- Antagonism of departmental interests.

Complex cause 3 - Insufficient participation of civil society in decision-making on realization of the conventions.

At present there is an extremely ambiguous situation on participation of civil sector in realization of international environmental conventions, and also in the field of possibility of their participation in such processes.

Expert assessments of the capacity of Kazakhstani civil society for realization of major IEA shows, that opinion on many issues differ from "good" up to "poor". Unanimity is marked only on the fact that the capacity has ways for development if to remove the barriers.

Over the last years the government has undertaken a number of steps for maintenance of public participation in realization of IEA - a number of acts, normative documents, plans and strategies have been adopted, called to enable the third sector to participate in ecologically significant processes, including combating desertification, climate change and conservation of biodiversity.

Among the major documents it is necessary to note:

- The Law On Public Associations
- The Law On Environmental Impact Assessment
- National Development Strategy "Kazakhstan - 2030"
- The Program of state support of nongovernmental organizations of the Republic of Kazakhstan for 2003-2005 (Approved by the Governmental Decree of the Republic of Kazakhstan №253 as of March, 17, 2003). Adoption of this program was important first of all as a political guideline/ sign that the Government and the President consider the third sector as the perspective partner and the full member of the civil society of Kazakhstan.
- The Law of the RK On the state governmental contractual work, in which environmental works are identified as a separate kind of social works.
- The Concept of Environmental Safety of the country for the period till 2015, where necessity of environmental education of the population is separately highlighted.
- The Strategy of Environmental Education,
- The Program of the Ministry of Education and Science on development of education.
- The Instructions on EIA (points on public hearings).
- The Instruction on public access to the environmental information.

Except for creation of legislative and normative environment, supporting public participation, a number of institutional changes have been created, among which capacity building of Kazakhstani community on involvement into decision of environmental problems, including in realization of the major IEA.

The largest of them, including public representatives, are:

- Public Council under the Minister of EP
- Council on Sustainable Development under the Government of the

Republic of Kazakhstan.

Obvious positive factor is that over the last years civil organizations have ceased to be perceived by the state structures as hostile force. The key step in this direction has been made with acceptance of the Law «On social order», which show to administrations of all levels, that noncommercial organizations is legitimate partner of the state.

However, it is necessary to note that the undertaken by the state and the third sector steps for public participation in realization of IEA are not sufficient and ineffective.

In particular, there is no legislation, which makes intersectoral cooperation of business - civil society interesting or even viable. There are no real tax privileges for charity organizations or environment friendly business. The civil sector not being interesting to business in economic sense, is not considered by the latter as a worthy partner for any interaction. Deviations from this rule happen for large foreign companies which policy on their native land demands preservation of "good name" abroad as well. If there is no such policy, these companies do not negotiate with civil sector at all. Another exception is recently created political association of businessmen and noncommercial organizations «Civil Alliance».

Also it is necessary to recognize, that the established under the MEP Public Council did not become a significant step forward to increase the efficiency of cooperation of the government in person of the MEP and civil sector in the person of selected environmental organizations. Unclear formation, vague status and rarity of work impart to this structure declarative and even ritual character.

One of the terms of intersectoral, as well as any other interaction, is at least the mutual knowledge of the subject and aims of such interaction. To date the level of knowledge of potential partners is extremely low. Absence in Kazakhstan of systems of collecting, storage and distribution of environmental information on purposes, tasks and practices on IEA, has as a consequence weak participation of civil sector in decision-making process.

All this in experts' opinion results in institutional weakness of noncommercial sector undermining the interest and trust as to the partner of possible intersectoral interaction.

Experts find out one more problem inadequate (as a rule, overestimated) assessment of capacity of civil society for its participation in a country life (and IEA performance, in particular).

Official reports reflect hundreds of actively working NGOs, including on the three basic IEA. The amount of engaged advisers and experts in these NGOs is measured by tens thousand, and the number of volunteers exceeds hundreds thousand.

These figures poorly agree with local practice. All these NGOs exist only in virtual reports. It is enough to visit any regional conference of NGO and it becomes obvious that in the most advanced areas there are some TENS of actively NGOs working on ALL DIRECTIONS, and accordingly some of ecological orientation. "Reported" estimates of number of NGOs and engaged kazahstani experts are overestimated at least in ten times, and in some cases in hundred times! Interest of the government to overestimate the

amount of NGOs it clear as the more NGOs in the country the better is the look before the international community. Probably, similar causes force international organizations to use in their reports mythical number of NGOs - in fact the more NGOs, the better work of these organizations.

Unfortunately, the life shows the opposite. The amount of actively working environmental NGOs is reducing every year. It is necessary to agree with opinion that there are only a few NGOs in Kazakhstan working in the specific area of realization of IEA, ENGAGING SEVERAL TENS OF PEOPLE ON INCONSTANT BASIS.

Such a big difference in estimations speaks about an extreme irregularity of the situation that in its turn serves as a proof of so to say «unrepresentativeness of the sampling» speaking in statistical language. In other words, there is a small amount of examples that an "average" picture is very difficult to see.

Thus, the root causes of the given complex problem are:

- Absence of awareness about the parties of IEA of prospective intersectoral interaction that makes this interaction not only inefficient, but also impossible without acceptance of special measures.
- Mutual unwillingness of the third sector and state bodies to compromise on issues of decision-making under Conventions.
- Disloyalty of financial policy of the state to the third sector.
- Extreme weakness and small number of civil society caused by social passivity of the population and absence of effective state support that makes «the third sector» inefficient partner in intersectoral cooperation at realization of IEA.
- Overestimated capacity assessment of participation of civil sector in decision-making process under Conventions.

Central problem 3 – The system of motivation of activity of the state bodies and nature users is not effective enough for achievement of the aims of the Conventions.

To the system of motivation of the activity to meet the aims of the Conventions relate the following:

- National strategies, Action Plans, National programs directed on achievement of the purposes of the Conventions.
- Development and improvement of the normative and legal base connected to realization of the Conventions,
- Creation of institutional and other conditions providing consideration of obligations under Conventions in the activity of decision-makers.

The general political environment of the country is favorable for realization of three Conventions. Kazakhstan has executed necessary requirements for legal effect of three RIO Conventions on the territory of the Republic of Kazakhstan. The corresponding legislation (frame laws, legal acts etc.) as a whole exists, however, by-laws, rules, procedures, called to improve practical activities in the focal areas of the Conventions have

not reached a due level yet. The resource saving is declared a basic principle in many documents of frame character.

There to, according to the Law of the RK «On Environmental Protection» (1997) one of main principles of environmental protection is rational use and reproduction of natural resources, stage-by-stage introduction of paid nature use and introduction of economic incentives for environmental protection. Finally it is stimulation of resource saving in all manifestations. According to the same Law nature users are obliged to end use of natural resources under conditions of their granting, to use economically the given natural resources, to not damage environment and to outrage the rights of other nature users.

In 1997 the Law of the RK “On energy saving” has been accepted. To the basic directions of the state policy in the area of energy saving listed in the Law relate the following:

- Optimization of energy production and consumption modes, its account and control;
- Investigation of power efficiency of enterprises, establishments and organizations;
- Examination of energy saving production, working and reconstructed objects, technologies and equipment;
- Recycling of secondary power resources and waste products;
- Realization of projects on introduction of power efficient techniques and production, high technologies;
- Introduction of scientific researches and new ways of management in this area;
- Reduction of losses of fuel and energy resources at their extraction, transformation, transportation, storage and consumption;
- Maintenance of accuracy, reliability and unity of measurement regarding the account of released and consumed power resources;
- Introduction of new and improvement of working construction norms and rules providing the savings of power resources.

