

**Final Report**  
**UNDP/GEF PROJECT "NATIONAL CAPACITY SELF-ASSESSMENT FOR**  
**GLOBAL ENVIRONMENTAL MANAGEMENT" (NCSA-Kazakhstan)**

**(on NCSA Evaluation Criteria)**

**Introduction**

Participation of Kazakhstan in international programs and projects, joining the international environmental conventions facilitate the entry of the country into a global cooperation **in the sphere of environment protection**. Kazakhstan has ratified 22 international environmental conventions including the ones regarding solution of the global environmental problems such as preservation of the biological diversity, control over desertification, climate change prevention, etc.

The activity in the sphere of the international environmental Conventions is aimed at the image improvement of the country as a state the strategic objective of which is to **protect environment**. Its positive aspects are, in particular, inclusion of the country into a worldwide process of the environmental activity; assistance in sovereignty guarantee of the country (coming into being a member of the world society having equal rights); formation of new approaches for international cooperation; use of international experience both technical, technological and informational in a specific nature-conservative activity, etc.

In many countries the difficulties associated with achievement of goals of the signed and ratified Conventions are explained by problems associated with the limitation of the **capacity**. The capacity is an opportunity. It is necessary to determine main limitations of the capacity and finds the ways how to overcome them. Increase of the capacity is considered as the way for achievement of the **goals of sustainable development**.

In 2004 the Project "**NATIONAL CAPACITY SELF-ASSESSMENT FOR GLOBAL ENVIRONMENTAL MANAGEMENT**" (NCSA) was started in the country. The project is financed by the Global Environment Facility and implemented under cooperation of the Ministry of Environment Protection of RK (**MEP RK**) with the U.N. Development Program in Kazakhstan (**UNDP**). The activity of the project is aimed at determination of the **priority problems** in implementation of the international environmental Conventions regarding the global problems of environment. The project is based on **three conventions of RIO**:

- **UN Convention on Biological Diversity (UN CBD)**
- **UN Framework Convention on Climate Change (UN FCCC)**
- **UN Convention to Combat Desertification (UN CCD)**

As a result of assessment carried out within the framework of the project implementation the **general (central) problems** have been determined which hamper the achievement of goals of all three considered environmental conventions. Based on the results achieved a strategic action plan has been developed for strengthening of the capacity for liability fulfillment under these conventions.

Thus, main analytical targets of NCSA are: thematic assessments, general assessment, final report on synthesis and an action plan. Each objective leads to a final decision regarding a set of priority needs of the capacity, for achievement of which the country will make its efforts. It is expected that efforts making towards these priority needs of the capacity will help in implementation of RIO Conventions.

## Institutional Involvement

One of the main principles of the NCSA project implementation is a participation of concerned parties as more as possible in analysis of the country's opportunities in implementation of liabilities under international Conventions. At early stages of the project the approval for participation of main concerned parties and parties responsible for decision making during the process of the assessment was obtained through **explanations and demonstration of benefits and significance from the self-assessment process, in particular:**

- opportunities of the process and self-assessment results in the process of the sustainable development of the country,
- stimulation of implementation of the coordinated measures for fulfillment of liabilities under the Conventions,
- purposeful measures for preparation of applications for further external financing,
- role, which the self-assessment process can play in an administrative reform and increase of its efficiency,
- complementary nature-conservative agreements in order to make more efficient decisions from the economic point of view,
- improvement of national procedures for approval and implementation of the international environmental Conventions,
- integration of data collection and reports for the purpose of liability fulfillment under Conventions,
- activation of the research and scientific activities and monitoring which are necessary for comprehensive fulfillment of liabilities under Conventions.

At the same time a special attention is paid to the fact that the NCSA process is a process of self-assessment (a country makes its self-assessment of work under conventions and a donor provides only recourses and proposes a methodology). In order to prove it concerned parties were provided with the following:

- the process is managed by the National Project Coordinator – Vice-Minister of the environment protection,
- participants of the process are the ministries, departments, scientific and educational institutions, non-government organizations, representatives of business structures, experts in thematic spheres,
- the course of the assessment process includes a dialogue and consultations in working groups of representatives of government bodies, scientific and educational organizations, non-government organizations and business. The Ministry of Environment Protection facilitates the processes in the working groups.

For determination of concerned parties during the assessment process at the first stage of the work a table for assessment of concerned parties was developed and recommended by UNITAR and UNDP/GEF. As a result of assessment the “key” and “auxiliary” aspects have been determined which take part in fulfillment of liabilities under the environmental conventions. The “key” ones are as follows:

- Ministry of Environment Protection,
- Ministry of Agriculture,

- Ministry of Energy and Mineral Resources,
- Agency of Land Resources Management,
- Ministry of Foreign Affairs,
- Ministry of Economy and Budget Planning,
- Large non-government organizations working in the thematic spheres regarding the climate change, desertification control and bio-diversity preservation.

All other departments and government bodies involved into the process of implementation of liabilities under the environmental conventions are considered as “auxiliary” bodies.

Depending on the specific character of the thematic sphere, the interests and the roles of all the concerned parties during the process of liability implementation have been determined. Each of three thematic reviews includes matrixes of concerned parties showing their roles in provision of the country’s liability implementation under the environmental conventions. These descriptions were taken into account during the assessment providing for a significant level of participation of concerned parties in the NCSA process.

Provision of the efficient and relevant participation of the concerned parties were **achieved through:**

- invitation to workshops, round tables,
- provision of information,
- participation in joint preparation of materials,
- preparation of the summary information,
- guarantee of the co-authorship of the published materials,
- official correspondence.

