



*Empowered lives.  
Resilient nations.*

A painting of a landscape. In the foreground, a large, stylized tree with a thick, reddish-brown trunk and a dense canopy of green leaves stands on a green patch of ground. The trunk is shaped like a person with arms raised. In the background, a vast, flat, yellowish-brown landscape stretches to a horizon under a pale yellow sky. A small, dark figure stands near a smaller, bare tree in the distance. The overall style is expressive and somewhat abstract.

# THE STRATEGIC VALUE of GEF-funded Cross-Cutting Capacity Development



*Empowered lives.  
Resilient nations.*

UNDP partners with people at all levels of society to help build nations that can withstand crisis, and drive and sustain the kind of growth that improves the quality of life for everyone. On the ground in 177 countries and territories, we offer global perspective and local insight to help empower lives and build resilient nations. [www.undp.org](http://www.undp.org).

As a Global Environment Facility (GEF) Implementing Agency since 1991, UNDP supports countries in achieving their national and global environment goals. UNDP-GEF's Energy, Infrastructure, Transport and Technology (EITT) team focuses on clean and affordable energy development; low emission climate-resilient urban and transport infrastructure; and access to new financing mechanisms.



The GEF unites 182 countries in partnership with international institutions, non-governmental organisations (NGOs) and the private sector to address global environmental issues while supporting national sustainable development initiatives. Today, the GEF is the largest public funder of projects to improve the global environment. An independently operating financial organisation, the GEF provides grants for projects related to biodiversity, climate change, international waters, land degradation, the ozone layer and persistent organic pollutants. Since 1991, the GEF has achieved a strong track record with developing countries and countries with economies in transition, providing \$9.2 billion in grants and leveraging \$40 billion in co-financing for over 2,700 projects in over 168 countries. [www.thegef.org](http://www.thegef.org)

**Authors:** Kevin Hill, Matthew J. Rife, and Tom Twining-Ward

**Credits:** Art work © by Paul Coseo; **Photos:** Pages 1, 13, 19, 60: Kevin Hill; Page 9: SIDS CBA Cuba; Page 27: SIDS CBA Mauritius; Page 41: UNDP-UNEP; Page 47: SIDS CBA Cape Verde; Pages 54, 63: GEF SGP/UNDP Kazakhstan

**Design:** Camilo J. Salomón @ [www.cjsalomon.com](http://www.cjsalomon.com)

United Nations Development Programme (UNDP)  
Copyright, January 2015, New York.

# Table of Contents

Summary	1
Foreword	2
Acknowledgements	4
Acronyms and Abbreviations	4
Introduction	6
Background	8
<b>Conceptualizing Cross-Cutting Capacity Development Projects</b>	17
1. Cross-Cutting Capacity Development under GEF-6	21
2. Operationalizing Cross-Cutting Capacity Development	24
<b>Strategizing Cross-Cutting Capacity Development under GEF-6</b>	36
1. UNDP Strategic Plan 2014-2017	36
2. United Nations Development Assistance Framework	38
3. Reporting to MEAs	40
4. Green Economy	42
5. Climate Resilient Development	44
6. Reducing Emissions from Deforestation and Forest Degradation	48
7. Poverty and Environment Initiative	49
8. Gender Mainstreaming and Cross-Cutting Capacity Development	51
<b>Cross-Cutting Capacity Development Criteria and Indicators</b>	54
<b>Conclusion: Areas for Further Work</b>	55
<b>Annexes</b>	57
Annex 1: GEF-6 Objectives and Rio Convention Decisions	57
Annex 2: Objectives of Cross-Cutting Capacity Development Projects	59
Annex 3: Overview of guidance material for project formulation	61
Annex 4: Project Design and Development	63
<b>References</b>	67





# Summary

This paper sets out to highlight how the GEF-funded, UNDP-implemented projects under the Global Environment Facility's Corporate Programme of Cross-Cutting Capacity Development fill an important development need. This is largely characterized by the need to address the sustainability of the projects' global environmental outcomes. The basis for this need was determined by the Capacity Development Initiative (2000), followed by the GEF Council's approval, in 2003, to finance national self-assessments of capacity development needs and targeted interventions to strengthen key individual, institutional, and systemic capacities.

The construct of the GEF cross-cutting capacity development projects are that they respond directly to national capacity development obligations under the three Rio Conventions on Biological Diversity (CBD), Climate Change (FCCC), and Desertification and Drought (CCD). These projects comprise a strategic, but relatively small, set of activities that are targeted to a range of key outcomes, such as information management, knowledge creation, and innovative tools for improved decision-making for the global environment.

Whereas the GEF focal area projects target capacities that are largely limited to particular national agencies responsible for biodiversity, climate change, or land degradation, the cross-cutting capacity development projects take a more inclusive approach to capacity building. The strategic design of these projects is that they structure and facilitate learning-by-doing activities and an adaptive collaborative management approach to institutionalize features of sustainability. These are: fostering holistic conceptualizations; strengthening accountability; increasing legitimacy; strengthening governance structures and mechanisms (including democratization of decision-making processes); facilitating adaptability; and ensuring equitable distribution of benefits to stakeholders.

Importantly, by working across institutional boundaries, the added value of the cross-cutting capacity development projects is that they expressly pursue synergies and achieve cost-effectiveness. By and large, the projects seek to integrate the full set of obligations under the three Rio Conventions into more comprehensive or sectoral management regimes. Focal area projects, by definition, target management regimes for biodiversity conservation, climate change, or land degradation, not all three.

The added value of the cross-cutting capacity development projects also lies in their strategic linkage with a number of UNDP's development policies and programmes. The projects' targeted approach to enhancing capacity building for the global environment creates an important opportunity for strengthening the comprehensive approach of programmes such as Green Low-Emission and Climate-Resilient Development and the UN REDD+, both of which seek to reduce greenhouse gas emissions from deforestation and land degradation.

# Foreword



**Adriana Dinu**  
Credit Midori Paxton/UNDP.

Sustainable development is an aspiration that countries are tackling through various different approaches, and with the support of the international donor community. Despite the advances being made, many developing countries continue to face difficulties in reconciling the immediate need to address poverty and other socio-economic development priorities with the goal of environmental sustainability. Research on the increasing amount of empirical evidence offers greater insight on the human-ecologic dynamics, where local development activities not only affect the local and regional environment, but also the global environment. In many parts of the world, these impacts have devastating effects by limiting agricultural yields and causing increasing incidences of flooding and related water-borne diseases, among others. The deterioration of the global environment is more visibly affecting the ability of countries – in particular the least developed and small island countries – to meet their pressing socio-economic needs. The nexus between the obligations of the three Rio Conventions (Conservation of Biological Diversity, Combatting Desertification and Drought, and Climate Change) thus calls for greater innovation and transformational change to institutionalize sustainable development that is environmentally sound per global criteria.

As the development arm of the United Nations, UNDP continues to be an important catalyst for countries to bridge the inherent linkage between environment and development through a suite of capacity development efforts.

The UNDP Strategic Plan 2014-2017 has the vision of **helping countries achieve the simultaneous eradication of poverty and significant reduction of inequalities and exclusion**. In doing so, it sets UNDP on a course of three major areas of work – Sustainable Development Pathways, Inclusive and Effective Governance; and Resilience-Building. This vision is a response to the global challenges the world is facing, taking account of the unique opportunity and momentum to shift the world onto a path of inclusive, sustainable, and resilient development.

**Environmental sustainability is at the heart of the UNDP Strategic Plan.** The plan emphasizes the need for dealing with development challenges in an integrated manner, underpinning the reality that environmental sustainability is key to achieving poverty eradication, economic development and social justice. UNDP believes that the GEF **is a critical instrument in financing sustainable development** given its ability to ‘join the dots’ between different focal areas, conventions and finance innovation.

Each of the GEF’s thematic programmes includes projects that look at the interplay between the socio-economic causes, effects, and impacts on the global environment, for example biodiversity conservation and sustainable tourism. The GEF Cross-Cutting Capacity Development (CCCD) programme complements these programmes and projects by filling a unique and indispensable role in engaging countries to take a more integrated approach to planning and decision-making. The portfolio takes a different look at the complex interplay across the three thematic areas of biodiversity conservation, drought and desertification, and climate change.

We therefore take great pleasure to share with you this publication, outlining the strategic value of the GEF Cross-Cutting Capacity Development programme with UNDP's programme of work. Throughout the publication, we highlight the successes and lessons learned from various CCCD projects over the course of the programme's existence, and situate them within the context of the UNDP's broader efforts to support capacity development needs to meet sustainable development objectives. In particular, the publication outlines how CCCD projects can serve as strategic catalysts for strengthening and institutionalizing the sustainability of global environmental outcomes within the framework of national development priorities.

To this end, the global portfolio of CCCD projects are explicitly designed to seek out synergies, and facilitate coordination mechanisms that bolster the institutional and systemic capacities to enable sustained and cost-effective management of the global and local environment. Through an adaptive and collaborative approach, these projects also address the underlying systemic, institutional, and individual barriers that cut across institutional boundaries and impede the achievement of Rio Convention objectives. The CCCD programme is also designed to remain adaptive and responsive to the ever-changing global environmental context and national development priorities.

As we move into the GEF-6 cycle, the critical value of CCCD is not to be underestimated as a strategic, focused and country-driven GEF programme, which complements UNDP's programme of work (among those of other development partners). We would like to thank everyone who has supported this exercise with their hard work and thoughtful contributions, and we hope that this publication will spur thoughts and dialogue for how the CCCD programme can continue to achieve lasting and meaningful multiple development impacts and positive change.



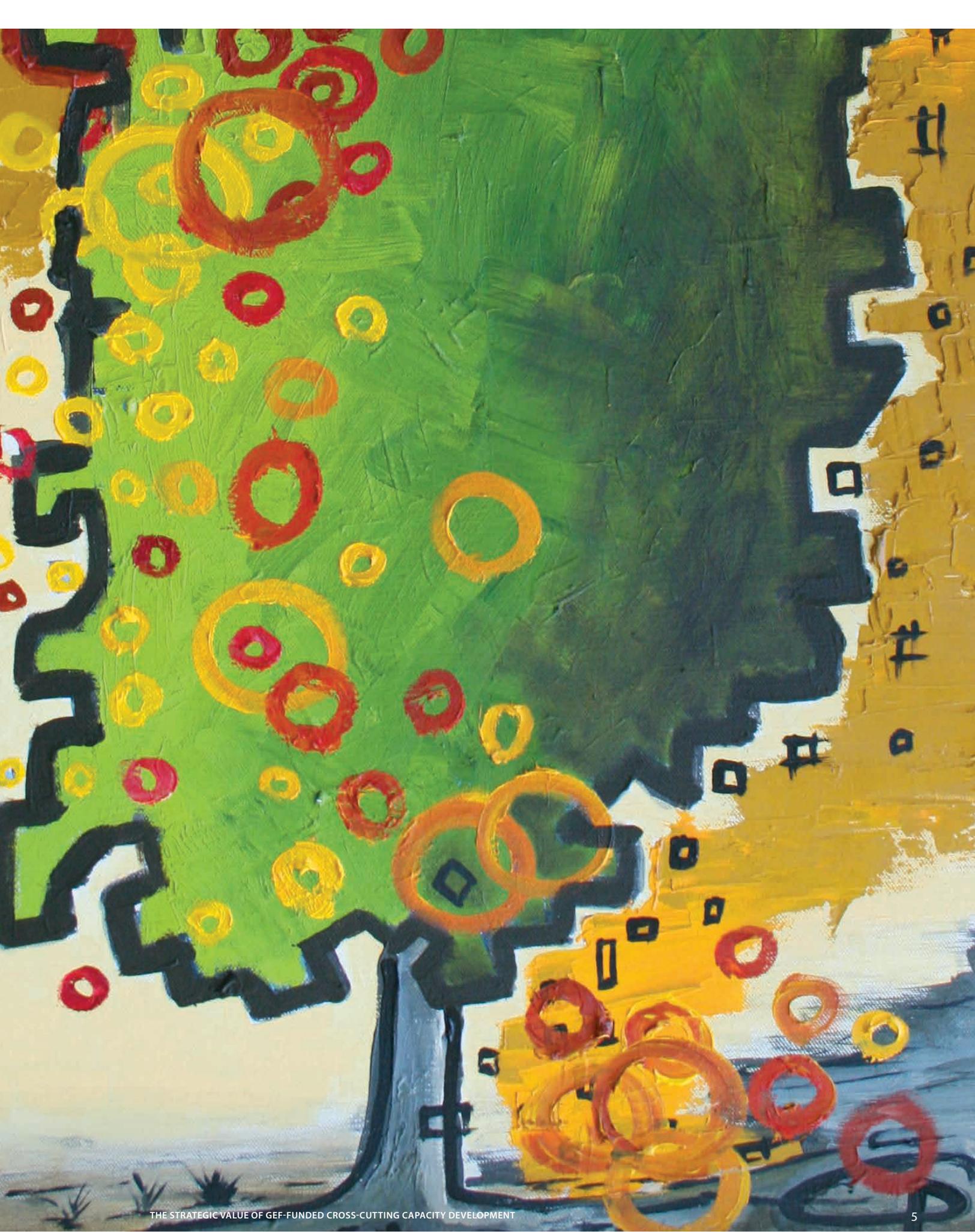
**Adriana Dinu**  
*Executive Coordinator, UNDP-GEF*

# Acknowledgements

Special thanks towards the preparation of this report go to a number of experts and practitioners, in particular those responsible for programme and project development, approval, and implementation at both the country and headquarter levels.

