



Global Environment Facility

GEF/C.18/11
November 6, 2001

GEF Council
December 5-7, 2001
Agenda Item 11

NOTE ON THE FOLLOW-UP TO THE CAPACITY DEVELOPMENT INITIATIVE

Recommended Council Decision

The Council, having reviewed the *Note on the Follow-up to the Capacity Development Initiative* (GEF/C.18/11), and recognizing its decision in May 2001 to include in the corporate budget for FY02 resources necessary to carry out the Council's decision on follow-up to the Capacity Development Initiative, approves the proposed budget of US\$289,800 to cover the activities described in the note.

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INTRODUCTION

1. Strengthening the capacity of countries to undertake global environmental action is an important objective of the GEF and the conventions it serves. The issue of capacity building has received focused attention within the context of the meetings of the conventions as well as within the GEF Council.

2. In response to growing demand for capacity building to implement the global environmental conventions, the GEF Council approved the Capacity Development Initiative (CDI) at its meeting in May 1999. The CDI was an 18-month consultative planning process, and resulted a proposal entitled: *Elements of strategic collaboration and a framework for GEF action for capacity building for the global environment*. The document (GEF/C.17/6/Rev.1) was submitted to the GEF Council meeting in May 2001, for its consideration.¹

3. At its meeting in May 2001, the GEF Council adopted the following decision on *Elements of strategic collaboration and a framework for GEF action for capacity building for the global environment (proposed strategic elements and framework)*:

“The Council, having reviewed document GEF/C.17/6/Rev.1:

- (a) takes note of the proposed strategic elements and framework for GEF action to guide a more focused, strategic approach to capacity building for the global environment;
- (b) requests the GEF Secretariat to present the proposed strategic elements and framework to the Conference of the Parties to the Convention on Biological Diversity, the UN Framework Convention on Climate Change and the UN Convention to Combat Desertification and to consult with them on the proposed strategic elements and framework for GEF action;
- (c) requests the GEF Secretariat, in collaboration with the Implementing Agencies and Executing Agencies, to initiate processes so that the self assessment of capacity building needs can begin immediately in countries that request such assistance. The Council agrees that country requests for financial assistance up to US\$200,000 should be developed, approved and implemented through expedited procedures and further agrees that such requests may be approved by the CEO. For countries requesting financial resources beyond US\$200,000 the project proposal should be developed, approved and implemented in accordance with the GEF project cycle. The GEF Secretariat is invited, in collaboration with the Implementing Agencies and Executing Agencies, to

¹ The document is available at: http://www.gefweb.org/Documents/Council_Documents/GEF_C17/C.17.6.Rev1.pdf

prepare and widely disseminate guidelines to assist countries to prepare project proposals for such assistance;

- (d) requests the GEF Secretariat to consult with intergovernmental and non-governmental organizations participating in capacity building activities related to the global environment and sustainable development on the proposed strategic elements and framework for GEF action; and
- (e) requests the GEF Secretariat to present to the Council at its meeting in May 2002 revised strategic elements and framework for GEF action that take into account the views expressed by the Conferences of the Parties and others consulted pursuant to this decision as well as lessons emerging from the national assessments.’²

4. The Council requested the GEF Secretariat to initiate implementation of the actions called for in its decision as early as possible, using the resources in the Secretariat corporate budget. It was agreed that the Secretariat would submit to the Council at its December meeting a request for the resources required to carry out the Council’s decision. This paper reports on the work as well as the resources required to carry out the Council’s decision.

GEF ACTION ON CAPACITY BUILDING

5. Pursuant to the Council’s decision on the proposed strategic and elements and framework, the GEF Secretariat has taken initiatives on the following activities:

- (a) presenting and consulting widely on the proposed strategic elements and framework at the meetings of conventions;
- (b) launching country-level self-assessments of capacity building needs; and
- (c) consultation with nongovernmental organizations(NGOs)

Presentation and consultation on the proposed strategic elements and framework

6. The GEF Secretariat has organized consultations during the relevant convention meetings to present and discuss the proposed strategic elements and framework with the parties to the global environmental conventions as follows:.

² Joint Summary of Chairs – GEF Council Meeting (May 9 – 11, 2001), paragraph 13.
(http://www.gefweb.org/Documents/Council_Documents/Joint_Summary_-_May_2001_English.pdf)

- (a) Convention on Biological Diversity(CBD): a consultation is planned for November 20, 2001, during the Open-ended Intersessional Meeting on the Strategic Plan, National Reports and Implementation of the Convention on Biological Diversity.
- (b) UN Framework Convention on Climate Change(UNFCCC): a meeting was organized on October 29, 2001, during the Seventh Session of the Conference of the Parties.
- (c) Convention to Combat Desertification (CCD): a meeting was organized on October 8, 2001, during the Fifth Session of the Conference of the Parties.

7. At each consultation, a short presentation on the proposed strategic elements and framework was made by a GEF representative. The GEF Secretariat prepared a briefing document was distributed at the consultations and for wider dissemination. The briefing document was also translated into French and Spanish. These documents will be made available at the Council meeting in December 2001.³

8. The advice and feedback gained from these consultative meetings as well as conventions' new guidance on capacity building will be fully incorporated into the revised *strategic elements and framework*, which will be submitted to the Council in May 2002, for its consideration.