Quite often the design group used a high status of the Ministry as the National Partner and the Coordinator for the guarantee of participation of the government bodies during the assessment process.

The ways of participation of the concerned parties during the NCSA process were:

- consulting assistance,
- exchange of the necessary information,
- cooperation,
- opportunity of the data use,
- joint surveys,
- invitation of the practical professionals for discussions,
- opportunity of opinions detection.

The most useful and acceptable ways of participation of the concerned parties for the NCSA process were:

- consulting assistance,
- exchange of the necessary information,
- cooperation.

It is necessary to note that sometimes the participation of parties in the NCSA process (separate individuals, experts from the government bodies) was hampered because they were overloaded by their main work, did not want to cooperate in respect of issues which were beyond the competence of their department. Thus, during the interview of the government bodies for the purpose of study and clarification of the institutional structure of the country for the fulfillment of the International Environmental Conventions RIO and determination of needs for the increase of the relevant capacity, a rejection was received from the Ministry of Justice which was motivated by the fact that the environmental conventions were not the main object of work in their department. Further in the course of work with this government body the communication with the specialists from this department was made through discussions, consultations, participation in joint workshops, etc.

The most fruitful was the work with the “key” departments involved into implementation of liabilities under conventions such as the Ministry of Agriculture, Agency of Land Resource Management, Ministry of Education and Science and of course the Ministry of Environment Protection.

According to the legislation of RK, the Ministry of Environment Protection is responsible for the activity associated with the participation of Kazakhstan in the international environmental conventions. It is a central executing body in the sphere of environment protection responsible for implementation of the government environmental policy, implementation of the legislation, government control over departments, state ecological expert examination in the sphere of environment protection. Under these conditions this Ministry in the procedure of self-assessment is very important. There were no any obstacles from this Ministry in the course of implementation of activities within the NCSA framework both at the level of the central office and its structural subdivisions (research institute, informational and analytical center, etc.).

The role of other “key” departments is described below. The Ministry of Agriculture and, in particular, its structural subdivision (the Forestry and Hunting Committee) is an authorized body in the country, responsible for special executive and control-supervisory functions in the sphere of forestry, protection of reproduction and use of fauna, special protected natural territories. The Agency of Land Resources Management takes part in implementation of the main provisions of the UN CCD and UN CBD within the competence of the central authorized body responsible for the land resources management. The Ministry of Energy and Mineral Resources determines the policy in the power and raw sector of the country and besides the other functions it bears the responsibility for development, attraction, introduction and use of technologies for decrease of the greenhouse gas emissions in the industrial sector.

Participation of the mentioned departments in the NCSA process was made on the regular and voluntary basis as well. It is necessary to note some caution of the Ministry of Energy and Mineral Resources in respect of the assessment implementation. Perhaps it was grounded by the strategic significance of the power sector and the mineral raw base in the economy of the country.

There were no any difficulties regarding the participation of the non-government organizations in the NCSA process. Such organizations themselves got into contact with the project, proposed their services for the need assessment, made information exchange with the project, actively participated in the workshops and conferences.

Increase of the capacity for implementation of Conventions in the country as a national priority is stipulated in Programs and Strategies of the country developed and accepted for recent years. Incompleteness of the process for formation of the environment quality

management system and lack of the coordination system for fulfillment of liabilities under the international environmental agreements and conventions are specified in the Government Program for Environment Protection for 2005-2007. For improvement of the situation it is proposed to develop a management system, provide the required legislative and normative-methodical base, economic and financial levers and incentives in the nature-conservative work, synergism of mechanisms aimed at comprehensive solution of the social-environmental-economical problems. The Action Plan attached to this Program includes the activities aimed at creation of the capacity for fulfillment of the global environmental conventions ratified by the country, in particular, implementation of the RK legislation analysis in the sphere of the environment protection and norms of the international law within the framework of liabilities under the international agreements, provision of the maximum harmonization of the legislation with the EU countries; further development of the legal mechanisms for implementation of the international environmental conventions in Kazakhstan. The Strategic Plan for Kazakhstan Development up to 2010 includes the main strategic measures aimed at increase of the opportunities of the country for participation in the multilateral environmental agreements. Such measures include: participation in the formation of the global and regional environment protection systems based on the strict fulfillment of the international and regional documents; solution of the problem regarding the provision of the general and efficient management of the process of the international cooperation and the project with the external and mixed financing; provision of the improvement of the natural-resource and other legislations in compliance with the accepted international conventions. The Environmental Safety Convention of RK for 2005-2015 provides for the need for increase of the capacity of the civil sector. In compliance with the Convention the capacity of the environmental non-government organizations shall be directed to the formation of the public opinion regarding the issues on improvement of the environment quality in compliance with the liabilities under the international conventions.

Separate results of the NCSA assessment were taken into account in the course of the development of the Ecological Code of the country and Concept for the Stable Development of the Republic of Kazakhstan which are being discussed at present in the country. Assessment of affairs in the thematic sphere regarding the desertification was used for development of the national framework program within the frame of the Central Asian Countries Initiative on Land Management (CACILM). Based on the assessment of problems and needs of the capacity of the country for fulfillment of the global conventions the draft government programs for implementation of the UN CBD, UN FCCC have been developed. At present these draft programs are submitted to the sectoral ministries for the approval. The NCSA project took part in the development and discussion of the Desertification Control Program for 2005-2015 approved by the Government of RK.

#### Lessons learned:

1. Need for involvement into the assessment process of more high-ranking officials from the government bodies, on whom an integration of the assessment results into a sectoral work depends directly.
2. Need for closer cooperation with the concerned parties during the process of needs assessment, in particular, involvement of officials of government bodies for assessment implementation (including, if possible, within short-term contracts).