## Acronyms and Abbreviations

<b>ACM</b>	Adaptive Collaborative Management
<b>CBD</b>	Convention on Biological Diversity
<b>CCA</b>	Common Country Assessment
<b>CCCD</b>	Cross-Cutting Capacity Development
<b>CCD</b>	Convention to Combat Desertification and Drought
<b>CDI</b>	Capacity Development Initiative
<b>CITES</b>	Convention on the International Trade in Endangered Species
<b>COP</b>	Conference of the Parties
<b>FCCC</b>	Framework Convention on Climate Change
<b>GEF</b>	Global Environment Facility
<b>GLECRD</b>	Green Low-Emission, Climate Resilient Development
<b>LCDS</b>	Low Carbon Development Strategy
<b>LDC</b>	Least Developed Country
<b>LEDS</b>	Low-Emission Development Strategy
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MEA</b>	Multilateral Environmental Agreement
<b>NCSA</b>	National Capacity Self-Assessment
<b>NGO</b>	Non-Governmental Organization
<b>OPS</b>	Overall Performance Study
<b>PIF</b>	Project Identification Form
<b>PEI</b>	Poverty-Environment Initiative
<b>SIDS</b>	Small Island Developing States
<b>UNCED</b>	United Nations Conference on Environment and Development
<b>UNCHE</b>	United Nations Conference on the Human Environment
<b>UNDP</b>	United Nations Development Programme
<b>UNDAF</b>	United Nations Development Assistance Framework
<b>UNEP</b>	United Nations Environment Programme
<b>WSSD</b>	World Summit on Sustainable Development





# Introduction

Capacity development (formerly capacity building) has long been a conventional development effort to help countries strengthen their capabilities in a range of development sectors. These have generally taken the form of technical assistance by numerous development agencies, both directly by donor countries and by multilateral development organizations such as the United Nations. The set of capacity development activities are carefully selected through a negotiation process between the development agency on behalf of the donor(s) and the recipient stakeholders and constructed as projects. Given the complexity of development issues, in particular the nexus of environment, economy and social welfare, projects are at best small microcosms that attempt to capture the main development dynamics of a larger social system.

Traditionally, a biodiversity conservation project, for example, would focus on the relatively narrow set of threats, risks and opportunities for the preservation and sustainable use of endangered endemic species within a protected area. However, the long-term success of the goal of such a project would require that the full set of threats and risks be fully addressed. And yet, these may include the need for new legislation and supporting enforcement capabilities to halt socio-economic development of the landscape under conservation. Similarly, a climate change mitigation project may require that long-term concessional financing be made available to ensure access to best available technology to reduce greenhouse gas emissions. A project that focuses on combatting desertification and drought may be limited to improving the availability and access to data and information

for better land planning in a single agency, in part because the sharing protocols across institutional boundaries are problematic.

While these and other thematic-focused environmental projects have their particular strategic merit, addressing global environmental issues inherently is less of a priority by sovereign states than their own national socio-economic development priorities. A major gap remained in reconciling these two levels of priorities, resulting in the more strategic and innovative approaches of the Global Environment Facility (GEF) programmes, for example integrating innovative green accounting as a tool for conserving endangered endemic species within the productive landscape.

Whether considered gaps or missed opportunities, synergies between and among the thematic projects remained. That is, cost-effectiveness and a more holistic approach to strengthen sustainable capacities could be achieved by directing more focused efforts to shared capacity needs. The basis for this need was highlighted by the extensive analysis of countries' challenges to meet and sustain global environmental objectives through the GEF's Capacity Development Initiative (2000). This resulted in the National Capacity Self-Assessment (NCSA), which was, for many developing countries, the first concerted effort to bridge these institutional boundaries and address the shared problems, as well as to seek opportunities for creating synergies and cost-effectiveness of development interventions.

Recognizing that capacity development is critical to meeting and sustaining global environmental objectives, decision-makers and planners are reminded that global environmental benefits are not defined by the sum of the local benefits of on-the-ground development of national and local capacities for improved environmental and conservation efforts. Rather, global environmental benefits are defined by the extent that environmental and conservation outcomes benefit societies around the world. And yet, these efforts must rely on the development of the national custodians of the environmental resource in question (species and ecosystems, land and water, and air).

Criteria of these global environmental outcomes are framed by the three Rio Conventions, i.e., the Convention on Biological Diversity (CBD), the Convention to Combat Desertification and Drought (CCD), and the Framework Convention on Climate Change (FCCC). Established as the primary financial catalyst to their national implementation, the GEF has been actively supporting capacity development at their operational and corporate programmes, with an emphasis on strengthening national environmental governance.

As of December 2014, GEF, with assistance from the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP), has supported the implementation of National Capacity

Self-Assessments in 146 countries<sup>1</sup>. UNDP had 20 NCSA follow-up projects, i.e., Cross-Cutting Capacity Development (CCCD) projects, funded under the GEF-3 and GEF-4 cycles. An additional 20 projects were approved for implementation by December 2014, for a total of 40 CCCD projects. A handful of CCCD projects were also approved for implementation through UNEP<sup>2</sup>. Whereas the total funding for CCCD projects during GEF-5 (2010-2014) was US\$ 44 million, the amount allocated under GEF-6 (2014-2018) is US\$ 34 million.

Simply stated, the strategic value of cross-cutting capacity development projects is that they target very real drivers of institutional sustainability. That is, they direct resources to strengthening a country's absorptive capacities that are necessary to sustain environmental outcomes. These outcomes are not intended to be limited to one specific Rio Convention, but instead to address all three, i.e., CBD, CCD, and FCCC. By design, the GEF-funded focal area projects target capacity development support on only one of the Rio Conventions. However, because of this, opportunities to capitalize on synergies across the three conventions are not always seized upon. More importantly, in the absence of effective donor coordination, there is a risk of donor crowding in one focal area with the unintended consequence of deleveraging commitments to build similar capacities in other focal areas.

---

<sup>1</sup> The World Bank's sole foray into the GEF's Capacity Development programme was to support Nigeria's NCSA.

<sup>2</sup> UNEP's CCCD projects include: Cameroon, Bosnia and Herzegovina, Haiti, Russia and St. Lucia.

<sup>3</sup> Other countries may face similar over-crowding of resource mobilization for a targeted thematic area.



# Background

Up until the mid-1900s, the worldview on the environment was largely one of resilience, with natural resources and environmental goods and services being either renewable or effectively inexhaustible. Concern for the environment was catalyzed in the early 1960s with the sufficiently widespread awareness of how pesticide use to increase agricultural yields resulted in the unintended consequence of compromising human health (Carson, 1962). This increase in environmental awareness and subsequent activism led to the accelerated promulgation of multilateral environmental treaties, which also mobilized sufficient political commitment to convene the United Nations Conference on the Human Environment (UNCHE) in 1972. At this conference, governments and societies recognized that greater protections of endangered species, natural landscapes and combatting pollution are needed because the impacts had very clear, though not necessarily visible in the short-term, repercussions on human societies. This conference also catalyzed unprecedented institutional reforms on environmental governance, with countries around the world establishing new environmental ministries and/or agencies to receive official development assistance for a range of environmental conservation programmes and projects.

In the twenty years between the UNCHE and the United Nations Conference on Environment and Development (UNCED), the environmental movement continued to evolve globally. One of the most important developments was the evolution of the concept of sustainability, which was initially framed as the sustainable use of species and ecosystems by environmental organizations such as International Union for

Conservation of Nature. This conceptualization, however, needed further elaboration and unpacking, and through the work of the World Commission on Environment and Development, sustainable development emerged as *“development that meets the needs of current generations without compromising the ability of future generations to meet their needs and aspirations”* (WCED 1987).

Between 1990 and 1992 a series of international dialogues were convened to further the environmental agenda, leading to the establishment of negotiating committees on climate change and biodiversity conservation and preparations to convene UNCED. Two critical features of these negotiations were the financing of new and improved environmental and sustainable development programmes, and the sustainability of their outcomes. The first was addressed in part through the establishment of the Global Environment Facility (GEF) to finance the CBDFCCC, both of which were opened for signature in June 1992. The issue of desertification and drought emerged as an important global environmental issue during this period, ultimately leading to the adoption of the CCD in June 1994. Donor countries were challenged to increase their level of ODA and identify new and innovative sources of financing to implement Agenda 21, the programme of work produced by UNCED.

After seven years of operation and in response to increasing demand for building long-term capacities to implement the three Rio Conventions, the GEF Council approved the Capacity Development Initiative (CDI) in May 1999. In consultation with the UNDP,

## *Man... bears a solemn responsibility to protect and improve the environment for present and future generations.*

*Principle 1, Declaration of the United Nations Conference on the Human Environment, 1972.*

UNEP, and World Bank, the GEF Secretariat began developing a strategic framework to sharpen the focus of GEF's capacity development activities. Under the CDI, a number of studies outlined the challenges and barriers countries continue to face to achieve long-term environmental outcomes. Over an 18-month period beginning in January 2000, the CDI prepared a comprehensive assessment of capacity development needs and past activities, as well as strategy and action plans to strengthen capacities in GEF-eligible countries to address global environmental challenges. As part of the CDI, the UNDP, UNEP, and World Bank each assessed their own portfolios to find that 94% of all GEF-funded projects contained at least one capacity development component. The CDI provided a platform to construct and promote a conceptual framework for assessing and developing country capacities at the systemic, organizational, and individual levels.

In May 2001, the GEF Council approved a framework prepared by the GEF Secretariat and UNDP in close coordination with the CDI Steering Committee, to initiate a process for eligible countries to conduct national capacity self-assessments of capacity development needs and priorities in order to meet their global environmental commitments, particularly those related to the three Rio Conventions. The first NCSAs began in 2002 and were structured as learning-by-doing activities to help institutionalize the capacity assessment process. Countries were provided US\$ 200,000 of GEF funding to complete these assessments.

In 2002, the World Summit on Sustainable Development (WSSD) reviewed progress on the implementation of Agenda 21. Capacity building is a recurring activity called for in the WSSD Plan of Implementation to meet the multiple social, economic and environmental objectives of development needs that were outlined in Agenda 21. Among others, the WSSD Plan of Implementation reaffirmed the need for countries to "assess their own capacity development needs and opportunities at the individual, institutional, and societal levels, as well as to design programmes for capacity-building and support for local, national, and community-level programmes that focus on meeting the challenges of globalization more effectively and attaining the internationally agreed development goals, including those contained in the Millennium Declaration" (UN 2002).

Also in 2002, the GEF concluded an assessment (Overall Performance Study 2 – OPS 2) of the first ten years of operation, and determined that sustainability needed to be more effectively addressed (GEF 2002). This study reaffirmed the need for improved engagement and participation of stakeholders, including commitment of government staff resources at the earliest stage of conception in order to ensure sustainability. Another recommendation of OPS 2 was that greater effort be made to ensure long-term sustainability and replicability through the active engagement of the private sector and strengthening the enabling environment in a way that capitalizes on the opportunities presented by market-oriented strategies. The findings under OPS 2 also determined that the active engagement and

commitment of leaders at the sub-national level offered a strong opportunity for long-term sustainability of project outcomes. An evaluation of Medium-Sized Projects (MSPs) was undertaken as part of OPS 2, and determined that these types of projects as a part of a larger process have the greater potential for sustainability.

Informed by the lessons learned to date of these past studies and evaluations, the GEF developed the Strategic Approach to Enhance Capacity Building in November 2003. This laid out four pathways for GEF to contribute to capacity development in eligible countries:

- a. Support NCSAs;
- b. Strengthen capacity development elements in GEF projects;
- c. Targeted capacity development projects; and
- d. Country-specific programmes to address key capacity needs in Least Developed countries (LDCs) and small island developing states (SIDS).