The basic lack of the country legislation on the problem of resource saving is that substantive provisions in this issue remain declarative and are not practically realized. The corresponding legal acts and by-laws which would adjust and stimulate resource saving are not accepted. Further on it is necessary to improve the legislative base on conservation of biological diversity and sustainable use of its components. Reduction of greenhouse gases emissions demands development of legislative conditions for creation of national system of licensing of quotas on emissions of GHGs.

There is no effective practice of economic incentives for preservation and sustainable use of biodiversity and lands, as well as for prevention of negative influence on climate. Measures of economic incentives create payment system for the use of resources (land and biological), but actually the nature users prefer to pay for the use of resources, and pollution of the environment, rather than to incur costs on prevention of pollution and introduction of effective resource saving technologies.

Economic development of the last years has given a push to a plenty of various development strategies and programs. There is a partial ambiguity in functioning of the legislative system, financial and economic mechanism, regulating the issues of biological diversity, desertification and to a lesser degree - climate change. The necessity of regulation of the accepted and approved state strategies and programs on performance of

obligations under RIO Conventions became obvious.

The National Program and Action Plan to combat desertification is developed and approved by the Government. At present time there is no Strategy and Action Plan approved by the Government on biodiversity and corresponding program document on the problem of climate change.

Undesirable impacts of the given problem are:

- Stagnation and sluggishness in decision-making by the state bodies and nature users on issues connected to realization of obligations under Conventions.
- Insufficient level of integration of aims of the Conventions in daily activity of the society.

The complex causes of the given problem are:

Complex cause 1. - Imperfection of legal base and economic incentives for achievement of aims of the Conventions.

Over the last years in Kazakhstan a lot of laws and by-laws important for realization of the aims of the Convention are accepted. In this regard more detailed study deserve the norms of new Land, Forest, and Water Codes, the Code on Administrative Offences, Laws "On Specially Protected Areas", "On Environmental Protection", of some decrees of the Government of the RK accepted for the realization of specified acts and many other normative legal acts.

For example, the land legislation of the RK is one of the most developed branches of legislation regulating the use and protection of natural objects. Besides the Land Code of the RK as of June, 20, 2003, the land legislation consist of the whole package of laws and by-laws providing various state legal measures for rational use and protection of lands in the Republic of Kazakhstan. At the same time for today there is no necessary full scale basis for acceptance of legislation adequate to the aims of the Convention.

Though the strategic documents stating that Kazakhstan being the full member of the United Nations on the partnership basis should try to use international cooperation to carry out effective ecological policy is underlined, however the given direction of activity is carried out by separate state bodies responsible for development of normative and legal acts not to the full extend. In this connection it is necessary to remove on legislative basis those legal and institutional causes which, for example, result in loss of biodiversity.

The further expansion of international cooperation on environmental protection should be directed on:

- Carrying out of the analysis of the legislation of the Republic of Kazakhstan on environmental protection and norms of international law within the framework of obligations under the international contracts and agreements;
- Maintenance of maximal approach of national legislation to the countries of European Union;
- Further development of legal mechanisms for realization of international

environmental conventions in Kazakhstan.

In experts opinion the Conventions signed and ratified by the country do not assume obligatory creation of separate mechanism of their performance by the country and should be realized through programs and action plans since the norms of the Convention are stated in declarative form, in traditions of the European and American general law; the Kazakhstani legislation is build on the traditions supposing a detailed regulation. Therefore, the norm on advantage of provisions of the international agreements and conventions should be considered as a reference point for as more as possible efficient incorporation of provisions of the international agreements into the national legislation.

It is also highlighted that such national frame documents, as programs, plans, and policies corresponding to thematic areas not always reflect principles and the approaches incorporated in Conventions. Some programs and the state strategies (for example, on climate change) are not accepted in the country yet.

Frame laws on EP and sustainable development predetermine acceptance of corresponding legal acts and sub-laws (rules, procedures etc). Such documents are developed and approved in the country, but owing to their big number and disorder their execution is occasionally restrained. Absence of some legal acts on issues of regulation of biodiversity conservation and land degradation is marked also. In relation to activity connected to prevention of climate change and adaptation measures such documents in general were not accepted in the country. Due to the absence of special requirements the activity for achievement of the aims of Conventions either is not carried out, or is rather limited.

Besides the system of environmental management related to the focal areas of the Conventions is not based on economic incentives of good practices and existing fines for damaging of EP are less effective in this issue.

The root causes of the given complex problem are:

1. Lack of attention to the problem of legal maintenance of performance of obligations under Conventions on the part of the state bodies responsible for the given directions (MEP, MA etc.).
2. Institutional barriers (duration and excessive complexity) for the development and agreement of legal acts related to realization of the Conventions.

Complex cause 2. - Insufficient motivation for consideration of the aims of Conventions in the activity of decision-makers.

Working environment, motivation of the personnel both in state institutions and other organizations responsible for performance of obligations under RIO Conventions are still paid an extremely insufficient attention.

The experts keep in contact and there is an aspiration for knowledge and experience exchange between colleagues (at intersectoral level such tendency is less distinct). However there are age barriers, and claims of some people on correctness of their opinions in certain issues. These difficulties were faced basically at work with research sector and a number of NGOs (on biodiversity, desertification). Participants of these

processes criticize the results, without bringing due contribution to improvement and stability of the received and discussed results.

It is rather difficult to assess expert's productivity. There is no clearness in used criteria of assessment of such productivity.

Over the last years due to the development of the institute of public service and active work of international organizations, the skills and efficiency of interpersonal skills of experts on professional issues have considerably increased. It specially concerns to the experts working in the projects focusing on three focal areas (especially on climate change and biodiversity). Experts show interest to opinions of colleagues, aim at obligatory respect of all opinions, and participate in process of agreement. On separate cases knowledge of foreign languages is not a barrier for a dialogue. In research sector and also in a number of state institutions former stereotypes of dialogue with colleagues are kept.

The serious factor influencing motivation and the attitude to work, as well as efficiency of accepted decisions is the priority of personal interests. Recruitment of personnel is not always optimal. Though over the last years the government made considerable efforts on organization of competitive system of staff selection for the public service, the problem is not solved yet. Quite often for corresponding posts apply experts who do not meet qualification requirements, who are unable to adequately react and make decisions on issues of the global environment. The protectionism in staff employment is observed.

In general it is necessary to note, that in the country there are significant manpower resources, for realization of obligations under Conventions. However in various regions of the country availability of such resources differs. Besides in connection with transitional difficulties a part of the highly qualified experts were engaged in private business on related specialties (various Ltd., JSC), or were compelled to change the qualification or have left the country. Ageing of the highly qualified staff is marked in a number of scientific and educational establishments related to the Conventions (in particular, KazNIIK, KazSU etc.), with leaving of separate employees the whole fields of study are closed. Renewal of staff is complicated due to the absence of due material and social incentives for the youth. In connection with positive changes in civil service (increase in wages, some social privileges for purchases of habitation, etc.) its prestige has considerably increased. However, the state bodies are poorly provided with highly qualified experts on focal areas. Remoteness of the new capital of Kazakhstan from the center of science and former capital Almaty City also affects. The deficiency of engineers is kept, there is no staff on environmental insurance, and training of ecologists-experts on standardization practically is not carried out.