3. The used methodology of the capacity assessment makes objective the assessment of measures within the framework of fulfillment of conventions and determination of priority needs. It decreases the subjective opinions, makes possible to see the strategic direction of the assessment – determination of the priority needs within the capacity. The methodology can be successfully used in other spheres of the environmental activity, including the one not associated with the environmental conventions.

### **Ecological goals and benefits**

At the beginning of the NCSA project a list of the assessment documents of the country was prepared associated with the activity in three thematic spheres. It included, in particular, the state strategies: "Ecology and Natural Resources – 2030", Strategic Plan for Kazakhstan Development up to 2010, "Environmental Safety Concept of RK" "Concept on International Cooperation of RK in the sphere of the environment protection and efficient use of natural resources", "Strategy of the Industrial and Innovation Development of RK for 2003-2015" as well as the state programs: "Program of the Government of RK for 2003-2006", "Sectoral Program "Forests of Kazakhstan" for 2004-2006", "Sectoral Program "Environment Protection of RK for 2005-2007"", "Program for Rural Territory Development", etc. The assessment of these programs was made in respect to the activity on global environment protection taking into account the requirements of three global environmental conventions. They came to the outcome that though all these programs include the components of implementation of global conventions, they do not determine the concrete ways for achievement of goals of the conventions, do not contain clear indicators of the process, the instruments for fulfillment of separate liabilities under conventions are unclear as well.

In the course of the thematic assessment of NCSA they used the reports of the country prepared for secretariats of Conventions which included the stages for fulfillment of the liabilities of the global conventions. The reports were widely used in the course of development of the thematic reviews within the framework of NCSA.

For assessment of the institutional capacity and the legislation of the country regarding the compliance to the requirements of conventions the reports of lawyers have been prepared based on the analysis of liabilities of each three conventions. This assessment revealed the strong and weak sides of fulfillment of each liability under conventions. The main results of such assessment are reflected in each of thematic reviews.

NCSA constantly cooperated with other projects implemented in the country and related to the thematic spheres of global conventions. They include: the UNDP/GEF project on water-marsh lands (Integrated conservation of priority globally significant migratory bird wetland habitat: a demonstration on three sites), the "Institutional strengthening for sustainable development" UNDP Project, the "Assessment of capacity building needs in priority areas of biodiversity conservation and management and enhancement of biodiversity information management network and national CHM" UNDP/GEF Project, "Kazakhstan: initiative of the wind power market development" UNDP/GEF Project, "Technical assistance to Kazakhstan, Tajikistan, Turkmenistan in respect of their liabilities on prevention of the global climate change" TESIS Project, Project of the Ministry of Environment Protection of the Republic of Kazakhstan and the World Bank "Arid Land Management", Project of the "Global Opportunity Fund" of the Ministry of Foreign Affairs of Great Britain "Assistance in development and implementation of the strategy for development of the power sector of the Republic of Kazakhstan".

The ways of this cooperation included:

- consultations,
- information exchange,
- participation in seminars and other activities.

The priorities of the activity of the country in the sphere of implementation of three global conventions were specified in the documents accepted in compliance with the liabilities under these conventions at the earlier stages of their implementation (in the middle of ninetieth). These documents are: the First National Report on the UN FCCC, National Action Program on Desertification Control, National Strategy and Action Plan on biodiversity preservation. The NCSA project used a list of these priorities as a basis for their further analysis and assessment. In the course of the assessment the criteria recommended by GEF, UNITAR, UNDP were used for determination of priorities. In addition a special system of criteria was developed for assessment of priorities for UN FCCC, the methods of target functions and component analysis for the assessment of priorities for UN CCD were used. The priority was analyzed several times by different experts and discussed many times with the concerned parties. It is necessary to note that the neutral assistance of the NCSA team was not the most efficient instrument for the priority determination process. There was a need for preliminary training because the representatives of the government structures acting as stakeholders did not have enough experience in this practice. The NCSA team has developed special assessment tables with explanations regarding the assessment of the priority of actions. Tables were developed for the experts and specialists. The work for determination of priority actions was made within the working groups. The lists of determined activity priorities in each of three thematic spheres are given below.

### **1. Climate change**

At the initial stage of the work of the thematic group all the ranked priorities were divided into three blocks:

- priorities for decrease of the greenhouse gas emissions;
- priorities for adaptation to the climate change;
- general institutional and organizational priorities.

As a result of discussion at the workshops of the thematic work group as well as consultations of experts the priority activities in the considered three blocks are as follows:

#### **Block of priorities for the greenhouse gas emission decrease:**

1. Increase of the power-efficiency of the economy.
2. Expanded use of newly put into operation power sources.
3. Use of resource with the lower content of hydrogen as a fuel.
4. Activities aimed at decrease of the greenhouse gas emissions from the agricultural sector.
5. Increase of opportunities of depositing the greenhouse gas emissions by natural absorbers.

#### **Block of priorities for adaptation to the climate change:**

*Agriculture:*

1. Development and dissemination of forecast regarding the emergence of pests and diseases for the agricultural season.
2. Establishment of centers in the RK regions for preservation of the genofond of the agricultural crops.
3. Implementation of the phyto-forest-amelioration activities and the agro-landscape projects.

*Water Resources:*

1. Implementation of the water-saving activities.
2. Mitigation of the negative consequences of impact of the vulnerability of the water resources in the sector of economy.
3. Development of the modern technologies in the sectors of economy which use the water resources.