The first targeted cross-cutting capacity development projects appeared in 2006 as part of the third pathway under the *Strategic Approach to Enhance Capacity Building*<sup>4</sup>. Under GEF-4, 23 CCCD projects were developed and funded to address the priority recommendations identified in the countries' NCSAs.

The Third Overall Performance Study (OPS 3), completed in 2005, was an important assessment of the sustainability and catalytic

effects of the GEF. A number of strategic directions for addressing sustainability were informed by this study, including reaffirming the recommendation of OPS 2 to engage the private sector, which would help catalyze financial sustainability. OPS 3 also determined that stronger scientific and technical information and skills are critical if global environmental benefits are to be achieved and sustained.

19. Indeed, the analysis under OPS 3 was very important to informing the strategic programming of GEF interventions to address sustainability, learning that, among other things, the more targeted focus and limited number of project objectives appeared to be important determinants of sustainability. However, the downside of these targeted projects is that their potential impacts on the global environment may not be as significant. OPS 3 also called for the need of indicators of sustainability to help projects keep on the right path to achieving sustainability.

The 2010 Fourth Overall Performance Study (OPS 4) further informed the need for GEF projects to address foundational capacities as critical to catalyzing and sustaining global environmental outcomes. By this time, indicators and related monitoring tools to track project implementation and measuring outcomes have become particularly vital. OPS 4 also highlighted the need for more attention to address gender issues to help ensure the sustainability of global environmental outcomes. In 2014, the GEF concluded the Fifth Overall Performance Study

---

<sup>4</sup> These first cross-cutting capacity development projects were known as "Capacity Building 2 (CB2) Projects".

(OPS 5), which reaffirmed the findings of past Overall Performance Studies. OPS 5 showed that the GEF 5 replenishment was characterized by increased and increasing business and industry engagement and contribution to sustainable development and sustainability.

Also in 2010, the GEF Secretariat and the GEF agencies updated the programmatic pathways laid out in the *Strategic Approach to Enhance Capacity Building* for the GEF-5 cycle (July 2010 – July 2014). These revisions reflected the preliminary findings and lessons learned from the first round of CCCD projects and NCSAs. Of the 166 eligible countries, 146 had completed or nearly completed their NCSAs; the majority of these were implemented by UNDP (75%) with UNEP implementing the remainder. An analysis<sup>5</sup> of the completed NCSAs found that the five most important identified capacity development needs to sustain global environmental outcomes are:

- a. Public awareness and environmental education;
- b. Information management and exchange;
- c. Development and enforcement of policy and regulatory frameworks;
- d. Strengthening organizational mandates and structures; and
- e. Economic instruments and sustainable financing mechanisms.

These findings correlate with the capacity development obligations of the three Rio Conventions. These obligations are organized into five main categories, each of which formed

the basis of the GEF-5 CCCD Strategy and Programming Frameworks. The strategic value of the Cross-Cutting Capacity Development project first and foremost lies in taking a more comprehensive approach to strengthening those underlying capacities that are critical to helping countries sustain global environmental outcomes.



<sup>5</sup> Bellamy & Hill (2010), *National Capacity Self-Assessments: Results and Lessons Learned for Environmental Sustainability*. This report, referred to as the NCSA Synthesis Report, can be accessed at [www.undp.org/content/undp/en/home/librarypage/environment-energy/integrating\\_environmentintodevelopment/national-capacity-self-assessment-synthesis-report/](http://www.undp.org/content/undp/en/home/librarypage/environment-energy/integrating_environmentintodevelopment/national-capacity-self-assessment-synthesis-report/)

...“it is not only about an assessment or an action plan, often NCSA is more about changing the mindsets, approaches and attitudes that are so dire for global environmental management”

GEF Operational Focal Point, Georgia.

This programme is structured in two phases: the bottom-up consultative process of countries undertaking their own assessment of the individual, institutional and systemic capacities needed to implement and sustain global environmental outcomes (known as the National Capacity Self-Assessments – NCSA); and the second phase being the implementation of projects to strengthen a priority set of cross-cutting capacities. These capacity development projects (known as Cross-Cutting Capacity Development – CCCD) are specifically conceptualized to be of strategic value to address this history. In 2004, during the third replenishment cycle of the GEF, operational guidance was provided to help structure targeted cross-cutting capacity development, building on lessons learned from the NCSAs.

The country drivenness of a proposed CCCD project is determined by the bottom-up and national consultative process managed by the NCSA project and described in the country’s NCSA Final Report and Action Plan. In 2009, a comprehensive study of the NCSA Final Reports and Action Plans from 119 countries served as the basis for empirically legitimizing the CCCD programming frameworks for GEF 5. The resulting NCSA Synthesis Report identified a number of key lessons learned and capacities that are needed for countries to meet and sustain their global environmental commitments.

**TABLE 1: CAPACITY DEVELOPMENT OBLIGATIONS OF THE RIO CONVENTIONS**

Type of Capacity	Convention Requirements	FCCC	CBD	CCD
<b>Stakeholder Engagement</b>	Capacities of relevant individuals and organizations (resource users, owners, consumers, community and political leaders, private and public sector managers and experts) to engage proactively and constructively with one another to manage a global environmental issue.	Article 4 Article 6	Article 10 Article 13	Article 5 Article 9 Article 10 Article 19
<b>Organizational Capacities</b>	Capacities of individuals and organizations to plan and develop effective environmental policy and legislation, related strategies, and plans based on informed decision-making processes for global environmental management.	Article 4 Article 6	Article 8 Article 9 Article 16 Article 17	Article 4 Article 5 Article 13 Article 17 Article 18 Article 19
<b>Environmental Governance</b>	Capacities of individuals and organizations to enact environmental policies or regulatory decisions, as well as plan and execute relevant sustainable global environmental management actions and solutions.	Article 4	Article 6 Article 14 Article 19 Article 22	Article 4 Article 5 Article 8 Article 9 Article 10
<b>Information Management and Knowledge</b>	Capacities of individuals and organizations to research, acquire, communicate, educate and make use of pertinent information to be able to diagnose and understand global environmental problems and potential solutions.	Article 4 Article 5	Article 12 Article 14 Article 17 Article 26	Article 9 Article 10 Article 16
<b>Monitoring and Evaluation</b>	Capacities in individuals and organizations to effectively monitor and evaluate project and/or programme achievements against expected results and to provide feedback for learning, adaptive management and suggesting adjustments to the course of action if necessary to conserve and preserve the global environment.	Article 6	Article 7	N/A

**FIGURE 1: CROSS-CUTTING CAPACITY DEVELOPMENT IN GEF-5**



## Cross-Cutting Capacity Development in GEF-5

Whereas the *Strategic Approach to Enhance Capacity Building* and the NCSAs informed the early CCCD projects, lessons learned from the latter led to the draft CCCD strategy and programmatic frameworks in 2004. Further lessons learned over the next four years led to the development of the GEF-5 CCCD strategy and programmatic frameworks. The objectives under the GEF-5 programmatic frameworks were:

- CD-1:** To enhance the capacities of stakeholders to engage throughout the consultative process
- CD-2:** To generate, access and use information and knowledge
- CD-3:** To strengthen capacities to develop policy and legislative frameworks
- CD-4:** To strengthen capacities to implement and manage global convention guidelines
- CD-5:** To enhance capacities to monitor and evaluate environmental impacts and trends

Under CD-1, the GEF Secretariat also organized National Dialogues, at the request of the host country, to promote the mainstreaming of global environmental concerns into national development priorities. These were structured in a workshop format, with broad stakeholder representation, to discuss and better understand the strategic value and contribution of the global environment to meeting national socio-economic and development priorities. Also under this programming framework, the GEF supported countries, through the Operational Focal Points, to engage stakeholders in a consultative process to strategically prioritize how the GEF country allocation will be programmed during the GEF-6 cycle. This GEF National Portfolio Formulation Exercise (NPFE) is a voluntary process that is intended to be based on the country's national development policies, plans, and strategies, which include the national communications, reports, and action plans to the Rio Conventions and other multilateral environmental agreements (MEAs).

Facilitating stakeholder engagement was also supported by CD-1 through the two GEF Council related meetings. The first are the GEF Constituency Meetings that were designed to help the GEF Council Members and their Alternates to better understand the GEF consultative and decision-making processes, and thus how to more effectively represent the interests of their respective constituencies. The Pre-Council Meeting for developing country constituencies is organized the day immediately prior to the Council Meeting to better prepare the Council and Alternate members on the documentation and issues to be addressed.

The remaining four capacity development frameworks were implemented as projects, and structured as cross-cutting capacity development medium-size projects to specifically add strategic value. To do so, they had to demonstrate their relevancy to the Rio Conventions by referring to specific articles and guidance from the relevant Conferences of the Parties (COPs) calling attention to capacity building needs. Since the conventions entered into force, and more recently in the 2013 and 2014, the respective COPs have adopted a number of decisions that have implications under the GEF-6 programming directives<sup>6</sup>. The CCCD formulation process must also articulate the strategic fit with the GEF CCCD strategy, including a clear statement of the global environmental objectives to be achieved and the strategy by which the project sets out to achieve them.

Cross-cutting capacity development projects are specifically designed to be targeted projects, per the *Strategic Approach to Enhance Capacity Building*. For the most part, CCCD projects have been structured in this way, although a few have been designed to meet other CCCD Programming Frameworks. The first programming framework, CD-1, is implemented through the GEF's corporate programme on Capacity Development, and includes the GEF workshops that provide training on the GEF-6 business model. These workshops serve to catalyze resource mobilization, increase the sharing of experiences, and foster cross-country and regional collaboration and programming on a range of priority issues to meet and sustain global environmental objectives. Table 3 below provides a simple categorization of the CCCD projects according to their primary objective under the remaining four CCCD programming frameworks.

---

<sup>6</sup> A number of the more pertinent COP decisions are disaggregated in Annex 1.

**TABLE 2: COUNTRIES DEVELOPING PROJECTS UNDER THE GEF-5 CROSS-CUTTING CAPACITY DEVELOPMENT PROGRAMME AND YEAR APPROVED BY GEF CEO<sup>7</sup>**

CD-2	CD-3	CD-4	CD-5
Armenia (2008)	Belize (2008)	Bangladesh (2014)	Montenegro (2011)
Belize (2014)	Costa Rica (2013)	Bhutan (2008)	Morocco (2009)
Burkina Faso (2013)	Egypt (2008)	Bulgaria (2006)	Tajikistan (2014)
Cote d'Ivoire (2013)	Fiji (2014)	Gambia (2008)	
Croatia (2008)	Jordan (2008)	Ghana (2008)	
Jamaica (2008)	Kenya (2008)	Kyrgyzstan (2008)	
Kazakhstan (2014)	Laos PDR (2008)	Moldova (2011)	
Kiribati (2014)	Nicaragua (2008)	Namibia (2008)	
Pakistan (2014)	Seychelles (2009)	Philippines (2009)	
Papua New Guinea (2014)	Solomon Islands (2014)	Romania (2008)	
Samoa (2014)	Ukraine (2013)	Suriname (2014)	
Sri Lanka (2014)		Tajikistan (2008)	
Vietnam (2014)		Togo (2013)	
		Uzbekistan (2008)	
		Vietnam (2014)	



<sup>7</sup> This does not include GEF-6 CCCD projects currently under formulation or early implementation.

## Cross-Cutting Capacity Development in GEF-6

In 2013, the GEF Secretariat convened a group of experts under a Task Force to discuss the key principles and operational criteria for the GEF-6 CCCD Strategy. Approval of this strategy was supported by a review of CCCD projects initiated by the GEF Secretariat. This review concluded that there was a need to develop a greater linkage between the GEF CCCD strategy and the capacity development strategies of MEAs to achieve synergies and a better-coordinated approach at the country level for developing needed capacities (Bellamy J.-J., Capacity Development Study – CB2, 2013). The new GEF-6 CCCD strategy emphasizes environmental governance systems and the mainstreaming of global environmental issues into national developmental programmes with five key capacity development (CD) objectives that are described in Section D<sup>8</sup>:

Based on lessons learned from that review and initial findings from GEF-5 projects, the GEF-6 strategy was updated to facilitate the acquisition, exchange, and use of knowledge, skills, good practices, and behavior necessary to shape and influence national planning and budgeting processes and implementation in support of global environmental benefits. Notwithstanding the slight revision (and re-ordering) of the CCCD programme frameworks in GEF-6, fundamentally they remain the same. The main exception in GEF-6 is providing an option for countries to update their NCSA. However, this programme framework is not for capacity development, but rather capacity assessment. That is, the updating of the NCSA remains an exercise that is fully funded by the GEF to prepare a national strategy, action plan, and/or communicate national

information on achievements and priorities under the three Rio Conventions. The NCSA is therefore a GEF Enabling Activity, as are the National Biodiversity Strategy and Action Plan, the National Action Plan to Combat Desertification and Drought, and the National Communication.