Thus, inter institutional systems of motivation of civil servants participating in realization of Conventions are not effective enough.

The root causes of the given complex problem are:

- *The terms of reference of civil servants related to Conventions do not establish provisions on the related work;*
- *Ineffective interdepartmental system of exchange of information, knowledge and experience in relation to three Conventions.*
- *Ineffective methods of work, management, motivation and attitude to work.*
- *Insufficient experience of the organization of dialogue with international organizations, donors,*

- *Insufficient experience of the organization on work under the programs related to performance of obligations under Conventions.*

Central problem 4. - Insufficient knowledge / awareness on problems and practical approaches for achievement of the aims of Conventions.

Knowledge for realization of RIO Conventions can be classified as follows:

1. Thematic knowledge (knowledge of the problem, influencing factors, causes and effects of its occurrence and development, influence on other adjacent problems, such as economy, society etc.).
2. Practical knowledge on solving the problem (advanced practices, knowledge allowing developing new practices to solve the problem).
3. Managerial skills (knowledge of procedures and mechanisms of introduction of advanced practices, interpersonal skills, negotiating, decision-making etc.)

Availability of all three groups of knowledge would allow introducing successfully the purposes of RIO Conventions into the practice of daily activity of the state bodies responsible for EP policy, nature users and society in general for its development.

Theoretically for successful performance of international conventions it is desirable that the purposes of the Conventions were taken into account in activity of the following persons:

- Civil servants - at decision-making on the complex of social and economic issues,
- Nature users in regard to application of corresponding technologies and their influence on EP,
- Ordinary citizens in regard to behavioral stereotypes and civil position to global environmental problems.

The given central problem covers practically all activities carried out within realization of obligations under the international environmental conventions. It includes development of the strategies, programs and plans, as well as performance of practical activities on prevention and adaptations to climate change, combat desertification, conservation and sustainable use of biodiversity components. The completeness of the contents, correctness, results of activities on global environmental problems, and duration of agreement procedure depend on the professionalism of decision-makers. This would allow avoiding agreement procedure in the state bodies and, accordingly, starting realization of many projects on global environment and sustainable development.

The consequences of the given central problem are as follows:

- The aims of the conventions are not reflected in work practice of the interested parties who has direct or indirect relation to performance of obligations under conventions.
- The country does not benefit from realization of the aims of Conventions
- Conventions are poorly integrated into development of the country

The complex causes of the given problem are:

Complex cause 1. - Absence of uniform system for knowledge management for application of Conventions in various sectors.

The corresponding accessible databases on advanced practices in various sectors of economy, which would promote the aims of sustainable development including RIO Conventions, are not created yet in the country. The mechanism of exchange of corresponding information between science, state bodies and nature users is not adjusted. The reason is also caused by divergence of theory and practice developed during the transition period in economy, formation of the state system and stagnancy in decisions of civil servants and nature users. Frequently the accepted legal acts, instructive materials other rules directed on knowledge management are either ignored, or carried out partially.

Stereotypes and arrangements developed in the course of time in the scientific environment (orientation to theoretical aspects of problems, absence and insufficient economic assessment of efficiency of offered decisions, etc.), do not allow adapting entirely for the changing social and economic environment in conditions of globalization. In this regard an insufficient consideration of scientific results at decision-making on problems of global environment is observed. The lack of development of information communications also affects the situation.

There are also objective various opinions on the causes of global environmental problems, in particular, on climate change, desertification and aridization of territories. There is a certain scientific base, including the leading scientific research institutes and universities, such as KazNIIMOS, Geographical Institute under the MES of the RK, Institute of Botany and Phyto-introduction, Institute of Zoology, Institute of Soil Science under the MA of the RK, KazSu named after al-Farabi etc., with highly qualified staff heading the scientific schools and directions. On the one hand the pluralism of scientific opinions on the global environment is quite justified, on another - it is partly a barrier for systematization and generalization of the information on the essence and contents of such global problems as CC, desertification, and biodiversity. In many respects it is caused by insufficiency of analytical researches, absence of corresponding bases and databanks, which would allow to systematically covering the problems to make correct and adequate decisions on the global environment at national level.

The reason is caused also by insufficient availability / inefficient use of modern information technologies. As the questionnaire has shown, the state bodies have an access to the global Internet, use e-mail, but the skills of use are rather limited. Educational and scientific institutions, especially at regional levels are much more poorly provided with information technologies due to significant costs for Internet providers' services, and in some cases due to the lack of skills of use of the given technologies. The reason is the language barrier (lack of knowledge of foreign languages) and as consequence impossibility to use the information on global environmental problems from primary sources. Partially the problem is caused by mistrust to the information received through modern information technologies, or the information received from abroad (there is an opinion that such information is purposefully changed to please any country or international organization).

Thus, the root causes of the given complex problem are:

- *The system of information interchange between science, state bodies, nature users and international organizations is not adjusted.*
- *The science does not generate practical results.*
- *Insufficient use of information technologies.*
- *Insufficient level of analytical researches.*

Complex reason 2. – The system of training / retraining of state personnel with a view of necessary level of knowledge and skills for realization of conventions is not adjusted.

Conditions for professional growth of employees of EP system at present are created. In 2004 the Institute of additional training was established under the Ministry. But the curriculum does not include issues of performance of the Conventions at intersectoral level yet. Attraction to the process of training of experts of other state bodies in regard to performance of obligations under Conventions, as well as to carry out trainings for experts on focal areas, and creation of material and technical basis is necessary. During capacity assessment within the project it was often found out, that the state bodies which are not engaged directly in issues of EP are not competent in realization of obligations under conventions, they are facing a problem of manpower resources for participation in this process and intersectoral coordination. Opinions on absence of system of continuous training of employees directly or indirectly participating in performance of RIO Conventions and engaged in EP issues were expressed. Often reforms in the governmental system, changes of its structure due to incompleteness of formation of system of public service complicate the situation.

Thus, the root causes of the given complex problem are the following:

- Issues of realization of RIO Conventions are not included into the training programs carried out under the MEP.
- Issue of participation in training courses of representatives of other ministries and agencies involved in realization of obligations under Conventions is not regulated.
- Leading domestic and international experts are not always involved into the process of retraining.

Complex cause 3. - Educational system does not provide a sound practical professional training for realization of the aims of the Convention.

Obligations under conventions are subject of professional work of huge quantity of specialties for the MEP, MA, MES, various agencies on environmental management etc. Performance of obligations is guaranteed by successful realization of a paradigm of environmental sustainable development, which with a reference to education system is transformed to a paradigm of environmental education for sustainable development.

In the international documents environmental education is considered as «system constitutive component of all educational process determining its strategic purposes and leading directions, creating an intellectual, moral, spiritual basis of the school in future». At the World Summit on Sustainable Development (WSSD) in Johannesburg in 2002 in which

the heads of the states, governments, NGOs, international organizations, representatives of major groups of population and mass-media have taken part, the role of environmental education (EE) and education for sustainable development (ESD) in the decision of environmental problems has been specially underlined.

To date inefficient results of traditional education system became obvious. This is proved not only by heads, researchers and organizers, but also by consumers of these results: heads of the enterprises giving an employment to graduates of high schools. In their opinion, the today's educational system does not meet its functional purpose on socialization of the person and his integration into the modern rigid market environment. It is explained by obsolescence of the "cost-in-no-object approach" to education when *investments into education were not perceived* as deposit into the human capital of the society. It allows the Government and local administrations to save resources on education system, allocating fund by residual principles. At that the mentality and morals of employees of educational establishments are forced to "understand transitional difficulties". The similar gamble results in absence of labor motivation and deterioration of the quality of work.