**Block of the general institutional and organizational priorities:**

1. Development and improvement of the institutional structure – a clear distribution of mandates and responsibilities between the government bodies in respect of the UN FCCC implementation.
2. Improvement of the legislative-regulating and economic mechanisms in the sphere of the climate change.
3. Increase of the level of awareness regarding the climate change of the society, government officials and persons responsible for the decision making, issues of education and staff training.
4. Development of the strategy on the climate change prevention and the action plans for adaptation to it.
5. Creation of conditions for business involvement into the activity for prevention and adaptation to the climate change.
6. Development of the informational system for the climate change.

In opinion of the most of participants of discussions the general institutional and organizational priority shall provide for measures aimed at decrease of the emissions of the greenhouse gas and adaptation to the climate change. It is necessary to start from the improvement of the institutional structure for implementation of the UN FCCC liabilities, establishment of the relevant legal and normative base and development of the strategy for the climate change prevention. Further implementation of targets aimed at decrease of emissions of the greenhouse gas and adaptation to the climate change can be successfully achieved only on the basis of the specified institutional and organizational reforms made for the fulfillment of the UN FCCC liabilities.

**2. Desertification.**

Priorities for the desertification control were specified in the National Program of Actions to Combat Desertification (CD) (1998) as well as formulated in the accepted Program to Combat Desertification in the Republic of Kazakhstan for 2005-2015. They were classified for systematization of these priorities. The groups of the priority actions for the desertification control in RK are as follows:

- Inventory and assessment of the degraded lands, scientific grounding of the management of the efficient land use.

- Establishment of the legislative and normative bases for standardization of land use, development of the economic mechanisms for the sparing nature use.
- Training, education and information of society.
- Improvement of the territorial arrangement for the purpose of the land degradation prevention, providing for efficient land distribution from the economic and environmental points of view on the landscape-ecological and normative basis.
- Recovery of the fertility of plough-lands.
- Superficial and fundamental improvement of degraded grazing and grass lands.
- Introduction of the water saving irrigation technologies when cultivating agricultural crops and watering pastures.
- Prevention of the wind and water erosion of soil.
- Mining and biological reclamation of lands disturbed by man for the purpose of their use in the economic, recreation, sanitary and hygienic spheres.
- Development of the traditional business and skills in the areas damaged by desertification.

Based on the matrix recommended in compliance with [2] and improved by the project team (through introduction of the quantitative criteria), the thematic working group managed to rank the priorities making possible to pay attention to a rather small number of problems of high importance the solution of which requires an increase of the capacity. The main types of activity in the sphere of the desertification control are technological, adaptive and organizational. They are aimed at decrease of the land degradation level and increase of soil fertility. Then as the result of the discussions of the thematic working group at workshops as well as consultations of experts a combined plan was developed. All the priorities were grouped into two blocks (priorities of the local level (technological, optimization and priorities of the system level (optimization-managerial and institutional-organizational). The order of their implementation is as follows:

*Block 1: Priorities of the local level (technological, optimization, etc.):*

1. Introduction of the water-saving technologies.
2. Improvement of the territorial development.
3. Improvement of grazing and grass lands.
4. Recovery of plough-land fertility.
5. Development of traditional business and skills in areas damaged by desertification.
6. Prevention of the wind and water erosion of soil.
7. Mining and biological reclamation of damaged lands.

*Block 2: Priorities of the system level (optimization-managerial and institutional-organizational):*

1. Establishment of the legislative and normative bases for standardization of land use, development of the economic mechanisms for the sparing nature use.
2. Information system development regarding CD.
3. Creation of conditions for the involvement of the scientific capacity and business for participation in the activity regarding CD.

4. Improvement of the institutional structure for the implementation of liabilities under UN CCD.
5. Training, education and information of the society.

### **3. Bio-diversity**

Determination of the priority activity for the implementation of CBD was made several times. However more complete analysis till present was implemented within the framework of preparation of the National Strategy and the Action Plan for the Biodiversity (1999). According to this “semi-profile” document (it is not approved as the document of the Government of RK), the main priorities and directions of the activity shall be the following:

- Preservation of the biological diversity in-situ, ex-situ
- Balanced use of the biological recourses
- Development of the standards for the preservation and balanced use of the bio-diversity
- Ecological zoning of RK as the basis of the biodiversity preservation
- Organization of the biological monitoring system
- Improvement of the state structure for the biological diversity management
- Improvement of the legislative base for the implementation of the state policy in the sphere of the biodiversity
- Improvement of the economic system for facilitation of preservation and balanced use of the biological biodiversity
- Scientific, informational provision and training of the staff
- Role of the non-government organizations
- Use of the traditional knowledge of the local population regarding the preservation and sustainable use of the biological diversity
- Strengthening of the regional interaction and international cooperation regarding the problems of the biological diversity.

The analysis carried out by the experts of the NCSA project allowed adding and making more detailed the above mentioned list. The main priorities were divided into 7 thematic categories.

#### **Group 1. Legislation and Lawmaking**

- Improvement of the legislative basis in the sphere of **preservation** of the habitat and components of the biodiversity. It is necessary to improve the existing and accept new legislative acts in the sphere of CBD (Law on Protection, Recovery and Use of flora, Law on Protection and Use of Fish Resources, Law on Genetically Modified Organisms, etc.).
- Development of the standard acts aimed at support of the process for **recovery** of the biodiversity. It is required to develop and accept the resolutions of the Government in this sphere, change the tax and land legislation.
- Introduction of changes and additions into the acting legislation, developing international agreements in the sphere of the environment protection and preservation of the biodiversity. More close cooperation with the Russian Federation and Chinese People’s Republic is required. Preservation of the norm regarding the prevailing of the international legislation over the national one.