Country-level self-assessments of capacity building needs

9. Two documents have been prepared to assist countries in the preparation of capacity building needs assessments: a) *A Guide for Self Assessment of Country Capacity Needs for Global Environment Management*, and b) *Operational Guidelines for Expedited Funding of National Self Assessment of Capacity Building Needs*.⁴

A Guide for Self Assessment of Country Capacity Needs for Global Environment Management

10. In close collaboration with the GEF Secretariat, Implementing Agencies, the Food and Agriculture Organization (FAO), the United Nations Industrial Development Organization (UNIDO), the Secretariats of the CBD, CCD, and UNFCCC, United Nations Institute for Training and Research (UNITAR)⁵ prepared *A Guide for Self Assessment of Country Capacity Needs for Global Environment Management(Guide)* as a reference guide for the preparation of the country

³ These documents are also available at the GEF website:

http://www.gefweb.org/Whats_New/CapacityBuildingBook.pdf

⁴ *Operational Guidelines for Expedited Funding of National Self Assessment of Capacity Building Needs* is available at http://www.gefweb.org/Whats_New/Operational_Guidelines.pdf, and *A Guide for Self Assessment of Country Capacity Needs for Global Environment Management* is available at

http://www.gefweb.org/Whats_New/ Guide_01-10-01_.pdf

⁵ At the Council meeting in May 2001, the GEF was advised to collaborate with UNITAR to benefit from its expertise in training and various capacity building activities.

assessments. The guide consists of broad guidelines and methodologies for the preparation of the capacity building needs assessments and is available for use as countries deem appropriate in carrying out the assessments.

11. The GEF and UNITAR organized a consultation in Washington, DC, on September 11 and 12, 2001, to review and discuss the draft guide and proposed process for preparing capacity building self-needs assessments. Representatives from 14 governments that had participated in the country-level activities of the CDI, together with representatives of the GEF Implementing and Executing Agencies and NGO network, were invited to participate in the consultation.⁶

12. The Guide was translated into five United Nations languages: Arabic, Chinese, French, Russian, and Spanish,⁷ and distributed widely.

Operational Guidelines for Expedited Funding of National Self Assessment of Capacity Building Needs

13. In consultation with the Implementing Agencies, Convention Secretariats, FAO and UNIDO, the GEF Secretariat prepared *Operational Guidelines for Expedited Funding of National Self Assessment of Capacity Building Needs (Operational Guidelines)*. Under the *Operational Guidelines*, country requests for GEF funding up to US\$200,000 may be approved using expedited procedure.

14. The operational guidelines were also considered during the consultation on the guide (September 11 and 12, 2001, Washington, DC), and have been translated into French and Spanish. They were disseminated widely beginning in September 2001, under cover of a letter from the CEO inviting countries interested in receiving financing for the capacity building needs assessments to contact one of the GEF Implementing Agencies. The operational guidelines will be made available at the Council meeting in December 2001.

Consultation with NGOs

15. Recognizing the importance and effectiveness of partnering with NGOs in capacity building efforts, the GEF-NGO network has been extensively involved in, and consulted on, the GEF's capacity building activities. Representatives from the NGO network were invited to every consultation meeting organized to discuss capacity building issues, including the consultation meeting to discuss the guide. For this purpose, the GEF has supported representatives of the NGO network to attend the various consultation meetings.

⁶ The countries that participated in the in-country assessments are: Barbados, Colombia, Estonia, Guatemala, Hungary, Indonesia, Kazakhstan, Nepal, Peru, Samoa, Senegal, South Africa, Uganda, Vietnam.

⁷ The *Guide*, including translated versions, is available at the GEF website: www.gefweb.org

16. Prior to the consultation meeting on the guide in September 2001, the GEF requested the NGO network to circulate an advanced draft copy of the guide and solicited the comments and suggestions. Similarly, we are requesting the network to circulate a copy of the briefing document of the proposed strategic elements and framework. Advice and feedback will also be incorporated to the revised strategic elements and framework.

FY02 BUDGET FOR ACTIVITIES RELATED TO CAPACITY BUILDING

17. During the first half of FY 02 (July 1, 2001 – January 31, 2002), the GEF Secretariat has committed US\$239,800 to undertake various capacity building activities described in this report to carry out the Council's decision. These commitments are for : Personnel (staff and consultants) (US\$78,800), Consultations (US\$85,000), Publications (US\$73,000) and Communications (US\$3,000). A statement of expenses and projected expenditures for this period is attached at Annex A.

18. It is estimated that an additional US\$50,000 will be necessary to provide technical and managerial assistance to countries in carrying out the self-assessments of capacity building needs. The proposed assistance includes technical support in the form of tools, methods, and practices on how best to identify, develop and implement capacity building measures. The GEF will collaborate with UNITAR and the Implementing Agencies to draw from the best available technical knowledge and expertise and will then tailor the technical support to country demands.

19. The proposed assistance will also allow for compilation of reports produced by countries through the self-assessment of capacity building needs and synthesis of the information contained in the reports to better understand and assist responsively to their needs.

ANNEX A

STATEMENT OF EXPENSES AND PROJECTED EXPENDITURES
JULY 1, 2001 – JUNE 30, 2002

	(US\$)
I. PERSONNEL	78,800
Staff	39,800
Consultants (primarily UNITAR)	39,000
II. CONSULTATIONS	85,000
Consultative Meeting on national self-assessment of capacity building needs	75,000
Convention Outreach	10,000
III. PUBLICATIONS	73,000
Translation	60,000
Printing	8,000
Distribution	5,000
IV. TECHNICAL AND MANAGERIAL ASSISTANCE	50,000
V. COMMUNICATION	3,000
TOTAL	289,800