It is necessary to note that over the last years the professional level of graduates for systematic work on problems of global environment and corresponding decision-making has visibly decreased. Particular specialty training of experts deprived from comprehensive understanding and vision of the situation as demanded by such multidimensional documents as multilateral environmental agreements are marked. Also some deficiency of specialties of technical / technological character is felt.

Nearly all higher educational institutions (HEI) of the country train ecologists / experts on EP, but frequently there is no system approach to training of such staff and descriptions of graduates cover inspection or monitoring activity only. Constant change of educational standards and the list of specialties, reforms in admission rules of HEI, and other reasons, such as excessive loading of auditotium block, certification and accreditation of educational institutions, etc. do not allow their employees to improve educational process, to raise qualification and improve the quality of knowledge of students. Partially former stereotypes and traditions of professional training focused more likely on the theory than on practice are kept. Nearly everywhere this factor is caused by weak material and technical base of chairs of universities and institutes, by the lack of the new teaching materials, insufficient maintenance of IT-technologies, access to the Internet, etc. Ageing of personnel workers of HEI, absence of sufficient material and social incentives (payment level, medical insurance etc.) for efficient educational process also affects the situation. Over the last years due to the growth of attention to social problems and availability of the state funds for their decision, the payment of state employees, science officers and workers of educational sphere is increased. However it still remains insufficient and is much smaller the payment of commercial sector.

All these questions leave far beyond the capacity building for realization of obligations under IEA, but without their decision this process is difficult to settle. It is obvious, that the MEP in its capacity of responsible body on realization of IEA should put these questions before the MES of the PK, in particular, to determine the list of specialties necessary for performance of obligations under Conventions for joint corresponding monitoring of training of such experts, to participate in development of standards and passports of necessary specialties.

In the contents of the given central problem there is also another side connected to the present stage of country development - transition period and economic difficulties. Deficiency of some specialties and poor quality of training of various experts necessary for successful performance of obligations on IEA is explained by low payment and as consequence by low prestige of these trades. Strengthening of environmental protection as a field of activity, increase of its status in the activity of branches of economy (especially power energy, rural, forest) will promote solving of some problems, will allow to increase demand for such experts, and finally should lead to improvement of quality of their training.

Thus, the root causes of the given complex problem are:

- Insufficient material and social stimulation for strengthening of system of professional training including for realization of IEA.
- The settled traditions and stereotypes of professional training on EP with orientation of educational system to theoretical knowledge rather than practical training.
- Insufficient level of material and technical equipment of educational institutions which are carrying out professional training on EP,
- Insufficient level of coordination of the MEP and the MES on issues of professional training necessary for realization of IEA in the country.

Complex cause 4. - Insufficiency of information on economic benefits of observance of the aims of Conventions for the policy of development.

An important barrier for performance of Conventions is low awareness of agencies and, partially nature users about benefits of observance of obligations under these Conventions.

The benefit determines formation of a way of life. Commercial value of natural biota is caused by its recreational or aesthetic value. It substantially stimulates sports business, tourism etc. Natural biota attracts commercial interests connected to its direct use. The most significant is fishing, timber and trade in exotic kinds of fish, reptiles, mammal, birds and plants. Damaging biota affects commercial interests accordingly. Even when the species is protected by the law economic stimulus is strong enough for poaching and shady business. And when certain plants or animals become rare the price rises according to an economic law of supply and demand, promoting their catching or gathering.

For development and realization of economic policy, making correct economic decisions it is important to know economic value of natural resources and services.

Realization of obligations under global Conventions has certain economic advantage, thus positive aspects of observance of ecological factor in decision-making are:

- Resource saving, reduction of costs on restoration of the natural environment, increase of efficiency of use of resources,
- Increase of competitiveness of economy on the world market due to decrease of expenses connected to natural component,
- Opportunities of participation of the country on the whole and nature users in

particular, in the international cooperation and projects (reception and exchange of new technologies, modernization of manufacture, financial assistance from donors).

Experts mark the following constraints for observation of economic benefits from participation in global environmental conventions:

- Absence of techniques for economic calculation;
- Lack of information;
- Complexity of transforming of some ecological data in cost parameters;
- Absence of incentives for observation of economic benefits from participation in conventions due to inefficient system of economic payments for the use of natural resources and damage to EP.

The decision of environmental problems should bring to the society economic results as well. This to a certain extent is an analogue of a policy of "a double benefit" when decision of economic problems results in environmental effect. Due to rational use of production wastes there is an opportunity of additional profit from 5 up to 20 % from basic production. Efficiency of environmental protection and completeness of use of production wastes are at rather low level, and average to 15-60 % depending on the way of transformation of production wastes into secondary target product and other objective causes.

The principal lack lays is inconsistency between forecasting of rates, volumes, structure of goods production and development of global economic measures for achievement of optimal proportions between manufacture of basic and by-product in specific area.

The purpose of sustainable development of the country is dynamical social and economic development on the basis of effective use of economic resources of the country and advantages of international division of labor at conservation of natural reproduction capacity.

In terms of transition from economic development (maximal income from the invested expenses) to ecological and economic development (ecodevelopment, sustainable development) the aims of management essentially change. The structural and technological rationalization of economy can release 20-50 % of natural resources used inefficiently at present time with increase of the final results.

Expenses for performance of environmental obligations of entering of countries of Central and East Europe into the European Union are estimated in 120 billion Euros only for protection of air, water and wastes. This figure represents the scale of environmental problems in the region. The size of necessary investments into environment will make up 2-4 per cents of GNP per year within 10-20 years.

Environmental business includes various aspects of business activity directed on high quality environmental protection. According to preliminary estimations, on the average the amount of ecologically adapted clean internal product makes about 60-70 % from gross national product. In 2002 the GNP of Kazakhstan has made 24,6 billion US dollars, so

approximately 7,4 billion US dollars can be referred to estimated costs due to exhaustion of natural resources and environmental pollution.

Such calculations were not widely distributed in Kazakhstan yet, in the process of decision-making the emphasis is basically done on economic development, and economic benefit. Though efforts for accounting of economic losses from industrial activity are undertaken by the country, the given system does not answer the purpose of economic incentives of prevention of such damage yet. So, the measures of economic incentives create the system of payment for use of resources (land and biological), but actually nature users prefer to make payments for use of resources and pollution of the environment, rather than to incur costs for prevention of pollution and application of resource saving technologies.

Meanwhile, there is a significant scientific capacity for development of techniques of effects estimation from performance of obligations under conventions and adaptation of such techniques following the world experience. In the country function the Institute of Economy under the Academy of Sciences, Institute of Strategic Researches under the President of RK; high capacity educational institutions of economy are created engaging the most outstanding scientists - economists.

All above-stated allows formulating the following root causes of the given complex problem:

- There are no actual needs for application of environmental and economic assessment connected to participation in the conventions in practice.
- Experience of developed countries on the use of economic benefits from performance of obligations under Conventions is not investigated enough and not adapted to the country conditions.
- The level of knowledge of corresponding assessments techniques is not sufficient.
- Lack of economic needs to benefit from participation in Conventions.