## **Group 2. Institutional Development.**

- Assign the maintenance of the government cadastre (forest, animals, plants, bio-resources and etc.) to the government authorities.
- To improve the biodiversity government management structure. It is necessary to determine clear the authorities of the state bodies in this sphere. To improve the institutional status of the bodies authorized to manage in the sphere of the fish industry and SPNA, to determine the place and role of such organizations in this process. To establish the analytical centers by topical fields of CBD.
- To improve the government control structure responsible for the biodiversity condition, protection, reproduction and trade. It is necessary to strength materially and intellectually the existing control authorities. To ensure activity transparency of the Administrative and Scientific agencies of CITESWFF.
- To establish Republican Intersectoral Council on Conventions issues related to the biodiversity problems.

## **Group 3. Economic Priorities.**

- Development of the economic promoting/supporting mechanisms (system) aimed at **preservation and rehabilitation of the habitat** and biodiversity objects (species, population and other). First of all it is necessary to change the tax legislation that obstructs the stimulation of this type of activity.
- To establish fund for supporting the preservation and rehabilitation of the biodiversity at the places of key territories (NGO and local communities).
- To review the issues related to the international trade with the components of biodiversity and ecosystem's services.

## **Group 4. Public Administration and Intergovernmental Cooperation.**

- Development of the long-term Government Program for preservation, rehabilitation and rational use of the biodiversity of the Republic of Kazakhstan. This will enable to determine the main directions and topical frameworks of the activity within this sphere. Also it will allow reserving of the budgetary funds for biodiversity projects.
- Development of the international cooperation in the sphere of preservation, rehabilitation and using of the biodiversity. Particularly it is necessary to strength the cooperation with the technologically developed neighboring countries: Russian Federation and China.
- To develop the mechanism of intersectoral and regional cooperation. Similar mechanism should include the permanent insectoral consultations both within the Council (priority 4 group 2) and outside. Regional cooperation most of all should be subject to landscape zones.

## **Group 5. Research Work.**

According to the opinion of the project's experts the following topics of the research works have the highest priority:

- assessment of the basic biodiversity components;

- ecosystem assessment;
- economic cost estimating of the biodiversity components (pharmaceutical, food, genetic, hunting, recreational and other);
- ecological zoning of the RK (with the purpose to determine the key territories important for preservation of biodiversity of the country, region, critical areas and regions);
- development of the model in order to provide a government monitoring of biodiversity;
- content of the government cadastres;
- constant monitoring assessment of the main types of biodiversity falling under the category "Bio-resources" (basis for issuing of quota for withdrawal from nature);
- updating of the lists contained in the Red Book;
- inclusion in the IUCN Red Book and CITESWFF lists the endangered and rare species;
- development of the national Attachment 3 to the CITESWFF (for species determined by the country itself that could not be exported from the country).

#### **Group 6. Personnel Capacity.**

It is necessary to develop the training system for the specific topical fields:

- study of biodiversity;
- biodiversity management;
- economy and trade of biodiversity;
- legislation in the sphere of preservation, rehabilitation and using of biodiversity;

Also the establishing of the advanced training for the managers and surveyors is crucial:

- information;
- management;
- economy and trade;
- legislation;
- international law (conventions, agreements, contracts, drafts)

#### **Group 7. Informational Capacity.**

- Development of the public available data bases (including traditional experience of the local population and NGO) by CBD topics. These bases will enable to use the available information, methods and etc. by the many specialists in their every day activity. Civil population will obtain access to the impartial official information on condition of biodiversity in the State;
- Preparation of the regular Biodiversity National Reports for the Government and International Organizations (including analytical, strategic, economic, projected

and recommended components) that will enable to improve the quality of the decision making at the top government level.

#### Lessons Learned:

1. During topical surveys and determination of the priority activity the pretensions to verity of opinions was one of the main demonstrations of the conflict situations (particularly in topical spheres related to desertification and biodiversity). There are many NGO, experts, research and educational organizations currently operating in these spheres. It is possible to mitigate or cope with the numerous and conflict interests only under fulfilling the following conditions:

- keeping of neutrality;
- detailed analysis of information;
- attempt to obligatory respect of all opinions;
- starting of conciliation.

### **Assessment of Need for Capacity**

Below the sequence of actions under the NCSA Project is presented. These actions were carried out to diagnose the problems and determine the priority needs of the country in development of capacity for fulfilling the obligations of the global ecological Conventions.

- 1 Stage.** Identification of state in each topical sphere: collection, analysis, synthesis and representation of information in the form of three topical surveys;
- 2 Stage.** Problem tree derivation and compiling of evaluation tables to diagnose the root reasons that hamper the realization of the priorities of each of the three global conventions at the system, institutional and individual levels;
- 3 Stage.** Analysis of the root reasons and compiling of a summary table with indication of the general capacity problems on RIO Conventions;
- 4 Stage.** Formulation of the central (general) problems of capacity and analysis;
- 5 Stage.** Transformation of the central (general) problems in the need of the country for increasing of capacity.

Implementation of the first stage and availability of the topical survey contribute to deeper understanding of the main problems and opportunities in the sphere of increasing of capacity in the future. Each of three topical surveys reflects the basic line of condition of the topical survey, particularly the legal and institutional structure, characteristic of the national legislation, activity in the sphere of observation, education, research surveys, public information, projects implemented in the country/region and other. Each review contains summary conclusion about the effectiveness of activity and respective topical fields and also determines a priority of such activity.