The GEF-6 CCCD interventions remain focused on strengthening the sustainability of global environmental outcomes through improved data and information management systems, piloting innovative economic and financial tools, strengthening consultative and management arrangements, and integrating MEA provisions within national policy, legislative, and regulatory frameworks.

Within the context of the GEF-6 Programmatic Frameworks, this present study provides guidance and options on how CCCD projects take an innovative and transformative approach to addressing national sustainable development priorities, while at the same time securing global environmental benefits. These projects, whether they facilitate a country's transition to a "Green Economy", such as in Kazakhstan, or integrate global environmental obligations within the UN programme on Reducing Emissions from Deforestation and Forest Degradation (REDD+) development framework, as Solomon Islands is doing, set out to strengthen the underlying capacity needs at the individual, institutional, and systemic levels in order to sustain global environmental outcomes. Taking into account this goal, the latest iteration of the CCCD strategy in GEF-6 presents an opportunity to reflect on best practices and lessons learned to further strengthen the strategic value of the next generation of projects.

---

<sup>8</sup> A number of the more pertinent COP decisions are disaggregated in Annex 1.

# Conceptualizing Cross-Cutting Capacity Development Projects

Each of the cross-cutting capacity development obligations has been called for by the three Rio Conventions at their respective Conference of the Parties. For example, at its Eleventh Session, the Conference of the Parties (COP-11) for the CBD called for renewed efforts to strengthen a variety of technical, organizational, and systemic capacities such as those needed to support the implementation of national action plans for the programme of work on protected areas. Similarly, the Nineteenth Session of the FCCC COP expressed the need to strengthen capacities to manage and improve national forest monitoring systems among other capacities. The Eleventh Session of the CCD's Conference of the Parties also reiterated its call for GEF to support national-level capacity development for affected Parties. This included the encouragement of countries to make use of the GEF programme on capacity development to support the capacity needs in relation to the Rio Conventions. However, it was also noted that there is a need to revisit the GEF's overall approach to capacity development in response to concerns voiced by the conventions on this important topic (Bellamy 2013).

In practical terms, CCCD projects target the drivers of institutional sustainability by leveraging synergies across the three Rio Conventions, other MEAs, as well as national development priorities. Whereas focal area projects are designed to address capacity development needs as they relate to one particular Rio Convention, CCCD projects are designed to strengthen national absorptive capacities to achieve and sustain environmental outcomes. For example, Bulgaria's CCCD project under GEF-4 developed capacities

to strengthen the country's planning and decision-making processes by integrating global environmental indicators into national planning processes, and training key stakeholders on the use of GIS to help mainstream environmental data and information into these processes. This new integrative planning process incorporated data relevant to all three conventions such as biodiversity loss, greenhouse gas emissions, soil degradation among others. The project also compiled a list of best practices for GIS applications and a database of nationally accessible data sources relevant to the conventions.

The relative small size of CCCD projects, when compared to full-size focal area projects, is no accident. Learning from the GEF Small Grants Programme, among other experiences, the GEF ascertained that cost-effectiveness is often more attainable with smaller amounts of resources that are targeted to fewer outputs. Specifically, they can direct focused attention to eliminating capacity bottlenecks that may not otherwise be sufficiently addressed by focal area (thematic) projects. With this in mind, CCCD projects are designed to focus on just one outcome and a manageable set of outputs. One lesson learned from Uzbekistan's 2008 CCCD project, for example, is that instead of developing special capacity building projects, cost-effectiveness could be improved by establishing a more permanent capacity building mechanism in an appropriate agency. This lesson most readily applies to countries where the key constraint is a lack of systemic and organizational capacity as opposed to insufficient funding.



Along these lines, a recently approved project for Bangladesh will work closely with the Bangladesh Public Administration Training Centre to mainstream the Rio Conventions within training programmes for all government staff. This is also the case in Suriname, where their CCCD project aims to strengthen environmental management at all levels through the creation of a platform that fosters and catalyzes effective and efficient political dialogue as well as cross-institutional alliances (e.g., institutional twinning). In Nicaragua, the 2008 CCCD project supported the creation of a unit to monitor the implementation of MEAs, which helped develop better linkages between MEA focal points and their respective organizations and increase their negotiation capacities at international MEA meetings.

CCCD projects are *not* enabling activities that produce strategies or plans – these types of projects are financed as GEF Enabling Activities, such as the National Biodiversity Strategy and Action Plan for CBD project. Rather, the key outputs under CCCD projects are the improved technical, institutional, and systemic capacities that enable fulfillment of the Rio Conventions and other MEAs. They call for an emphasis on in-country training, catalyzing mentoring, demonstrating sub-national good practices for replication, and in exceptional circumstances training on internationally-recognized methodologies and standards. CCCD projects are inherently about mainstreaming the Rio Conventions into national sustainable development planning frameworks. That is, the GEF increment is used to leverage national commitments and resources in a complementary and synergistic manner.

Mainstreaming the Rio Conventions (among other MEAs) also means that a good degree of cost-effectiveness can be achieved since smaller amounts of resources are needed to add a global environmental character to the capacities that are to be developed. This strategy purportedly enhances the cost-effective implementation of the Rio Conventions, while at the same time catalyzes the mainstreaming of MEAs into national legislative, policy and sustainable development.

Another key aspect of CCCD projects with regard to Rio Convention mainstreaming, is the use of piloting. Throughout many of the CCCD projects key participants develop programmes, plans, indicators, and methodologies among other outputs that must be tested. For example, in Bulgaria, key stakeholders were brought together to develop guidelines for incorporation of global environment considerations. Through the development and testing of these guidelines in one manageable pilot district, project stakeholders not only learned lessons and best practices that could be applied to the further application of these guidelines in other districts, but they also developed their own capacity through learning-by-doing activities. Rather than focusing on larger numbers of districts and municipalities, CCCD projects tend to focus on smaller, manageable scales to pilot outputs so that they can be subsequently replicated and/or scaled up. Nicaragua, for example, implemented its 2008 CCCD project piloting in six municipalities, scaling up their results to other regions of the country. The Philippines (2008) CCCD project supported and facilitated the piloting of the tools and incentive system at the local level.

## *The strategic value of CCCD projects is that they target drivers of institutional sustainability.*

Other projects have found real value in focusing attention on scaling up participation at the local level. In the final review of the Ghana CCCD project, multiple interviewees agreed that developing capacities at the district level should be a priority. Similarly, the CCCD project in Laos found that awareness-raising at the community level was crucial for ensuring stakeholder buy-in and long-term sustainability of project outcomes. In Laos communities are ultimately responsible for the management of protected areas. For this reason, the project made sure to emphasize clear linkages between natural resource management and benefits to communities. By encouraging communities and government staff to work together to develop solutions to the environmental issues they faced, the project was able to obtain a high degree of local input and of ownership in the project.

The original intent and added value of CCCD projects remains to build strong foundations to meet and sustain global environmental outcomes, not only beyond the CCCD intervention, but to strengthen the sustainability of the other GEF focal area projects. The overall sustainability of these types of projects is fortified by their emphasis on adaptive collaborative management (ACM), which places a high value on stakeholder engagement. Project after project has found that actively engaging stakeholders from various social actors, such as NGOs and CSOs early in project design and throughout the project lifecycle, not only improves the project's validity, but it also improves the sustainability of project outcomes. In addition to granting legitimacy to the process, and providing valuable outside feedback, the ACM process also serves to turn stakeholders

into project champions. The 2008 CCCD project for Tajikistan demonstrated the importance of substantive stakeholder involvement. The project brought together partners from government, civil society, NGOs, research organizations, the media, and academia among others to build partnerships and capacities across sectors. The core strategy for CCCD projects utilizes a learning-by-doing approach to engage national stakeholders and encourage ownership of key cross-cutting issues facing the country in order to develop and implement feasible and replicable solutions. A case in point is the 2013 CCCD project for Costa Rica, where stakeholder involvement from the early stages of the project formulation was key to strengthening national ownership. This also required a socialization process to increase the awareness of public officials about national responsibilities associated with the Conventions, so the project would be both transformative and strategic at all levels.

Related to the issue of broad stakeholder involvement is the CCCD strategy's emphasis on coordination and collaboration. CCCD tries to disrupt the tendency for ministries to work in silos by improving the lines of communication and creating mechanisms for inter-ministerial coordination. These coordination mechanisms come in a variety of formats, often they involve the creation of working groups and technical committees, as was the case in Belize and Egypt. For example, Egypt's 2008 CCCD project convened a national steering committee that brought together the Rio Convention Focal Points, key representatives of line ministries, CSOs, and research institutions. This has not only supported changing the mindset of stakeholders to use a more integrated

---

<sup>9</sup> Notwithstanding that the GEF's point is entry is formal national ownership through the endorsement of the GEF Operational Focal Point and tacit championing by other key stakeholder representatives.

approach by applying the synergetic approach to the design of projects, but it has also linked global environmental projects with national programming to ensure sustainability, replication and scaling. Through the use of sensitization workshops and working group meetings, Belize's CCCD project (2008) determined an appropriate composition and structure for its committees so that they included representation from all relevant stakeholders. Too often, ministries have similar goals, but are unaware of related activities that are ongoing in other ministries, civil society, or the private sector. In Least Developed Countries, such as Somalia, there can also be a lack of coordination between ministries of different states and their respective legal frameworks, which can create a patchwork of ad-hoc and redundant policies. By bringing representatives from each stakeholder group to the table to work together on these issues, CCCD projects are able to create opportunities for synergies and encourage a coordinated approach to achieving global environmental benefits.

In addition to coordinating efforts with other government institutions, CCCD projects also strive to create linkages with other initiatives from national and international development partners. Starting from the project design and continuing through to the exit strategy, CCCD projects closely examine other on-going activities that present an opportunity for synergies. For example in Laos, the project examined programmes and initiatives being implemented by the Asian Development Bank, World Bank, as well as the UNDP among others. The final evaluation recommended further

examination of these partner activities as way of securing funding for the improved sustainability of the project outcomes.

One crucial aspect of CCCD is the replicability of projects and the possibility of identifying best practices that may be applied in other countries. As noted in the final evaluation of Belize's 2008 CCCD project, thorough and regular documentation of project activities is not only a necessary part of monitoring and evaluation, but also facilitates the sharing of lessons learned. Perhaps more importantly, regular documentation is essential to prevent the loss of institutional memory in the event that project participants transfer to other positions or government institutions are restructured. Indeed, the unintended consequence of developing individual capacities is that trained civil servants become more qualified for positions outside government, and leave for higher paid jobs in the private sector or overseas.

Institutionalizing these capacities, to the extent possible, reduces the loss of lessons learned and good practices that are available for improved decision-making and planning. For example, one of the objectives of the CCCD project for Trinidad and Tobago (2014) is to improve resource mobilization for MEA implementation building upon the good practice of PRINCE2<sup>10</sup>. In addition to facilitating a more structured and strategic approach to programme and project implementation, this methodology encompasses a set of tools designed to promote learning and sustained organizational strengthening that institutionalizes knowledge.

---

<sup>10</sup> PRINCE2 (PROjects IN Controlled Environments) is a process-based methodology to guide more effective project management. For more information see <http://www.prince2.com/what-is-prince2>.