During the work on analysis one more barrier directly related to all four above-stated central problems of capacity has been identified. It is **inadequate (overestimated) self-assessment** of some interested parties on performance of Conventions. Experts marked, that such self-assessment is not related only to conventions, but also to EP in the country on the whole.

The given barrier does not create preconditions for real changes in the current situation, does not show an opportunity for capacity building in sphere of performance of Conventions. Sometimes there is an impression on inadequacy of process, insufficiency of forces and resources for successful realization of activities.

Partially the given barrier connected to absence of practice of application of transparent, accessible and numerically determined indicators of activity for progress assessment. Most frequently (in reports) the used indicators of activity in the sphere of EP are reduced to:

- To amount of funds spent for nature protection activities,
- To number of checks and revealed infringements,
- To fines and levies for violation of the nature protection legislation and norms of emissions of harmful substances to the environment,
- To number of the projects realized in the country,
- To the budgets of realized projects.

The last two indicators can be applied as criteria on realization of Conventions (for instance international project / untied grants are directed on realization of Conventions (for example GEF projects)). Such indicators are present in official reports and statistics, but they, as a rule, are considered without reference to the analysis of performance of requirements of Conventions. In reports of official bodies only qualitative information on activities carried out within the framework of Conventions is provided.

Thus, there is practically no system of comprehensible progress indicators for an assessment of works performed under Conventions.

In its turn the absence can be explained by a weak regulation of mandatory application of correct indicators during the work of the interested parties. Most likely uncertainty in this issue can be caused by fears of the interested parties that the problems of their capacity and shortcomings will be exposed before superior bodies and by that to reduce the level of assessment of their activity at the state level. Such situation does not allow paying proper attention to capacity issues of decision-makers and structures for performance of obligations under Conventions. Capacity Problems of, necessity of its assessment and building do not find due understanding at officials.

Elimination of barrier of the overestimated assessment of capacity of the interested parties for realization of Conventions presupposes:

- Development and regulation of application of correct quantitative indicators of work under Conventions,
- Change of the attitude of the interested parties to the issues of capacity assessment (it is necessary to achieve perception of such assessment results not as groundless criticism and search of "guilty", but as detection of weak spots and finding out of latent opportunities for capacity building on work under Conventions).

Chapter 4. WAYS OF NATIONAL CAPACITY BUILDING FOR PERFORMANCE OF OBLIGATIONS UNDER CONVENTIONS

Taking into account the revealed factors constraining capacity building, it is necessary to identify the strategy and ways for capacity building for global environmental protection.

The strategic aim of international environmental conventions is to keep the quality of the global environment stable and in this regard Kazakhstan has undertaken an obligation to promote this aim. It is necessary to involve mechanisms of regulation of natural and industrial capacities of the territory, taking the global and national aims of prevention of ecological crisis and optimization of the human environment (the principle « think globally - act locally»). RIO Conventions promoting development of uniform rules and stage-by-stage actions directed on preservation and restoration of natural ecosystems (landscapes), stabilization and improvement of the quality of the environment are involved in ecological sphere. The goal of sustainable development is dynamical social and economic development of the Republic of Kazakhstan on the basis of effective use of economic resources of the country and advantages of international labor division with preservation of reproduction capacity of the natural complex.

Considering the fact that three RIO global environmental conventions meet the goals of sustainable development, and correct application of their provisions promotes social and economic progress, the strategy of capacity building should be built on such an environment when ratified conventions became one of the tools of country development.

Based on the analysis of obligations under Conventions and their performance by the country, it becomes obvious that activity in rural, forestry and power economy will give the most positive result from the point of view of achievement of the aims of these Conventions. The Action Plan on capacity building should be directed on proper integration of the Conventions into the practice of activity of these sectors of economy. It is necessary to achieve adequate and duly performance of obligations on IEA. So, it is obvious, that the aims of Conventions should be taken into account not at the adoption phase of any decision, but at the development of such decisions for that it is necessary to undertake a number of efforts directed on elimination of problem moments of capacity highlighted in Chapter 3 of the analysis.

So, one of the problem moments is absence of sustainable mechanism of realization of international environmental Conventions in Kazakhstan. This absence is expressed:

- In low efficiency of accepted measures on realization of activities within the framework of Conventions,
- In absence of systematic work on their realization.

As a consequence:

- Activity of various sectors of economy is not identified with the aims of the Conventions and not reflected in reports submitted to the Secretariats of the Conventions,
- An impression of complicated work under Conventions (since no visible results and benefits from participation in the Conventions) is formed.

The given problem relates to all other general problems of capacity identified in 3 Chapter, therefore its decision is represented as the most significant. The decision of this problem is directly connected to:

- Increase of attention of the Government and state bodies to application of provisions of the Conventions,
- Authorization of responsible body on realization of the Conventions,
- Creation of procedures for conservation of aims of the Conventions in developing and accepted state and branch programs, legislative and legal documents.

The tasks on creation of sustainable mechanism of realization of the Conventions are:

- To fix the functions following from ratified conventions and to identify the sources of financing
- To promote elimination of contradictions in interests of the state bodies regarding realization of the Conventions (MEP, MA, ALM etc.)
- To organize systematic work under Conventions
- To remove contradictions in priorities of the state programs of various and adjacent subjects regarding thematic areas of the Conventions. To promote consolidation of efforts within the framework of programs of various budgetary lines
- To create the mechanism of mutual account of directions of activity and material and financial assets among various programs related to the Conventions.
- To remove contradictions of the national and international legislation on the Conventions

The important role in formation of the mechanism of realization of the Conventions plays intersectoral and interdepartmental cooperation. The global environmental conventions are the multidimensional documents developed and accepted at high level and directed on coordination of efforts of the countries in the field of protection of the global environment.

The work under Conventions includes decision of issues in the field of policy, legislation, management, financings, production, attraction, application and exchange of technologies, scientific researches, education and many others.

Thus, the work under Conventions is not only the activity in environmental (nature protection) sphere, but also in other spheres and sectors of activity (for example, an agriculture, forestry, power, sphere of land management etc.). The organization of due work in these sectors as well as in the sphere of environmental protection promotes the progress in achievement of aims of the Conventions ratified by the country.

Such work demands close interdepartmental and intersectoral cooperation, search of compromise settlements and joint responsibility for execution. All this conditions the establishment of the so-called authorized body on realization of Conventions in the country which will provide close intersectoral and interdepartmental cooperation, and also unity of the conducted policy and measures on realization of Conventions ratified by the country.

According to the guidelines MORE STRICT OBSERVANCE AND REALIZATION of MULTILATERAL ENVIRONMENTAL AGREEMENTS (IEA) accepted on the 5th Conference of the Ministers «Environment for Europe» in 2003, for observance of its international obligations is recommended to each country to determine the responsible body for realization of the Conventions. For this purpose it is necessary to designate a body at the governmental level, at the level of the department / establishment, responsible for realization of this or that Convention.

Such authorized body should carry out the following basic functions:

- Development of plans, strategies, programs on realization of the Convention
- Monitoring of observance by the country of positions of the Convention
- Control, analysis and project proposals / recommendations on integration of provisions of the Convention into the strategies, state and branch programs of the country.
- Development of recommendations for consideration of provisions of the Convention at decision-making in various sectors economy and society.
- Organization and preparation of performance reports for the Secretariat of the Convention.
- Study of the world experience on realization of the Convention.
- Assistance to attraction of technologies and advanced practices for improvement of environmental protection.
- Organization and support of databanks corresponding to the subjects of the Convention.
- Participation on behalf of the country in coordination mechanisms of the Convention (Conferences of the Parties, working meetings, etc.).
- Preparation of expert materials and coordination of work on development of country position on issues related to the Convention.