At the stage of the surveys preparation the associated assesments were provided such as assesment of compliance of the National legislation of the RK with the requirements of UNFCCC, UNCBD and UNDCD. Based on the above analysis a compliance of the current national legislation with the provisions of the Convention was highlighted and problematic aspects related to fulfillment of obligations under Conventions were determined. The recommendations for improvement of Conventions implementation in Kazakhstan were provided.

At the second stage a derivation of “problem tree” that represents an exhaustive picture of the actual tasks and difficulties that required an attention was a useful tool for analyzing the prime causes in each of the topical fields. Such analysis enabled to determine the key problems (cause and effect) occurred during the fulfillment of each of the existing primary tasks. At the same time the evaluation tables were compiled. The information for such tables was obtained from the topical surveys and later from the analysis of the “problem tree”. Availability of such tables enabled to determine/specify effectively the content of the problems in each topical field and cause-and-effect relations between them. The *following tables* were compiled:

- *Mapping Table for reflecting the obligations of the RK on UNFCCC in the basic strategic documents;*
- *Mapping Table for reflecting the obligations of the RK on UNCCD in the basic strategic documents;*
- *Table of assessment the fulfillment of obligations on UNFCCC in the RK (assessment of the strengths and weaknesses);*
- *Table of assessment the fulfillment of obligations on UNCCD in the RK (assessment of the strengths and weaknesses);*
- *Table of assessment the fulfillment of obligations on UNCCD in the RK (assessment of the strengths and weaknesses);*
- *Table of assessment the solutions and difficulties for realization of the priorities on UNFCCC in the RK;*
- *Table of assessment the solutions and difficulties for realization of the priorities on UNCCD in the RK;*
- *Table of assessment the fulfillment of the UNFCCC requirements in the RK;*
- *Table of assessment the fulfillment of the UNCCD requirements in the RK;*
- *Table of assessment the fulfillment of the UNCCD requirements in the RK;*
- *SWOT-analysis of the climate change capacity;*
- *SWOT-analysis of the desertification control capacity;*
- *Matrix of Factors that prevent the increasing of capacity for fulfillment of priorities on UNFCCC;*
- *Matrix of Factors that prevent the increasing of capacity for fulfillment of priorities on UNCCD.*

The content of the tables was widely discussed by the concerned parties. Thus the forms of the evaluation tables were prepared subject to the respective changes during review by the members of the working groups. The instruction for each table was attached.

The third stage was the most important to determine the general needs of the country. Using the data obtained during the previous stage the summary table on general RIO Conventions capacity problems was compiled. A summary table contains general scope of factors that prevent the growth of capacity in three topical fields. This table allows formulating of the general problems of country’s capacity for implementation of all three RIO Conventions simultaneously. Based on the results of this stage the summary table was compiled where in the last column are determined the general problems of capacity.

At the next stage the list of 10 problems was made up through specifying the definitions that are the factors which prevent the fulfillment of obligations on three Conventions at the same time. The problems contain the answer on the following question: why or due to what factors the country can not reach a significant progress in achievement the objectives of RIO Conventions. These problems of capacity are typical for implementation of all three RIO Conventions at the same time and they do not contain particulars resulted from either Convention. Taking into consideration the recommended GEF principles of systematization of the determined general problems by the following functions of capacity:

- capacity for conceptualization;
- capacity for implementation;
- capacity for attracting the concerned persons and ensuring consensus;
- capacity for mobilization of information and knowledge;
- capacity for survey, assessment and study;

and summarizing the obtained results 10 problems of capacity were reduced to 4 main problems. The brief description of these problems is provided below:

**1. The mechanism of implementation of the UNFCCC, UNCLD, UNCBD Conventions is not enough effective** (mandates of the government authorities involved in fulfillment of obligations under Conventions are not determined; scientific and methodical maintenance of the Conventions implementation process is not developed; procedure of considering the objectives of the Conventions in the developed and adopted government programs is ineffective; self-assessment of work on Conventions is incomplete).

**2. The effectiveness of the intersectoral – interdepartmental – internal departmental cooperation for achievement of the Conventions objectives is not sufficient** (ineffective activity of the working groups and commissions established for implementation of the RIO Conventions provisions, unclear regulation of authorities between the government agencies responsible for implementation of Conventions; poor cooperation of the key agencies acting in the sphere of global environment protection with the nature protection organizations; insufficient participation of civil public in the decision making process for implementation of Conventions; insufficient contribution of different sectors and types of activities in fulfillment of the Conventions obligations).

**3. Activity motivation system for achievement of the Conventions objectives is not enough efficient** (imperfection of the legislative-regulation basis and economic inducements for achievement of the Conventions objectives; insufficient level of motivation for considering the objectives of the Conventions by the staff responsible for decision making).

**4. Insufficient level of awareness and knowledge for achievement the Conventions objectives** (absence of uniform knowledge management system for using the Conventions in different sectors; system of staff advance training/retraining is not developed; educational system not provides an appropriate qualitative level of practical training for implementation of the Conventions objectives; insufficient information on economic benefits of considering the objectives of the Conventions in the policy of development).

Each of the problems is conditioned by the complex causes which in turn have the root causes. The last were determined based on the data prepared for topical surveys, consultations and comments in intersectoral working groups. The “problem tree” was

constructed for each central problem. Based on this the cause-and-effect relations were studied and analyzed that enabled to transfer them into strategic objectives aimed at increasing of a capacity. A complete description of the central problems of capacity is presented in integrated review.