## CROSS-CUTTING CAPACITY DEVELOPMENT IN GEF-6

In 2013, a review of the GEF-5 CCCD portfolio informed further strategic directions of the programme framework. Building on these experiences and lessons learned, GEF-6 (2014-2018) picks up where GEF-5 left off, by identifying the transversal issues of capacity development that traditional single focal area projects do not address. GEF-6 has placed special importance on coalition building, where national and local stakeholders work together to address global environmental issues and incorporate them into the standard decision-making process (GEF, 2013). GEF-6 projects' strategic objectives are to facilitate the acquisition, exchange and use of knowledge, skills, good practices, behavior necessary to shape and influence national planning and budgeting processes and implementation in support of global environmental benefits (GEF, 2013). The strategy in GEF-6 re-emphasizes the need for projects to be strategic and transformative, but also calls for systemic transformations in the

way global environmental outcomes are achieved and sustained. This cycle moves beyond MEA mainstreaming into the national and sub-national planning, policy and legal frameworks, and now emphasizes the integration of sustainability principles into the key development sectors not just by government staff, but also civil society and the private sector. There are five key objectives under GEF-6<sup>11</sup>:

- NCSA:** To update NCSAs
- CD-1:** To integrate global environmental needs into management information systems and monitoring
- CD-2:** To strengthen consultative and management structures and mechanisms
- CD-3:** To integrate MEAs provisions within national policy, legislative, and regulatory frameworks
- CD-4:** To pilot innovative economic and financial tools for Convention implementation



<sup>11</sup> The CCCD programme frameworks for GEF-5 and GEF-6 are slightly different. Therefore, CD-1 in GEF-5 is not the same as CD-1 in GEF-6.

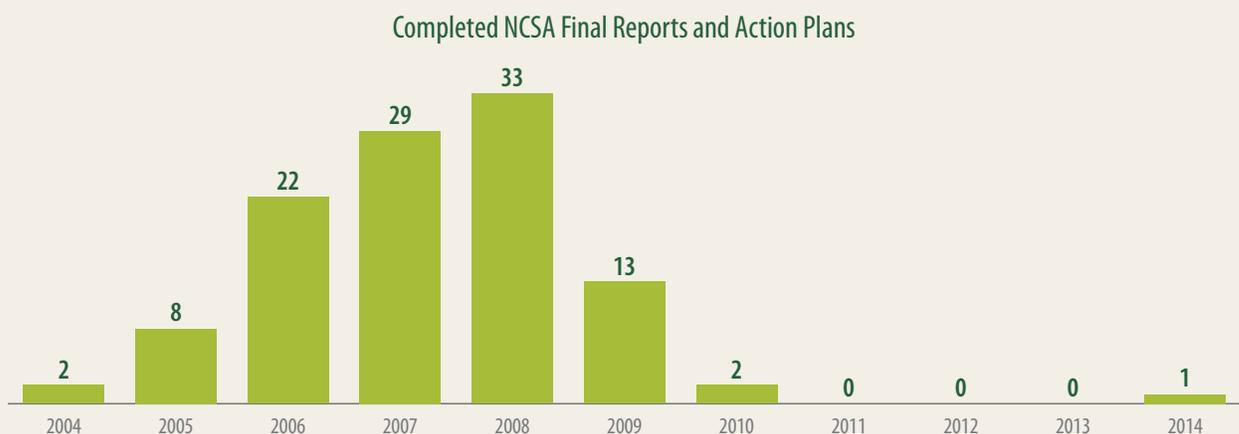
## NCSA: To update National Capacity Self-Assessments

A number of years have passed since the first round of National Capacity-Self Assessments began. The NCSA Synthesis Report yielded valuable lessons, that were critical in reaffirming the strategic value of addressing the capacity needs that are shared among the three Rio Conventions, among other MEAs. While government departments and agencies often collaborate and develop partnerships, they have traditionally focused within the relatively narrow boundaries of the thematic area, e.g., biodiversity conservation, climate change adaptation, land degradation, and water resource management, to name a few. Countries have also, to varying degrees, undertaken projects to address capacity development needs that cut across thematic areas. However, they have largely not done this at the earlier assessment stage to rationalize subsequent capacity development. Indeed, the overall positive response by countries was

that the NCSA exercise offered a rare opportunity for countries to collaborate earlier than they traditionally have done when determining and legitimizing capacity development priorities. Through this early collaboration, countries are able to have a more robust assessment of the shared strengths, weaknesses, opportunities, threats, and gaps that influence environmental sustainability.

Most NCSAs were completed more than five years ago, for which reason they may be considered outdated. For this reason, interested countries will be supported to update their NCSAs and, as appropriate, expand them to include other MEAs for which the GEF serves as a financial mechanism. Those countries that have assessed the capacity development needs across the set of MEAs whose implementation is being financed by the GEF would be eligible to design a CCCD project that delivers global environmental outcomes under that set of MEAs.

### NUMBER OF NCSAS IMPLEMENTED BY UNDP COMPLETED EACH YEAR. THIS DOES NOT INCLUDE NCSAS IMPLEMENTED BY UNEP.



### **CD-1: To integrate global environmental needs into management information systems and monitoring**

This objective focuses on strengthening cross-sectoral, national and regional knowledge management systems that are directly relevant to meeting global environmental priorities. Institutional networks and information centers will be developed, both nationally and regionally, so as to strengthen an integrated approach to information analysis and its dissemination to support improved decision- and policy making, monitoring and evaluation.

### **CD-2: To strengthen consultative and management structures and mechanisms**

This objective focuses on filling critical decision- and policy-making gaps. Whereas Objective 1 focuses on the creation, coordination, and dissemination of new and improved information, this objective focuses on how that information is used. Broader non-state stakeholder engagement would be built into the key consultative mechanisms that lead to policy-decisions, reinforced by related consultative processes from the local (e.g., private sector round-tables and local community and village meetings) to the national (open-ended technical committees in parliamentary sessions). This objective would help respond to Recommendation #3 from the GEF portfolio review, which identified a need for further technical support and guidance for effective stakeholder engagement, possibly in the form of one-stop support.

### **CD-3: To integrate MEAs provisions within national policy, legislative, and regulatory frameworks**

This objective will be targeted to a set of mainstreaming exercises. Specifically, projects would support a more systematic integration of the global environmental priorities called for in the articles of the three Rio Conventions and decisions of their respective Conference of the Parties and other MEAs. Vertical integration would be piloted to demonstrate the need for monitoring and enforcing of new and improved policies, legislation, and regulation. This type of cross-cutting capacity development project could build upon the outcomes delivered under Objectives 1 and/or 2.

In addition, this objective aims at developing a greater linkage between the GEF crosscutting capacity development strategy and the capacity development strategies of MEAs to bring synergies and a better coordinated approach at the country level for developing needed capacities.

### **CD-4: To pilot innovative economic and financial tools for Convention implementation**

Under this objective, projects would pilot environmental fiscal reform within a broader programme of fiscal reforms to improve the flow of resources to finance activities under the MEAs, as well as to create stronger financial disincentives for degradation of the global environment under the Rio Conventions. In concrete terms, this would mean the restructuring of processes for the collection of environmental taxes, fees and fines, as well as a more transparent and streamlined process of resource allocation and distribution between the local, regional, and central government authorities.

As in GEF-5, the GEF Strategy for CCCD in GEF-6 re-emphasizes the call for CCCD projects to be strategic and transformative. To that end, these projects are not intended to be more of the same, but instead allow countries to target high-value, low-cost capacity development needs. This includes strengthening and demonstrating the value of decentralized environmental governance, given the custodian role of regional governments, local authorities and civil society in natural resource management. CCCD projects are also strategic in that they allow countries to fill those capacity development needs that fall between the gaps because of the focal area approach. These gaps generally fall into one or more of these four capacity development programmatic frameworks and offer countries a unique opportunity to bridge the shared needs as well as to foster strategic and mutually beneficial partnerships.

## OPERATIONALIZING CROSS-CUTTING CAPACITY DEVELOPMENT

In a statement to the 47<sup>th</sup> Session of the GEF Council, UNDP Administrator Helen Clark reiterated the unique value of GEF and the need for transformational and innovative approaches to address global environmental objectives. Ms. Clark stressed that because of the complexity of the sustainable development challenges that countries face, work must not be done in silos. Integrated and comprehensive approaches are needed to mobilize partnerships and stimulate breakthroughs. The CCCD programme was structured to catalyze and institutionalize such transformations and innovations through more robust stakeholder engagement and adaptive collaborative management. Taking into account

the four capacity development programmatic frameworks, the strategic value of each CCCD project is structured through a broad-based consultative process to reconcile and legitimize the proposed capacity development activities with the countries national sustainable development priorities.

The CCCD Strategy for GEF-6 identifies seven important criteria that are essential elements of successful projects. These criteria will help ensure the acquisition, transfer and use of knowledge/data, skills, and best practices that are necessary to shape and influence national planning and budgeting processes to produce global environmental benefits. In addition to the GEF-6 criteria, this technical study has identified four additional criteria that are critical to project success. The criteria are as follows:

### Consistency with Rio Convention Guidance

Projects must directly address shared obligations under the Rio Conventions regarding capacity development. CCCD projects should respond to specific needs as called for by the various articles of the conventions. While guidance from the conventions is essential, as found in Namibia, it can be very useful to address the conventions by means of nationally relevant processes and/or legislation. For this reason, the Namibia 2008 CCCD project recommended that projects critically assess the status of Rio Convention implementation as a backdrop to inform an improved national approach in line with project efforts. The project also recommended a comprehensive synthesis report be prepared as part of the project activities which would provide a roadmap for further Rio Convention mainstreaming in light of the project outputs and national development priorities.

## *The challenge for CCCD projects to be transformative requires stakeholders' willingness to adopt new ideas and not be resistant to change.*

The NCSAs need not be limited to only the three Rio Conventions. Indeed, a number of countries decided to broaden the coverage of their NCSA to include other MEAs. For example, Montenegro linked their NCSA with the Aarhus Convention<sup>12</sup>. Similarly, at the 2004 NCSA Regional Workshop (for Spanish-speaking countries) in Ecuador and the 2009 NCSA Sub-Regional Workshop in Kenya, representatives from 13 and 14 countries respectively, agreed that while the NCSA must address all three Rio Conventions, the capacity development issues are similar if not identical to those needed to meet and sustain other MEAs, such as Ramsar, the Montreal Protocol or the Convention on the International Trade of Endangered Species (CITES). By excluding the other MEAs, workshop participants felt that the NCSAs would be lost opportunity to identify key synergies across a wider range of global environmental priorities.

### Country Ownership

Although the NCSA is fundamentally a capacity assessment exercise, capacities are developed by having countries take charge of assessing their needs to meet global environmental obligations and sustain their attendant outcomes. Projects should continue promoting country ownership through country-led programmes to ensure that the GEF supports embedded environmental objectives at the core of national decision-making and development planning. In Egypt, the NCSA and subsequent CCCD project implemented in 2008 were directly affiliated to the management of the Egyptian Environmental Affairs Agency to provide

guidance to institutionalization priority capacity development needs. However, as was found in the final evaluation of the Uzbekistan 2008 CCCD project, it was not appropriate for GEF to retain perceived ownership or take the lead on project management. Uzbekistan's project reiterated that country ownership is essential, and identified good practices to strengthen it. One such practice is that CCCD projects should be embedded or integrated within the system that they intend to strengthen. This is consistent with findings from the NCSA workshop in Kenya where participants concluded that in order to strengthen ownership of the NCSA process, countries must demonstrate the management outcomes and benefits inherent in the project. A necessary step to achieve this is ensuring the integration of the NCSA within national planning structures and mechanisms.

This was the case in Paraguay's NCSA Action Plan, which was integrated within the foundations of their 2010-2020 National Environmental Policy. This Action Plan set out to implement an improved institutional mechanism for Paraguay to meet and sustain commitments of the Rio Conventions. This included strengthening targeted policy and legislative frameworks to catalyze the integration of environmental issues in their national plans, maximizing synergies between policies, rules and decisions governing the management of the environment.

The NCSA Resource Kit<sup>13</sup> was made available to countries as a general guide in the assessment process with the expectation that the projects

---

<sup>12</sup> The United Nations Economic Commission for Europe Convention on Access to Information, Public Participation in Decision-Making and Access to Justice in Environmental Matters

<sup>13</sup> The NCSA Resource Kit (2005) was a seminal product of the Global Support Programme (GSP) that was jointly implemented by UNDP and UNEP to provide technical advisory services to countries undertaking their NCSA. See [www.undp.org/content/undp/en/home/librarypage/environment-energy/integrating\\_environmentintodevelopment/nca-resource-kit/](http://www.undp.org/content/undp/en/home/librarypage/environment-energy/integrating_environmentintodevelopment/nca-resource-kit/)

would then be tailored to each country's specific context. For example, in Cameroon, emphasis was placed on sustainable forest management, while other countries such as Haiti, Cuba, and Lesotho have taken ecological approaches to the NCSA process. By taking such an approach, countries must prioritize which ecosystems are most critical to national priorities. Tailoring CCCD projects beyond the basic framework provided in the NCSA Resource Kit is just one way to improve national ownership.