Thus, the authorized body coordinates the country activity on realization of the Convention and observance of accepted by the country obligations, including the issues related to interpretation and application of provisions of the Convention, as well as the facts of its violation.

The authorized body cooperates with branch agencies / sectors of economy; all issues are considered and resolved by negotiations and consultations. As a rule, for this purpose corresponding agreements (Memorandums) on how they will cooperate in performance of obligations are concluded. For effective work it is necessary to provide availability of appropriate laws and administrative instructions at all levels of management for acceptance of effective measures on the current issues connected to realization, which arise during the lifetime of the Convention.

Tasks for strengthening and perfection of intersectoral / interdepartmental and inter agency interaction to meet the aims of the Conventions are:

- Increase of efficiency of the created Working Groups and Commissions on realization of the Conventions within the framework of interdepartmental and intersectoral cooperation,

- Organization of interdepartmental and intersectoral work under Conventions on the basis of Memorandums of interaction,
- Improvement of coordination of divisions of the MEP, MA, MES, MEMR and MEBP on the issues of realization of the Conventions,
- Assistance to maximum expedient attraction of the third sector to decision-making process on realization of Conventions,
- Assistance in development of compromise settlements at achievement of the aims of the Conventions (at interaction of the third sector with the state structures).

One of the main causes of absence of sustainable system of performance of obligations under Conventions in the country is ineffective system of motivation of the state bodies and nature users.

The norm on advantage position of international agreements and conventions should be considered as a reference point for as more as possible effective incorporation of provisions of international agreements into the national legislation, as the norms of the Conventions are stated in declarative form, and Kazakhstani legislation is built on the traditions supposing a detailed regulation.

In this connection the reference points on work on the given problem should become:

- Perfection of legal base and economic incentives for achievement of aims of the Conventions (realization of the Conventions on the basis of legal tools, perfection of economic stimulus for achievement of the aims of the Conventions);
- Increase of motivation to observe the aims of the Conventions in activity of the decision-makers (improvement of methods of work, management, motivation and the attitude to work, interdepartmental system of information exchange, knowledge and experience on achievement of the aims of the Conventions).

Any changes on system and institutional levels unsupported by due changes at individual level (at the level of behavioral directions and civil position) cannot lead to desirable changes in capacity building. From the point of view of three global RIO Conventions to this direction relate understanding of the aims of the Conventions and ways of their achievement, interrelations in thematic areas of Conventions, organization of work, information and knowledge on practices and methods of conservation and sustainable use of biodiversity components, prevention of desertification and processes of land degradation, mitigation of climate change and its consequences).

It is impossible to ignore the capacity building at individual level, as rapid reforming of legislation and institutional mechanisms unsupported by capacity of persons for whom these changes are intended and on whom finally the success will depend, can bring to nothing all undertakings as it rather frequently occurs in the countries with transit economy.

Strategic directions of public and decision-makers awareness increase for achievement of the aims of the Conventions can be:

- Creation of a uniform system for knowledge management for application of the Conventions in various sectors;
- Perfection of the system of training / retraining of personnel for performance of the Conventions;

- Maintenance of educational system of the country with a qualitative level of practical professional training for realization of the aims of the Convention;
- Informing of various sectors of society on economic benefits of observance of the aims of the Conventions in a development policy of the country.

The basic directions of the Action Plan on national capacity building should finally provide for:

- **For the motivation system:** the legal base and economic mechanisms promote to the interest of nature users (sectors of economy) in observance of the norms and rules for achievement of the aims of RIO Conventions.
- **In intersectoral / interdepartmental cooperation:** search and acceptance of compromise settlements between the country development and observance of environmental priorities; thus interaction between the state institutes promotes understanding of the role of the Conventions for the country development, their activity is directed on observation of the purposes of the Conventions at initial stage of decision-making, directly or indirectly touching thematic area of the Conventions.
- **On awareness and knowledge increase of decision-makers:** development of civil stand on the necessity of application of advanced practices promoting achievement, of the aims of RIO Conventions.
- **On the mechanism of realization of RIO Conventions:** the system is worked out in view of expediency and interest of sectors economy to follow a policy directed on achievement of the aims of RIO Conventions; the high-grade and resources-assisted authorized body on realization of Conventions is responsible for the mechanism of realization, carries out corresponding control and promotes creation of necessary preconditions for observance of the aims of the conventions in practice of decision-making in various sectors of the society.

CONCLUSION

The factors identified in Chapter 3 constraining capacity building, serve as a starting point to the development of Action Plan for the national capacity building to implement global environmental conventions. The materials contained in the cross-cutting analysis will form a basis for the development of the Strategy on capacity building, which should provide for an ultimate goal, specific targets, activities or separate projects. Development of such Strategy and Action Plan is the last stage of realization of national capacity self-assessment for global environmental management.

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Stages of self-assessment

Stage 1: Development of thematic profiles

Strategy of the stage (aim): Available reviews will promote deeper understanding of basic problems and opportunities in the field of capacity building in the future.

Basic results: Three thematic profiles and corresponding resumes of profiles (summaries) containing conclusions and results on each of thematic areas are prepared.

How the outcomes (basis) were received:

Outcome 1: Basic problems of the RK on climate change, combat desertification and conservation of biodiversity are identified from the analysis of the collected material, analysis of documents and reports on CC, materials on preparation of the second National Communication for UN FCCC, discussions and consultations with experts.

Outcome 2: The list of priorities in three areas – based on priorities stated in the first National Communication on UN FCCC, national reports on CD and BD, publications and reports of the MEP, KazNIIK, CCCC, and other organizations. The priority is established against the matrix recommended by UNITAR/GEF Guidelines and supplemented with a matrix developed by experts on CC, CD and BD by scoring.

Outcome 3: Basic conclusions on National capacity of the country to perform obligations under UN FCCC, UN CCD and UN CBD are received during preparation of the thematic profile and discussed at the seminar by thematic working group in October, 2004 (see below).

Outcome 4: Results of assessment of capacity restrictions determined on the basis of conclusions assessment.

Discussion of results: Astana, Ministry of EP, seminars of thematic working groups (on October, 11-13, 2004).

Attended by: Focal Points on UN FCCC, UN CBD, UN CCD, representatives of the MA RK, MEBP RK, MFA PK, Ministry of Emergency RK, ALM RK, MoH RK, UNDP staff, managers and members of project teams on wind power engineering, wetlands conservation, NCSA, SD, SPA, representatives of scientific research institutes, NGOs and independent experts of: PF «Asian - American Partnership», Research Institute on SD, KazSu named after al-Farabi, KazNIIK, CCCC, NGO «the Farmer of Kazakhstan», Institute of Ecology and SD, Semipalatinsk University, Institute of Botany under the AS RK, KazGosINTI.

Stage 2: Compiling tables of capacity assessment

Strategy (goal): Availability of assessment tables, information for which is received from thematic reviews will allow to effectively identify/specify the problems in each thematic area and cause and effect relationships.