At the last stage of assessment a transformation of the central problems of capacity into the needs of the country was provided for effective implementation of the Global Conventions. As a result of a constructive process the central problems were transferred into strategic objectives. The complex and root causes of the problems determined the tasks and certain activities that formed in consequence the plan of action.

The following was determined as strategic objectives for capacity increasing:

1. Creation of the institutional conditions and mechanisms of intersectoral/interdepartmental coordination for achievement of the Conventions objectives;
2. Improvement of the system on stimulating the activity of the government agencies and nature users for achievement of the Conventions objectives;
3. Improvement of the level of awareness and knowledge of the problems and practical approach for achievement of the Conventions objectives among the persons responsible for decision making and activity arrangement.

It appears from the list of the priority needs that they include the solving of the basic problems of the management system in the country. Particularly establishing of the institutional conditions and mechanisms of the intersectoral/interdepartmental coordination refers not only to the implementation of the Conventions, but also to the environment protection management system. A solving of this problematic task will enable to differentiate more precisely the mandates of the government agencies responsible for the implementation of the conventions and organization of the intersectoral and interdepartmental cooperation will ensure more effective implementation of the current activities and projects in the field of prevention the climate change, desertification control and preservation of biodiversity. It should be noted that basic strategic directions include various technical issues, solving of which will contribute to more effective activity on Conventions. In particular it is proposed to establish within the framework of this strategic direction the databases of specialists and experts in three topical fields which will be available for the government agencies for arranging the process of making the operative decisions. Currently a lack of the qualified specialists in our country and their territorial dissociation are observed. All these factors prevent of making a decision related to implementation of the Conventions effectively and within a sufficient period of time. Each of the strategic directions on increasing of capacity is concretized in the action plan.

The determined needs for increasing of capacity are related to general priority issues associated with the establishment of the environment protection management system in the country with reference to the implementation of the global Conventions. Such needs are very clear stated in the prepared strategy and in the plan of actions on increasing of capacity.

Lessons learned:

1. Participation of the experts and consultants of NCSA Project in the conferences, meetings, adjacent projects and experts assistance to the government agencies at the preparatory stage enabled to assess a capacity as from inside, particularly a capacity at

the individual level. In this connection such an adjacent activity is considered as a useful component of NCSA assessment.

### **Action Planning and Tracking of NCSA**

The final result of NCSA is the plan of actions for increasing of capacity. The following is indicated in the plan:

- strategic directions of activity;
- arrangements required to be fulfilled within the framework of each strategic direction;
- period of implementation,
- forms of completing of each activity;
- agencies responsible for completion of each activity;
- sources of financing and approximate cost of activity.

Plan of actions is accompanied with a Strategy of capacity increasing. Strategy is a condensed document (about 6 pages) where the problematic issues of global conventions implementation in the country and proposed the ways of their solving are clearly stated. Strategy determines the basic line of capacity increasing for implementation of the RIO Conventions by the country. Strategy determines ways of capacity increasing and orients the direction of increasing and highlights the priorities of the activities. Strategy answers the question: In which direction it is necessary to move in order to increase a capacity of the country for implementation of the RIO Conventions. Plan of action is a continuation of the Strategy and contains specific arrangements for increasing of capacity. Plan and Strategy are drawn up such that to be clear even for that person who has no information about the NCSA Project.

The most important idea of the Strategy is the area of intersection of the RIO Conventions (synergism of the conventions). The basic provisions of the RIO Conventions have the **similar objectives** and **using the same means** in the sphere of environmental protection and sustainable development. The objectives of UNCCD, UNCBD and UNFCCC are substantially **mutually complementary**. Climate change is one of the factors which represents a threat for biodiversity and affects the process of desertification. Such measures as conservation of forests and sustainable management of the forest resources and other ecosystems may simultaneously contribute to achievement of the objectives of these three Conventions. This activity mostly corresponds with the objectives of the RIO Conventions in the following sectors of economy:

1) agriculture (agrobiodiversity; handling of GMO; prevention of lands degradation and desertification of the territories; poverty elimination; biotechnology; establishing of the genepool bank of flora and fauna; conducting of hunting business; establishment of SPNA; introduction of innovative technologies and processing of agricultural products; regulation of river flows (conservation of water resources);

2) forestry (conservation and rehabilitation of the afforestation and biodiversity; prevention of lands degradation and desertification of the territories; forests as depositor of the greenhouse gases; GMO; biotechnology; introduction; trade with certain species of animals and plants; growing of botanical gardens and dendroparks; establishment of SPNA; allocation of the forest genetic reserves; conducting of hunting business;

introduction of innovative technologies of stocking and non-waste processing of the forest resources);

3) power engineering (greenhouse gases emissions; lands degradation; threat to biodiversity during extraction and transportation of energy resources; absorption of the emissions by forests (forestry); forests as the absorbers of carbonic acid gas).

The important basis of the nature-conservative conventions **synergism** (cumulative effect) is the effect on ecosystems, where all the components are interconnected and have a complex impact from the internal and external factors.

All the RIO Conventions are appeals to stable development, stable using of nature resources, poverty elimination, increasing of capacity at all levels and fulfilment of obligations through international cooperation, involving a public and complex consideration of issues.

In spite of the fact that each of the three Conventions is aimed at solving of specific problems and each document assumes its own way for achievement of one or several objectives. It is obvious that among the actions aimed at solving of the general objectives and tasks there are some similar activities.