Another lesson from Uzbekistan emphasized that members of the Project Board and working groups are crucial as project champions and should share ownership. The primary role of these members should be to serve as a link between the project and their respective institutions to ensure the institutionalization and overall sustainability of project outcomes. Similarly, participants at the NCSA Workshop in Kenya also stressed the criticality of actively engaging GEF Focal Points throughout the project, but particularly in the beginning for the finalization of the Terms of References as a way of mitigating the risk of low political commitment. Similar calls were made in a number of other NCSA reports, including that of Suriname, which calls for the appointment of a National Focal Point for Capacity Development to work closely with the National Focal Points of the three Rio Conventions.

The NCSA Sub-Regional Workshop in Fiji also reiterated the need for strong leaders to champion the project and help recruit other key decision-makers and national stakeholders. At the same time, the workshop warned about the

risk of the project being overtaken by the strong personalities of key decision-makers thus working against the overall objectives of the NCSA. This is consistent with discussions from a workshop held in Brazil to discuss national experiences with implementing the Strategic Plan for Biodiversity 2011-2020. In this workshop, participants identified the importance of high-level political buy-in from all political parties across all government departments. The key is to ensure that the right people are involved as champions, though the "right" champion and the composition of the Project Board will vary according to the specific context and institutional framework of the respective countries.

These findings were recorded at the first NCSA workshop in Ecuador (2004), where representatives from 13 countries discussed the importance of high-level political support. In the second NCSA Workshop in Chile (2006), several Latin American participants also expressed concerns about the risk of the NCSA being dominated by one small group of stakeholders and thus preventing the participation of others.

Another best practice to improve ownership identified in Uzbekistan's 2008 CCCD project was to secure co-financing from the budgets of the key participating agencies and beneficiaries, and to integrate these funds into a single project budget. However, instead of using line-item budget and expenditure monitoring as provided for by UNDP's ATLAS system, it was recommended that projects use output or results-based budgeting and financial management.

## Stakeholder and Public Engagement

In order to guarantee legitimacy, foster support, and instill ownership, the public and all relevant stakeholders<sup>14</sup> should be consulted and involved in decision-making from the earliest stages of planning. As stated in the Brazil NBSAP workshop stakeholder engagement is particularly important in the development and implementation of targets. This type of engagement is illustrated by the Mexico's NCSA Final Report and Action Plan that not only included stakeholders from all sectors of society, but placed an added emphasis on gender and indigenous peoples.

In Namibia, the 2008 CCCD project found that structured engagement with the media can be an effective and inexpensive way of addressing the Rio Conventions within the public domain. Similarly in Jordan, their 2008 CCCD project found a need to supply stakeholders with better online information about on-going international activities, and establish better linkages between the project and other on-going activities and research. Jordan's project found it is important to achieve a high degree of diversity of stakeholders from local grassroots groups to larger international partners. One recommendation from the project emphasized a client-oriented approach to communication and project design. Because stakeholders participate on a voluntary basis, it was recommended that the project carefully address stakeholder expectations and needs. The media in many other countries do not provide sufficient attention to raising awareness and understanding of global environmental issues, and in some cases do a disservice through

conveying misinterpretations of environmental issues. CCCD projects do make resources available for strengthening the awareness and understanding of journalists on the importance of the global environment, representing a relatively high value, low-cost and long-term investment in promoting new attitudes and values on the global environment.

On a similar note, multiple NCSA Final Reports and NCSA workshops emphasized the need to use language and concepts that are easily understandable to all stakeholders, for example resource mobilization, which was highlighted in Brazil's Report of the Global Workshop on National Experiences in Implementing the Strategic Plan for Biodiversity 2011-2020. Main concepts should also be translated into the principal local (indigenous) languages, where appropriate, in order to reach the maximum number of stakeholders. Stakeholder engagement was also a high priority in Egypt, with participatory planning processes having been undertaken within the context of the Environment Agency's Five-year Plan.

While engaging with key decision-makers and stakeholders is essential, it is equally imperative to ensure that stakeholder representation be consistently maintained throughout the project. This means that there should be regular briefings and awareness sessions to solidify the understanding of the importance of the NCSA process. The Fiji workshop found that one effective strategy to improve attendance and stakeholder participation was to provide participation incentives such as meal, sitting or speaking allowances. Along

---

<sup>14</sup> Stakeholders may be categorized as multiple levels and agencies of the government; civil society; the private sector; poor and/or marginalized communities; and indigenous peoples, among others.

## *CCCD projects create a space to catalyze the active engagement of diverse stakeholders to design and implement best practices that meet national and global environmental priorities.*

similar lines, the CCCD project in Belize (2008) found that the best strategies to attract full participation started with careful selection of dates and times, choosing an attractive venue for the meeting, and repeatedly following-up with potential participants. This includes holding workshop participants as a captive audience in a hotel venue sufficiently far removed from their office and other distractions.

In a recent review of its environmental mainstreaming initiatives, World Bank acknowledged that the crucial combination of solid analytical support, sustained multi-sectoral effort, and engagement with key stakeholders such as the national oil company, the public, and legislators all contributed to the successful establishment of Colombia's 2008 Fuel Quality Law. An essential part of the process leading up to the legislation was a media campaign led by the government to raise public awareness to the issues and garner political support (Tlaiye & Awe, 2010).

Among the more modern and cost-effective approaches to engage stakeholders and wider audiences, in particular youth, is the use of social media such as Facebook, Twitter, LinkedIn, and Instagram, among others. These media give heretofore silent stakeholders a voice to the ever evolving narrative of global environmental conservation and sustainable development. These help actualize these stakeholders and help catalyze social movements and resource mobilization, as well as help create champions of the global environment. Resources provided through CCCD projects makes available funds to use these new and innovative technologies.

### **Partnership Building**

Building on the stakeholder engagement activities, projects should capitalize on the opportunity to build coalitions with different stakeholders and across different (development) sectors to ensure a supportive base and stronger institutional stability. This is one of the key lessons from Kyrgyzstan's CCCD mid-term evaluation. In countries like Kyrgyzstan where the political environment is not stable and institutions undergo regular restructuring, one of the best countermeasures is to build strong and diverse coalitions of stakeholders that transcend partisan interests. In Kyrgyzstan, one risk that must be mitigated is potential for competition between stakeholders over who will receive credit for project achievements. By emphasizing partnership, shared recognition, and an emphasis on the long-term achievement of the goal, the project may be able to overcome this challenge.

In a similar vein, the workshop in Kenya warned that while it is crucial to engage donors as early in the process as possible, it is critical that national ownership be established first to ensure that national priorities are the driving force and not the priorities of the donors.

A number of countries have recognized the technical deficiencies of their government bodies, as well as the strong comparative advantage that academic and research institutions, including NGOs, have in supporting high quality planning and policy interventions. Jordan's 2008 CCCD project, for example, sought to strengthen the comparative advantage of research institutions to inform decision-making

by institutionalizing technical committees under the Rio Conventions. Many other CCCD projects create similar mechanisms that operate as project constructs with the expectation that they will be institutionalized as sub-committees of existing decision-making mechanisms. Belize's 2006 CCCD project focused on capitalizing on the comparative advantage on a wider group of non-state stakeholders by strengthening a more direct pathway for them to inform decision-making.

### Information Management and Sharing

Data and information issues include the deficient quality and quantity of data; insufficient capacity to collect, manage, and use data and information; as well as inadequate collaboration and coordination to share and use data and information for effective environmental management. This is further exacerbated by the power battles between government ministries and between national and local levels that actively impede the cooperation needed to effectively address cross-cutting environmental issues (Dalal-Clayton & Bass, 2009). With particular attention to Rio Convention mainstreaming, knowledge-sharing and improved information management at all levels have the potential to create opportunities to enhance public awareness, promote behavioral change, and strengthen decision-making to meet and sustain global environment outcomes through governments' commitments with their national development frameworks by facilitating the use of better practices and innovative approaches.



<sup>15</sup> This CCCD project was implemented between 2008 and 2011.

Inter-ministerial coordination was a crucial aspect in Belize's 2008 CCCD project, to this end the project ensured that the Natural Resource and Environmental Policy Sub-Committee had representatives from key departments to facilitate information sharing and collaboration. One important recommendation from the final evaluation was that the environmental information database housed in the Policy Coordination and Planning Unit continue to be populated and utilized. Moreover, in order to increase the utility of this information, a sharing mechanism should be developed to ensure the information is accessible beyond the Policy Coordination and Planning Unit. Egypt's 2008 CCCD project was an example of following through on these recommendations, not only creating a data and information management platform related to CCD, CBD and FCCC, but also establishing a special unit within the Desert Research Center for Technical Cooperation and International Relations to follow up specifically on CCD implementation (Hartmann, 2013)

Participants in the NCSA workshop in Fiji (2009) noted that in addition to poor institutional frameworks for information sharing and management, in some cases the situation is exacerbated when agencies become over-protective of their own jobs, limiting the sharing of information with outside agencies and other key stakeholders.

## Strengthen Environmental Governance

While most governments have signed on to numerous MEAs to preserve the global environment, the framework for environmental governance too often serves as barrier to proper implementation. It is essential that a country have strong political and institutional arrangements; mechanisms for accountability, transparency and government responsiveness<sup>16</sup>; and effective communication between the various sectors of government in order to have sound and informed decision-making for global environmental benefits. Part of having strong environmental institutions in place means that they are sufficiently funded and staff have the proper training. Unfortunately, many institutions responsible for environmental management lack the necessary resources to fill their charge, including the necessary manpower. It is a common problem in many developing countries that the most skilled and experienced personnel are concentrated at the national levels leaving gaps in capacity at the local level and heavy workloads for the limited staff with the necessary skills. This situation is made worse in countries such as Croatia that are seeking EU membership which carries heavy obligations for the creation and enforcement of new environmental legislation (Dalal-Clayton & Bass, 2009). Even at the national level, key organizations often suffer from high staff turnover as experts transfer to the private sector and/or move abroad<sup>17</sup>.

One challenge for environmental governance that arose in the Fiji workshop was that many national sustainable development plans do not

---

<sup>16</sup> See Transparency International, *Global Corruption Report*. June 2011 for further information. [www.transparency.org/whatwedo/publications/doc/gcr/](http://www.transparency.org/whatwedo/publications/doc/gcr/)

<sup>17</sup> See page 20.

*At the core of CCCD projects lies the opportunity to realize cost-effective capacity development synergies among national and global environmental priorities.*

fully address environmental sustainability, often due to a lack of understanding and the historical separation between environment and sectoral economic development. In Romania's mid-term CCCD evaluation there were multiple recommendations related to improving environmental governance. For example, this evaluation recommended that the project be more proactive in engaging high-level officials. The evaluation also highlighted the necessity of including all relevant ministries, such as the Ministry of Regional Development, in project working groups and activities to ensure effective coordination of efforts. Togo's 2013 CCCD project also targets the potential to transform environmental governance by strengthening capacities for improved planning at the level of regional governments that more effectively integrates global environmental priorities.

Similarly, a World Bank report on the lessons learned from its efforts with environmental mainstreaming found that changing the analytical framework from achieving environmental compliance to enhancing safeguards helped India and Pakistan meet development priorities while achieving global environmental benefits. The key to these interventions was to move upstream in the process by emphasizing capacity development to support staff skills and understanding. By gradually improving implementation of environmental management plans, World Bank was able to produce results that helped win the support and acceptance of key stakeholders from local community members up to key decision-makers (Tlaiye & Awe, 2010).

## Capitalizing on Synergies

At the very core of cross-cutting capacity development lies the idea that these projects will help catalyze synergies between the Rio Conventions and national development priorities. Projects should seek to capture these synergies by integrating their work within existing national processes, promoting burden-sharing, and scaling up capacities to support on-going sustainable environmental management and growth. Many of the same challenges and needs for Rio Convention implementation transcend into other environmental and sustainable development needs. For this reason, timing can be an important element of a project's success. For example, one missed opportunity identified in Namibia's 2008 CCCD project was that the timing of the project did not coincide with the national development planning process. To underscore this, the evaluation stressed that whenever possible, projects should work with other projects to capitalize on synergies and build partnerships. This point was reiterated by participants at the NCSA Regional Workshop in Ecuador (2004).

In some countries where there is already a strong institutional and legislative framework for environmental management it may be possible to achieve greater synergies through the NCSA process by including capacity needs for other MEAs beyond the Rio Conventions. In the case of Cuba, the country was able to assess capacity needs to implement the Ramsar Convention on Wetlands and CITES in addition to those necessary for the Rio Conventions. Similarly, in addition to the three Rio Conventions,

Mauritania's NCSA Final Report (2008) called for capacities to be developed to also meet and sustain obligations under the Vienna and the Stockholm Conventions.