The main results: The following tables were compiled:

- The table reflecting obligations of the RK under UN FCCC in basic strategic documents of the PK,

- The table reflecting obligations of the RK under UNCCD in basic strategic documents of the RK,
- Assessment table of performance of obligations under UN FCCC in the RK (strengths and weaknesses assessment),
- Assessment table of performance of obligations under UN CCD in the RK (strengths and weaknesses assessment),
- Assessment table of performance of obligations under UN CBD in the RK (strengths and weaknesses assessment),
- Assessment table of ways and constraints of realization of priorities under UN FCCC in the PK,
- Assessment table of ways and constraints for realization of priorities under UN CCD in the RK,
- Assessment table of meeting of the requirements of UN FCCC in the RK,
- Assessment table of meeting of the requirements of UN CCD in the RK,
- Assessment table of meeting of the requirements of UN CBD in the RK,
- Capacity SWOT-analysis on climate change,
- Capacity SWOT-analysis on combat desertification,
- Matrix of the factors constraining capacity building for performance of priorities on FCCC the United Nations,
- Matrix of the factors constraining capacity building for performance of priorities on CCD the United Nations.

How the results (basis) are achieved: the information for tables is taken from the thematic profiles and materials prepared at the first stage of the project.

Discussion of results: Forms of the tables have been prepared with consideration for making appropriate changes at their consideration by members of the working groups. For this purpose each of the tables is supplied with the corresponding instruction. The prepared tables were distributed among members of working group during December - February, 2004/2005.

The tables were distributed among members of working group representing:

- MEP
- MA
- Ministry of Justice
- Ministry of Emergency
- MEMR
- MEBP
- UNDP
- CCCC
- KazSU named after,
- KazNIIK,
- And independent experts working on three focal areas.

The interested parties have submitted comments, which were considered at the final assessment tables.

Stage 3: Compilation of «capacity problem trees»

Strategy (goal): "The tree of problems" representing full picture of actual problems and constraints demanding attention is a useful tool for analysis of primary causes. Such analysis helps to reveal the key problems (cause and effect), which have arisen on the way of each available priority task.

The main results: «The trees of problems» on each thematic area were developed.

How the results (basis) were achieved: Development of "trees" was based on the information from capacity assessment tables by the analysis of cause and effect relationship.

Discussion of results: The trees of problems were discussed at working meetings of thematic groups.

4 stage: Compilation of the summary table of general capacity problems on implementation of RIO Conventions.

Strategy (goal): The summary table contains the general factors constraining capacity building in three thematic areas. It allows formulating general capacity problems of the country for performance of three RIO Conventions.

The basic results: The summary table in which the last column contains general capacity problems is compiled.

How the results (basis) were achieved: The table is made on the basis of the information received from «the trees of problems». Comparing the contents it is possible to determine general capacity problems, formulated in last column of the table.

The first column containing the general factors constraining capacity building is filled according to recommendations provided in the NCSA Guidelines (UNITAR, 2001). Such factors in general look as follows:

- Public awareness and information exchange;
- National policy, legal and normative base;
- The basic authorized activity of institutes, coordination and processes of interaction and cooperation between all interested participants;
- Information management, monitoring and supervision;
- Science mobilization to support decision-making process;
- Transfer of financial resources and technologies;
- System of stimulation and market tools;
- Negotiations;
- Cooperation and communication with regions;
- Institutes management and efficiency of their activity; and
- Individual professional skills and incentive motives.

It is necessary to note that projects depending on conditions of different country are authorized to vary with the list of such factors.

Discussion of results: The table is discussed at seminars within the frames of the project.

Stage 5: Formulation of the central problems and their analysis

Strategy (purpose): The central capacity problems answer a question: why or due to what factors the country does not reach an essential progress in meeting the aims RIO Conventions. The central capacity problems are characteristic for performance of all three RIO Conventions simultaneously; they do not contain the particulars of features of this or that Convention. The central problems are caused by: complex and root causes. Further on the central problems are transformed into strategic purposes and answer a question: what it is necessary to strive for, so that efforts on realization of RIO Conventions brought corresponding results. The complex causes conditioned by the central problems should be transformed into strategic problems, and the root causes into corresponding capacity building activities.

The basic results:

1. Four central capacity problems are formulated:

- The mechanism of realization of the international environmental agreements is poorly effective at present: UN FCCC, UN CCD, UN CBD.
- Insufficiency of intersectoral/interdepartmental and interagency cooperation for achievement of the purposes of the Conventions
- The motivation system to meet the aims of the Conventions is not effective
- Insufficient level of knowledge / awareness on problems and practical approaches of achievement of the aims of the Conventions.

2. The trees of the central problems including the complex and root causes are developed.

How the results (basis) are achieved:

Output 1. The information for formulation of the central problems is received from the previous stage - summary table of the general capacity problems under three Conventions, considering GEF recommended principles of systematization of the revealed general problems on the following capacity functions:

- Capacity for conceptualization,
- Capacity for performance,
- Capacity for attraction of interested persons and reaching of consensus,
- Capacity for information and knowledge mobilization,
- Capacity for supervision, assessment and studying,
- and summarizing received at the previous stage problems have been reduced to four central.

Result 2. As a result of discussions with attraction of the interested parties, the trees of the central capacity problems have been developed.

Astana, Representative office of the United Nations, 20 July, 2005 - Round table on discussion of central capacity problems for performance of obligations under RIO

Conventions. As a result of work in small groups were the contents of the central problems were specified and the complex and root causes were determined.

Discussion of results:

Astana, Representation office of the United Nations, 20 July, 2005 - Round table on discussion of central capacity problems for performance of obligations under RIO Conventions. As a result of work in small groups the contents of the central problems and the complex and root causes were determined.

Astana, MEP RK - the workshop on discussion of capacity building problems of the country for realization of IEA. Environmental NGOs, international organizations, representatives of the ministries and agencies on three thematic areas attended the workshop. The workshop was conducted in the form of discussion facilitated by independent moderators, ensuring equal dialogue between the participants and objective opinions and judgments on the raised problems. Results of the seminar serve as a basis for an Action Plan on national capacity building for performance of obligations under three RIO Conventions.

Stage 6: Development of the strategy and Action Plan on capacity building (future stage).

Strategy (purpose):

Taking into account the central problems as the factors constraining capacity building elimination of which promotes its building, it is necessary to start development of the strategy of capacity building for protection of global environment. This strategy provides an ultimate goal, specific objectives, and action program. The strategy allows opening the basic line of capacity building for performance of RIO Conventions; it is necessary for "filtration" of proposals (basic actions) to Action Plan. The strategy defines a way of capacity building, its direction, priorities of activities. Strategy answers a question: «In what direction it is necessary to move to increase the national capacity for performance of RIO Conventions».

The Action Plan developed on the basis of the Strategy contains specific objectives, tasks and actions directed on strengthening of opportunities of the country to participate in protection of the global environment, performance of obligations under IEA.