It appears from this that the coordinated actions should be taken under achievement of the objectives of the Conventions that will enable to increase the positive effect, especially within the sectors where the activity directly corresponds with the Conventions objectives. Therefore the coordinated actions within the forestry, agriculture and power engineering will ensure the soonest positive effect in fulfilment of obligations under the RIO Global Conventions. The developed plan of actions is aimed at integration of the RIO Conventions into practice of these sectors of economy. However it does not mean that other sectors have no right to be engaged in activity related to the conventions. Conventions are the multidimensional documents and they are applied to the policy, technology, finance, education, information and other. Therefore the other sectors of economy are also involved somehow in implementation of the global conventions.

The form of the developed plan of actions is compiled in accordance with the Resolution of the Government of the RK on development of the National Sectoral Program. In this resolution is indicated what the form of such plans should be and the procedures of approval by the Government are explained.

The prepared plan of actions is not yet approved as an official program/strategy of the State. This is because of the long procedure of approval and acceptance of the official documents in the country. The plan of actions assumes a using of the budgetary funds for financing of the activities that means especially thorough review of the Plan of Actions by the Ministry of Economy and Budget Planning. Time that will be required for approval of the plan of actions is outside the scope of the NCSA Project implementation.

It is necessary to note that more than 10 program documents which directly or indirectly relate to the environment management are accepted in the country. There is a risk that one more strategic document in this sphere will not be approved officially. In order to reduce this risk currently the options are considered to integrate the activities within the prepared plan on increasing of capacity into the State Environmental Protection Program for 2008-2010, as well as the Country Resources Management Conception and other sectoral programs (plans) especially on agriculture, forestry and power engineering. Currently the Ministry of Environmental Protection is carrying out such work. Some of the directions of the plan of actions on increasing of capacity (strengthening of intersectoral cooperation and establishing of institutional conditions)

are included already in the drafts of the developed plans on implementation of UNCCD and UNFCCC.

The developed plan of actions clearly determines the government agencies which are responsible for the fulfillment of each activity of the Plan. Because the main work within the Plan falls at agriculture, forestry and power engineering sectors the main executing agencies of the Project are the Ministry of Environmental Protection (MEP), Ministry of Agriculture (MoA), Ministry of Energy and Mineral Resources (MEMR) and Agency of Land Management (ALM). The Plan assumes involving of the non-government sector represented by large Non-Government Organizations and by the established Public Councils acting under the MEP and its territorial subdivisions.

The Plan determines the complex activities for increasing of capacity. These activities are related at the same time to all three Conventions and should assist in establishing of the more effective practice of work on all three Conventions. The following refers to such activities:

- to develop the comments / guidelines for the concerned parties (central and local executive authorities and departments) aimed at effective using of the existing provisions of Budgetary Code of the Republic of Kazakhstan related to the budgetary financing of their activity on protection of the global environment considering the requirements ratified by the country of the Conventions.
- to develop and approve the National Methodical Guidelines on implementation of the Conventions for using by the national coordinators of the Conventions;
- to establish and maintain the databank of organizations and specialists in topical fields (among the government authorities, scientific and public organizations) to improve the efficiency of their involving in working groups;
- to arrange a work on Memorandum of Understanding between MEP, MoA, ALRM, MEBP, MEMR, MES and MFA with the purpose of Conventions implementation;
- to make a provision for budgetary program and subprogram of social (ecological) order with reference to the part related to fulfillment of obligations on Conventions taking into consideration the opinion of the civil population on the most effective types of activities;
- to develop a training topical course for the government agencies on ways and mechanisms of involving the public into the implementation process and introduction of such course during advanced training of EPD staff;
- to develop and introduce a self-assessment system of the concerned parties involved in fulfillment of obligations on Conventions;
- to prepare a proposal for government order of scientific development related to the topics of the Conventions;
- to establish institutional frameworks for using and exchange of the domestic scientific developments related to the topics of the Conventions;
- to develop and introduce the educational and seminars programs for advanced training (by sectors) aimed at recording of objectives ratified by country of the Conventions;
- Other.

The NCSA process itself contributed to implementation of the third strategic direction of the plan of actions – ‘Increasing of the level of awareness and knowledge of the persons responsible for decision making and arrangement of respective activity on problems and practical approach for achievement of the Conventions objectives’. Meetings with experts and civil servants, consultations and publications in mass media stimulated attraction of attention to the issues of conventions implementation and in particular to the problems of capacity. It should be noted that before the NCSA Project not much attention was paid by government agencies to the assessment of barriers and needs that conditioned on work in the topical fields of the RIO Conventions. The reasons of failure of some activities carried out for fulfillment of obligations under Conventions were not almost reviewed. Thus in particular the intersectoral cooperation was not analyzed during preparation of the reports on implementation of the Conventions. The need for information and experts located in different departments and sectors is arising during preparation of the reports. During NCSA the country provided preparation of the reports on implementation of the UNCCD and UNCCD. NCSA Team assisted in ensuring of the effective work of the established expert groups on preparation of these reports.

Within the NCSA Project was designed the website ([www.caresd.net/capacity](http://www.caresd.net/capacity)), where the information related to the Conventions implementation in the country is presented. Also all project data are represented at this website including the electronic versions of the documents. Designing of this website is considered as a contribution to the increasing of the country’s information capacity for implementation of the RIO global conventions.

Lessons learned:

1. Methodology for development of the plan of actions is a good example of planning in the sphere of environmental protection management. Methodology enables to see clearly the objective to be achieved and the direction of the activities for achievement of such objectives. At that all the objectives and tasks are resulted from previously provided analysis of the conditions in the topical fields and determination the priority of the problems. During preparation of the plan of actions the basic problems are transferred into strategic objectives that ensure the required recording of all needs of the country. This methodology is proposing currently for the experts involved in NCSA Project as a basis for development of the regional programs on environmental improvement (for example Astana City Environmental Program).