Nonetheless, there is the risk that in attempting to address too many MEAs projects may stretch resources and absorptive capacities too thin as was the case in Botswana's NCSA. Given this risk, under existing GEF guidance it has been preferred that NCSAs and subsequent CCCD projects not include other MEAs, and instead focus on the Rio Conventions (Hill, 2009).

World Bank has also highlighted the importance of expanding support to cross-sectoral themes by identifying linkages between local environmental issues and broader global ones such as climate change. In this sense, "orphan" issues such as indoor air pollution could achieve synergies by dovetailing with the broader efforts towards energy and rural development. An example of this can be found in the work being undertaken to control local air pollution in Montenegro's capital, Podgorica.

## Environmental Mainstreaming

Rio Convention obligations must be systematically integrated into decision-making and planning at all levels of government. This includes the integration of environmental sustainability priorities into national and sub-national policy, legal, regulatory, planning and budgeting frameworks; across key development sectors, at policy, planning and operational levels; and across various segments of society, including government, civil society, and the private sector. Often the best entry

points for environmental mainstreaming are the key points in policy and planning cycles, especially those related to investment decisions, prioritization, and safeguards such as policy issues regarding security, employment, or climate change. For this reason, ministries of finance and budgeting tend to be more effective drivers for mainstreaming because they are so intricately tied with policy- and decision-making. On the other hand, environmental institutions without broader institutional linkages tend to be poor drivers of change (Dalal-Clayton & Bass, 2009). For example, Mexico is one among a number of countries that required formal endorsement of the NCSA project by multiple ministries: the Ministry of the Environment (executing agency), Ministry of Finance (political focal point), and the Ministry of Foreign Affairs (operational focal point).

One lesson learned from Egypt's 2008 CCCD project was found that the only way to secure the necessary political commitment to the NCSA and global environmental objectives was to connect them with existing national environmental priorities. Moreover, in this case the Egypt NCSA could not have been completed if not for its integration within the national environmental planning processes.

Mainstreaming also plays an essential role in a recently approved CCCD project for Bangladesh, where national training institutions will work together to integrate Rio Convention priorities into their training programmes for government staff at all levels. Similarly, one recommendation from the mid-term evaluation for Romania's CCCD project stresses the need to integrate Rio Convention obligations into regional

---

<sup>18</sup> See Chapter Conceptualizing Cross-Cutting Capacity Development Projects on page 15.

development institutions and their processes. To achieve this, the project recommends an assessment of the legislative and policy aspects of Rio Convention mainstreaming, particularly at the regional and local level. Costa Rica's 2013 CCCD project is another example of mainstreaming. A country with many environmental legislation and associated regulation, there is a clear consensus that no new and additional laws are needed, but rather improved awareness of the extant legislative framework, as well as a better understanding of how to operationalize these within the framework of Rio Convention obligations.

The NBSAP workshop in Brazil found that one of the best ways to achieve environmental mainstreaming is by identifying opportunities for "win-win" situations. These opportunities in turn, should be identified by opening and maintaining the formal and informal lines of communication. This is consistent with World Bank findings that one way of improving the effectiveness of its efforts in environmental mainstreaming is through strong leadership by sector directors to support cross-sectoral coordination on business-driven issues such the linkages between water management and sustainable tourism. Another key factor for effective mainstreaming identified by World Bank is providing high quality and timely analytical work combined with proper project implementation. In doing so, World Bank has improved country capacities to address environmental issues while strengthening institutional sustainability.

One important consideration for mainstreaming is the approach employed. Typically mainstreaming has taken a top-down approach as opposed to a bottom-up one, this can lead

to overly prescriptive guidance that is often too vague and fails to account for the specific circumstances of the people involved in implementing the guidance.

The private sector, including industry and other development sectors are an important stakeholder for the mainstreaming exercise. Indeed, they and their relevant chambers of commerce, have served as important catalysts in this regard in a number of countries. Indeed, under GEF-6, the expectation of CCCD projects is to see a significantly greater engagement of the private sector in pursuing more environmentally-friendly development that helps countries more effectively realize and sustain global environmental objectives. This expectation will be fulfilled through the pursuit of new and innovative approaches such as Green Economy and Low-Emission, Climate Resilient Development.

## Innovation and Replicability

Cross-Cutting Capacity Development projects offer a unique opportunity to develop innovative approaches that lead to measurable, sustainable, and replicable global environmental outcomes. Projects should contain a variety of indicators to measure effectiveness of activities, processes and overall project outcomes. It is important to have substantial baseline information for these targets and indicators. Additionally, while targets must be measurable, there is often a balance to setting quantitative versus qualitative targets. As identified in Brazil's workshop a quantitative indicator of the number of hectares of forest may not be quite as informative as a qualitative assessment of habitat quality. Furthermore, it is important

that targets are set in the context of other relevant international, national, and regional frameworks. According to the workshop report, one effective method of ensuring the relevance and feasibility of SMART indicators<sup>18</sup> is to institute a multidisciplinary and multi-stakeholder review process.

One success identified in Tajikistan's final CCCD evaluation was the project's adaptive approach that was grounded in the country's needs assessment, testing and monitoring, and specific country context. Moreover, by carefully documenting project activities through the GEF reporting format the project was able to capture lessons learned that could be replicated within the country and abroad. One key lesson learned from Bulgaria's project was that SMART indicators and a good log frame are a critical part of project formulation. The project faced problems in its first year due to vaguely defined project indicators. One proposed solution was to improve the process by which indicators are developed to be more participatory by including key stakeholders who will ultimately be responsible for measuring them.

The Capacity Development Scorecard is an important standardized measure of a country's relevant capacities (Bellamy & Hill, 2010). Nonetheless, Uzbekistan's final CCCD evaluation found the scorecard to be a "blunt tool in application" given its limited 4-point scale and the tendency to mark either 1 or 2 for each of the 15 capacities. In addition, the evaluation emphasized that project activities should be clearly connected to the specific capacities identified on the scorecard.

## Cost-effectiveness

Environmental management can often be quite cost-effective with potential for significant returns. Publications from the Poverty Environment Partnership found competitive internal rates of return for a variety of environmental management measures (Pearce 2005):

- controlling air pollution <15:1
- clean water & sanitation <14:1
- natural disaster prevention <7:1
- mangrove conservation <7:1
- coral reef conservation <5:1
- soil conservation <4

Nonetheless, projects should be designed to achieve cost-effectiveness through a variety of approaches. This may be achieved by integrating project activities within existing institutional mechanisms, designing consultant roles to include multiple functions to ensure the most efficient use of time and resources, or the efficient allocation and management of financial resources. In Uzbekistan, one lesson learned regarding capacity development strategy was that it was more efficient and effective to train a targeted group of individuals who are responsible for a specific part of a system rather than try to address a broader range of training needs from diverse agencies.

One challenge identified in the Fiji NCSA workshop was that certain regions such as the Pacific have a dearth of qualified consultants and experts that are needed for this type of work. This can lead to countries hiring international consultants which places strain on budgets. The workshop did note however that it is not

necessary to hire the lead experts at the top of their field. In fact, as the NCSA in Thailand found, having the top experts actually hindered the process since these experts valued their own views over those of non-expert stakeholders which they deemed invalid.

To avoid the risk of hiring over-qualified, and higher priced, consultants, participants in Fiji agreed that Terms of References must be very detailed and include appropriate checks and balances such as clearly defined intellectual property rights. Moreover, the consultants should be experts in assessment methodology with particular understanding of the NCSA process and underlying frameworks for capacity development.

In the case that no qualified consultants are available and/or affordable, the Fiji workshop stated that graduate students in the appropriate fields could serve as suitable volunteers. Furthermore, student involvement in the projects serves to strengthen the baseline of trained individuals on capacity development for environmental sustainability. In addition, a lesson from the UNEP Biosafety Programme stressed that countries should strive to institutionalize the core functions normally fulfilled by consultants into the work functions of core staff.

### Sustainability of outcomes

Projects should proceed at a scale and pace that enable the country to develop its absorptive capacities and internalize changes. Process and performance indicators help assess the short and medium-term progress being made by

projects while outcome indicators are indicative of longer term sustainability. One good practice identified in Uzbekistan's 2008 CCCD project was to conduct regular reviews and evaluations throughout the project. Then, based on these evaluations, the work plans and budgets should be adjusted to strengthen the project's performance, relevance, efficiency, effectiveness and eventual sustainability.

As noted in Montenegro's 2008 CCCD mid-term evaluation, the project must be careful in its planning phase not to make assumptions regarding the basic skills and methodologies used by the target beneficiaries. Projects should provide step-by-step guides and adaptive learning-by-doing training to avoid such assumptions. Another issue identified in the Montenegro project is that government legislative processes have the potential to take longer than expected hence it is good practice to grant sufficient lead time for project activities during the planning phase.

Financial sustainability can be a crucial factor for ensuring the continuation of project outcomes. Namibia has a national park system in place that protects biodiversity within the country and also serves as a sustainable tourism destination that contributes significantly to GDP. In 2008, World Bank worked with the Ministry of Environment and Tourism to help address the financial gaps that threatened the country's ability to effectively manage the parks. In the end, World Bank found that through sound analytical input and sustained dialogue with key stakeholders they were able to influence the way the government approached the financial management of the park system.



# Strategizing Cross-Cutting Capacity Development under GEF-6

The development of cross-cutting capacity development projects is not so much about seeking their fit with relevant national development policies, programmes and plans after the fact, but rather that they respond to previously determined challenges and needs. It is for this reason that CCCD projects are determined through the NCSA process and other related bottom-up approaches to legitimize the country drivenness and strategic approach to capacity building. This bottom-up approach also serves to ensure that global environmental priorities are seen as co-benefits to national sustainable development priorities. For the international community, global environmental benefits are more likely to accrue and be sustainable because they are also being delivered in tandem with shorter-term higher priority socio-economic development benefits.

To this end, CCCD projects are structured by examining the existing national institutional framework in relation to how the project strategy and activities build upon a national sustainable development baseline (governmental and non-governmental) in order to providing global environmental benefits. This will include a description of the project linkages with key policy and programmatic frameworks such as the UN Development Assistance Framework (UNDAF), the Common Country Assessment (CCA), UN REDD+, and the UN Poverty and Environment Initiative (PEI), and national communications and reports to the three Rio Conventions and other MEAs. Other multilateral agencies have supported countries' formulation of particular national sustainable development policies and programmes, and because these form part of the recipient

countries' policy context, CCCD projects are intended to demonstrate complementary relationships. One example is the World Bank's support to developing countries' Poverty Reduction Strategy Papers.

Clear links with other projects must be made to ensure appropriate mainstreaming of project activities and non-duplication of GEF resources. To this end, the linkages with existing GEF projects and their outputs should be elaborated. There are numerous opportunities for synergies between CCCD projects and existing UNDP capacity development frameworks. As stated in the UNDP Capacity Assessment Methodology, User's Guide (2007), capacity development is not a one-off intervention, but instead an iterative process and CCCD projects serve to reinforce capacity development efforts.

## UNDP STRATEGIC PLAN 2014-2017

The UNDP Strategic Plan 2014-2017 represents the vision for all UNDP programming activities and initiatives until 2017. The plan identifies three focal areas for work: sustainable development pathways, inclusive and effective democratic governance, and resilience building. Given the high degree of interconnectedness between the three areas, the GEF CCCD Strategy represents an ideal way of achieving synergies across the work areas. While CCCD projects will contribute to each of these work areas, CCCD is particularly relevant to the first area of work: sustainable development pathways.

UNDP plans for sustainable development are intended to raise stakeholder awareness on sustainability issues, harmonize government regulatory frameworks with regard to environmental protection, and develop safeguards to reduce social and environmental impacts. Additionally, the Strategic Plan calls for incentives to develop and sustainably manage ecosystem services while at the same time conserving and sustainably utilizing biodiversity in a manner that shares benefits equitably amongst stakeholders.

The second area of work, Inclusive and Effective Democratic Governance, also emphasizes the importance of improving the management of natural resources including sustainable use of biodiversity. In this area, the Strategic Plan calls for the integration of sustainable land, forest, and water management principles into mainstream policy and decision-making. Additionally, the Strategic Plan envisions strengthened policy, legal, and regulatory frameworks that will promote environmental and social sustainability in an open, transparent, and inclusive manner.

Considering the vulnerability that many developing countries face with regard to natural disasters and climate change impacts, it is essential that they build capacity to prepare for and manage these events before and after they occur. While the other two areas will also build resilience, Area of Work 3: Resilience Building, specifically seeks to integrate disaster management and preparedness into all levels of government to ensure that countries' are planning for disasters and able to respond effectively to the challenges that arise after such events.