Cross-cutting areas of activity on RIO Conventions of various sectors and directions of economy

<i>Fields of activity under conventions / main sectors and directions of economy</i>	<i>Agriculture</i>	<i>Transport</i>	<i>Power energy</i>	<i>Forestry</i>	<i>Tourism</i>	<i>Manufacturing industry</i>
1	2	3	4	5	6	7
Limitation of greenhouse gases emissions	X	X	X	X		X
Prevention of land degradation	X	X	X	X		
Reduction of threat to biodiversity	X	X	X	X	X	X
Absorption of emissions of GHGs	X			X		
GHGs Inventory	X	X	X	X		X
Forestation	X	X	X	X		
Rational use and protection of absorbers and stores of GHGs	X		X	X	X	
Application of technologies for increase of energy effectiveness and energy saving	X	X	X	X		X
Conservation of agro biodiversity	X			X		
Reference to GMO	X			X		X
Poverty eradication	X		X	X	X	
Biotechnology, creation of of gene fund of vegetative and fauna	X			X		
Maintaining of hunting	X			X	X	
Creation of SPAs	X	X	X	X	X	X
Introduction of innovative "know-how" for production and treatment of agricultural products	X			X		X
Regulation of rivers	X		X	X		

(preservation of water resources)						
Preservation of forestations	X	X	X	X	X	
Species introduction	X			X	X	
Allocation of wood genetic reservates				X		
Informing and awareness	X	X	X	X	X	X
Scientific researches	X	X	X	X	X	X
Creation of bases and databanks	X	X	X	X	X	X
Professional training	X	X	X	X	X	X
Total crossings:	22	11	15	23	11	11

The summary table of the general capacity problems under RIO Conventions

<i>The general factors constraining capacity building</i>	<i>Climate Change</i>	<i>Desertification/ Land degradation</i>	<i>Biological diversity</i>	<i>The general capacity problems</i>
Presence of individual professional knowledge and operation skills	Lack of qualified experts, Inefficient functioning of education system on CC; Problems of inconstancy of educational standards and the list of specialties; Absence of the training centers with continuous training and retraining on CC; Insufficient level of the staff and infrastructures for manufacture, operation and service of the equipment; Absence of experience in attraction of grants of international donors; Ageing of the staff of the top skills	Absence of systematic professional training to CD; Misunderstanding of the system (landscape) approach in CD; Insufficient expert skills on use of GIS-technologies; Low qualification level of graduates of high schools; Maladjustment of ecological information property issue and rules of its providing; Restriction access for NGO, local communities to the information of the ministries and agencies on CD problem, Weak local development of IT-technologies, insufficient level of development of training base on CD problem; Insufficient level of coverage of technological decisions on CD problem; Insufficient level of competence of special local bodies coordinating the issues of CD; Low methodical level of separate pilot projects (development) and lack of their duplicating; Insufficient level of awareness of agencies and local communities on benefits of prevention of	Low level of training of administrative and scientific manpower (low level of decision-making); Shortage of the base information on structure and condition of BD; Ineffective system of education on BD	<i>Insufficient level of practical knowledge on realization of three Conventions and mechanism of their realization</i>

		desertification and land degradation; Weak level of introduction of domestic development, inefficiency of system of access and information interchange on CD technologies		
Incentive motives, System of stimulation and market tools	Absence of real state stimulus for increase of energy effectiveness and increased use of renewable energy sources; There are no economic mechanisms of regulation of GHGs emissions; Low level of material interest of employees and their material safety; Insufficient level of economic incentives at employees of education system for perfection of training-educational capacity; Lack of real incentives for fuel consumption with low carbon contents; Absence of the state stimulation for reduction of emissions in agriculture and developments of new cultivation technologies of agricultural crops and cattle-breeding; Insufficiently settled frameworks of ecological and economic relations in nature management	An insufficient level of economic responsibility of users and owners of land, wood and water resources and pastures; Absence of uniform / transparent norms on land management, Maladjustment of issues of the land ownership; Insufficiently rigid responsibility for infringements in land management, Insufficient responsibility of local administrations in the decision of a problem of development of traditional crafts, insufficient level of activity of local NGOs on CD problem	The strategy on BD is not authorized by the Government; Insufficient level of economic and social interest in conservation of BD; Norms of withdrawal of bioresearches are not transparent; Gaps in legislation on attraction of private capital to the process of reproduction and protection of BD (Significant reduction of financial resources for protection and conservation of BD. High taxes out of line with importance of a problem)	<i>Insufficiency of the state incentives for performance of obligations under RIO Conventions</i>
Coordination and processes	Insufficient level of integration of the problems connected with CC into the state	Interagency barriers for creation of management system for account and	Imperfection of biodiversity management (undetermined relations on conservation of	<i>Insufficient effectiveness of intersectoral and</i>

<p>of interaction and cooperation among all interested participants</p> <p>Coordination</p>	<p>programs and development strategy; Antagonism of departmental interests; Absence of uniform coordinating body on CC issues; Absence of sufficient powers at nature protection department for obligatory integration of CC problems into the state programs and strategies</p>	<p>control; Lack of coordination of performance of scientific programs on CD and other related areas; Intersectoral barriers for integration of the adopted programme documents; Insufficient integration of activities on CD in plans of social and economic development of the country and other state program documents and programs at the local level; Insufficient development of institutional infrastructure providing interaction and coordination of state structures with the donor and noncommercial organizations on CD problem</p>	<p>BD (plant and fish resources, GMO)); Absence of systemic financing Branch programs are not interconnected; Conflicts of departmental interests; Indistinct distribution of mandates among the state bodies; Absence of the due specialized bodies on BD protection and use (Weak influence of the state bodies responsible for preservation of BD on the decisions, accepted by the Government)</p>	<p>interdepartmental interaction</p>
<p>The control and progress assessment of performance of the decisions</p>	<p>Insufficient development level of the institute of planning, forecasting and programming; Problems of correctness and adequacy in carrying out of independent technological and economic - ecological assessments of the projects directed on the decision of problem of CC, insufficient level of the control over use of wood resources (poaching throws)</p>	<p>A unsatisfactory level of realization of strategic environmental assessment of forecasts, plans, programs at stages of their formation and transition to economic mechanisms of regulation of wildlife management and environmental protection</p>	<p>The system of efficiency assessment of branch programs is absent or insufficiently advanced; there are no measurable quantitative and qualitative assessment indicators; There is no staff on assessment of efficiency of realization of programs and the forecast of the legislation</p>	<p>Absence of due control and progress assessment on achievement of the purposes of RIO Conventions PNO</p>
<p>Public awareness and information exchange</p>	<p>Insufficient level of development of information system on problem of CC; Lack of understanding of</p>	<p>An insufficient level of coverage of technological decisions of the problem of CD;</p>	<p>Poor public awareness; Insufficient amount of effective NGOs in the field of conservation of BD;</p>	<p>Not systematic information coverage of problems of the global environment</p>

	<p>importance of problems related to CC by decision-makers; Insufficient level of awareness on CC of the public, civil servants and decision-makers; Insufficient level of nongovernmental sector engaged in problem of climate change; Insufficient availability of the information on CC and its fragmentation</p>	<p>Absence of the information on organization of traditional crafts</p>	<p>Weak participation of civil society in preservation, restoration and use of BD</p>	
<p>National policy, legal and normative base.</p>	<p>Absence of the real legislative mechanisms influencing the volumes of GHGs emissions; Insufficiently advanced consensus between the Government and nature users; Declarative character of some acts related to CC; Unacceptability of existing system of licensing for emission of polluting substances; Insufficiency of attention to energy saving technologies in agriculture</p>	<p>Insufficient financing of accepted legal acts; Insufficient support of the government to the process of development of traditional crafts which decrease negative land impact.</p>	<p>Absence of the adopted National Strategy and Action Plan on BD (the national policy on conservation, reproduction, studying and rational use of BD is not developed); Imperfection of legal base; The economic assessment of bio resources is not carried out; Contradictions in the contents and use of legal tools; Costs of realization of accepted acts is are calculated; The strategic environmental assessment of legal acts is not carried out; Inadequate performance of the legislation on BD</p>	<hr/> <p><i>Imperfection of preparation and execution of legal acts</i></p>

Trees of central capacity problems