Within the Strategic Plan there are seven outcomes that are designed to support partner countries' development priorities and needs (UNDP, 2014). These outcomes will help ensure that UNDP actions are effective, substantive, and verifiable. The seven outcomes identified in the Strategic Plan are:

- Growth is inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded
- Citizen expectations for voice, development, the rule of law and accountability are met by stronger systems of democratic governance
- Countries have strengthened institutions to progressively deliver universal access to basic services
- Faster progress is achieved in reducing gender inequality and promoting women's empowerment
- Countries are able to reduce the likelihood of conflict, and lower the risk of natural disasters, including from climate change
- Early recovery and rapid return to sustainable development pathways are achieved in post-conflict and post-disaster settings
- Development debates and actions at all levels prioritize poverty, inequality and exclusion, consistent with engagement principles

These proposed outcomes can not be achieved by UNDP alone, but rather they must be pursued through a partnership of enhanced coordination, collaboration, and coalition-building. This includes increased engagement with South-South and triangular cooperation, deeper cooperation with emerging partners, and a high degree of coordination with the United Nations Development System. UNDP states that its role is that of a “knowledge broker, builder of capacities and facilitator of exchanges driven primarily by programme countries themselves...” (UNDP, 2014, p. 40).

## UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK

The UNDAF is the core of UN analysis and fits closely with, and sometimes obviates the need for, the CCA as is the case in Bangladesh. The UNDAF establishes a set of common objectives (usually between three to five), development assistance strategies, a timeframe for follow-up activities shared by all resident UN agencies, and a results matrix so as to aid in the monitoring and evaluation of project results (UNFPA, 2014). Through the UNDAF, the UN Systems is able to provide a coherent and synchronized response to countries’ development needs including those related with the CCCD programme. Given the nature of cross-cutting capacity development, there is a clear opportunity to achieve synergies by integrating CCCD within the UNDAF process.

Despite the clear importance of the UNDAF<sup>19</sup> to UN activities, it has received some criticism in recent years regarding the insufficient emphasis given to environmental mainstreaming. One survey assessing the usefulness of UNDAF guidelines found that more than half of the UN Country Teams (UNCTs) considered them to be insufficient for improving environmental mainstreaming (UNDG, 2008). To rectify this shortcoming, UNDG prepared a guidance note on mainstreaming environmental sustainability in the CCA and UNDAF in 2009 to help address the “...urgent need to demonstrate to national development stakeholders the importance of environmental management as a strategy for sustainable human development (UNDG, 2009, p. 3).

Environmental mainstreaming in the UNDAF, like in CCCD projects, is grounded in broad stakeholder engagement and partnership. Rather than working exclusively with ministries of the environment and focusing on specific environment-related actions, UNCTs must also involve economic ministries such as finance, budget, and planning to integrate environmental considerations into national development planning. By strengthening the institutional linkages and collaboration between various stakeholders, CCCD projects have the opportunity to contribute to the UNDAF’s system-wide efforts towards environmental sustainability, one of five key programming principles.

---

<sup>19</sup> In October 2009, the UNDG Chair stated that the UNDAF is the key expression of the UN’s purpose at the country level. (UNDG, 2010).

In addition to environmental sustainability, the UNDAF and CCA have four other interrelated programming principles that serve as the basis for UN operations and are applied at the country level. The five principles are as follows:

- a. A human rights-based approach;
- b. Gender equality;
- c. Environmental sustainability;
- d. Results-based management; and
- e. Capacity development.

These principles represent the basis and guide for the CCA as well as the entire UNDAF process. In addition to these principles, there are several key cross-cutting thematic issues that may be considered in the UNDAF depending on the specific country context:

- **Conflict analysis** – There are close ties between the environment and a country's national security. Competition for natural resources can create instability within a country as various in-country and foreign actors compete for high-value resources such as timber, minerals, or fossil fuels. Additionally, the management, or lack thereof, of natural resources can also be a source of tension between neighboring countries as issues of transboundary pollution or competition for scarce resources such as water influence international dialogues (UNDG, 2009). In a recent CCCD project in Belize it was acknowledged that while Belize has a rather extensive set of environmental protections in place, transboundary incursions along the Guatemalan border

have led to rampant unsanctioned deforestation in the region. This project will help address the issue by improving national planning and budgeting processes that will in turn help secure the necessary funding for effective monitoring and enforcement of protected areas.

- **Disaster risk reduction** – While the specific details of when and where natural disasters such as cyclones or storm surges may occur are difficult to predict, appropriate natural resource management can go a long way towards helping countries anticipate and cope with the effects of such events when they occur. Furthermore, mismanagement of the environment, such as the indiscriminate deforestation of land, clear-cutting of coastal mangroves, or removal of beach sand, can have the deleterious effects of leaving regions even more vulnerable to natural disasters such as landslides or flooding. Numerous CCCD projects have worked with countries to strengthen national planning processes to incorporate environmental data on risks and opportunities associated with natural disasters. For example, Sri Lanka is currently in the process of preparing a CCCD project that seeks to improve the collaboration between government ministries in order produce a more comprehensive disaster risk management plan that incorporates environmental management as a means of mitigating risk.

*The legitimacy and sustainability of actions to conserve the global environment must be reconciled and mainstreamed within countries' national development and socio-economic priorities.*

- **Health** – Health is intricately connected with the state of the environment, and nearly a quarter of all deaths can be attributed to the environment through exposure to chemicals, persistent organic pollutants, indoor air pollution, or some other factor. Moreover, depending on a country's specific circumstances, its citizens may be subject to greater health risks resulting from environmental degradation. Climate change, deforestation, biodiversity loss and poor water management can all contribute to the spread of infectious diseases such as malaria, exposure to extreme weather events, and more precarious conditions including higher global temperatures or sea level. Often it can be more cost-effective to address the environmental causes that contribute to the spread of these illnesses, than to actually treat the illnesses themselves (UNDP; UNEP, 2009; World Health Organization, 2003).
- **Food crisis and hunger** – Food scarcity is already a pressing problem in many parts of the world and is only likely to worsen in scale as populations grow and the effects of biodiversity loss, land degradation, and climate change become more prominent. Development strategies that emphasize short-term gains over long-term sustainability such as overfishing, overgrazing or substituting forest for farmland, ultimately leave vulnerable populations more endangered in the long run (UNDP; UNEP, 2009). Improving environmental management thus improves the resilience of these populations and minimizes their risk to environmental shocks. With their emphasis on environmental mainstreaming and the institutionalization of skills to address the various barriers to sustainability, CCCD projects work to create the necessary systemic and institutional foundations to address food scarcity issues.
- **Indigenous peoples** – There is a rich body of knowledge embodied within the indigenous communities around the world. These communities have extensive knowledge specific to their location that may be useful in addressing the environmental challenges within their region or more broadly. CCCD projects explicitly call for broad stakeholder engagement including engagement with indigenous peoples. Indeed, the Capacity Development Scorecard that is used to assess the extent to which CCCD projects have strengthened capacities includes an indicator on the use of traditional knowledge in environmental decision-making<sup>20</sup>.
- **Employment and decent work** – Environmental management is particularly important in developing countries where a large portion of the economy is dependent on natural resources. In these countries, many of the citizens rely on the ecosystems not only to provide essential services of food and water, but also to earn income through agriculture, forestry, fisheries and tourism.
- **Trade and productive capacity** – Effective natural resource management not only contributes to present day

<sup>20</sup> This is one of the obligations called for under the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity.

economic development, but by focusing on long-term sustainability these revenues can be secured for future generations to come. The CCCD project in Solomon Islands is working closely with the UN REDD+ programme to ensure that the nation's forests are managed sustainably so as to guarantee benefits that are not limited to the short term.

## REPORTING TO MEAs

Countries have a variety of obligations under the various MEAs: one key requirement is that countries prepare national communications and reports to the secretariats of the three Rio Conventions. As stated in the Fiji workshop a number of countries have expressed feelings of “assessment fatigue” given these requirements. To help address this issue GEF, in combination with UNEP, recently conducted a joint initiative titled “Piloting Integrated Processes and Approaches to Facilitate National Reporting to Rio Conventions”. The project has three overall objectives (UNEP; GEF, 2012):

- Develop integrated approaches to data collection/analysis and information management of relevance to the three Rio Conventions at the national level;
- Increase synergies in the process of reporting to the three conventions without compromising relevant COP decisions; and
- Contribute to improved overall planning and decision-making processes at the country level related to the implementation of the three conventions

The project sought to identify best practices for streamlining the reporting process by means of two separate approaches: piloting of a joint reporting in six countries and a compilation of global lessons learned. As a result of the piloting phase, five key recommendations arose:

- Countries are in need of effective institutional arrangements to enable integrated reporting; this includes comprehensive policies and legislation, collaboration mechanisms between national focal points, and a coordination committee for Rio Convention-related activities including reporting.
- Countries should have adequate data and information management frameworks in place to ensure standardized procedures and methodologies for data collection and sharing in order to secure accuracy, comparability, and quality of collected data.
- Stakeholder involvement in the process is crucial this includes ongoing communication, collaboration, training, and public awareness-raising activities to improve participation in the implementation and reporting process.
- There must be more international support for integrated reporting including external financial support.
- Countries need to evaluate the overall state of Rio Convention implementation and identify key barriers and constraints. This information should be made available for easy access online.

Lessons learned at the global level:

- Harmonization/ integration at the national level: By strengthening the collaboration between national focal points for the different conventions and developing a coordinated approach to information collection and management, burdens could be shared and cross-cutting analyses would be facilitated
- Facilitation of coordination through tools provided at the international level to create synergies among other MEAs: Tools might be generated in connection with online reporting. They could include guidance for Parties on how to manage data and information in a harmonized manner, reconcile institutional mandates, and provide concrete guidance to focal points for joint activities on reporting to the various MEA bodies.
- Alignment of reporting formats: Similar information that is requested by all the conventions are to be organized in same way in each reporting format. Reports would contain shared glossary of terms, take a harmonized approach to the use of indicators, and call for a division of labor on information to be reported between national reporting entities.
- The main risk of joint reporting: Considering the significant amount of MEA-specific information needs, the production of a single report that would satisfy the requirements of all three Rio Conventions would be impractical. That is, the document would be bulky and

there will likely be no interest in all of the information provided by any one MEA Secretariat.

- Alternative to joint reporting: The approach to the harmonization of national reporting to MEAs can be modeled after the the Human Rights Treaty system, which requests Parties to prepare a core report that includes any information that is relevant for all treaties involved, and to report in a separate document only the highly specific or technical information that is of relevance to the implementation of any particular one MEA.

By bringing together the relevant government ministries, departments, and agencies responsible for these various reports and assessments, CCCD projects may achieve synergies and spur new insights in the reporting process.

## GREEN ECONOMY

The Green Economy is another important concept that has gained traction in recent years, and one that countries are increasingly pursuing. In a number of important ways, low-emission and climate resilient development is a form of Green Economy, which is also similar to another variant: green development. Through a Green Economy, countries are expected to achieve improved human well-being and social equity, as well as a growth in income and employment through investments in renewable energy and other low carbon investments. Green economy is perhaps more complex than what is offered by current definitions and interpretations. Notwithstanding, the “green” component of Green Economy largely

emphasizes climate change resilience and the value of natural resource capital, whereas the “economy” component of Green Economy refers to markets, investments, and efficiency of the economic sectors. These are reflected as indicators in the 2014 Global Green Economy Index (Tamanini, 2014).

Green Economy emphasizes the role of the market to promote environmentally-friendly and sustainable development. As a concept, the Green Economy seeks opportunities from market failures to mobilize commitment for more sustainable management of natural resources. For example, under the traditional economic system within which countries are operating, increased competition for land and water resources raises their value. For that reason, it is increasingly important that these land and water resources be managed in such a way that they maintain their level of productivity. This includes combatting desertification and land degradation. Another example of the unintended consequence of current economic approaches is the discounting of ecosystem services through the use of Net Present Value calculations in economic models. Consistently, the future value of goods and services are heavily discounted because their present known value is greater than some future unknown and untapped value.

Pursuing a Green Economy or green development calls for countries to look for new tools and approaches that will place a greater value of natural resources and the environment. This value is not merely monetary, but also includes a more calibrated value of natural resources where economic



value is measured against cultural, social, and intrinsic value. Theoretically, such a system of valorization increases opportunities for better decisions to protect the global environment.

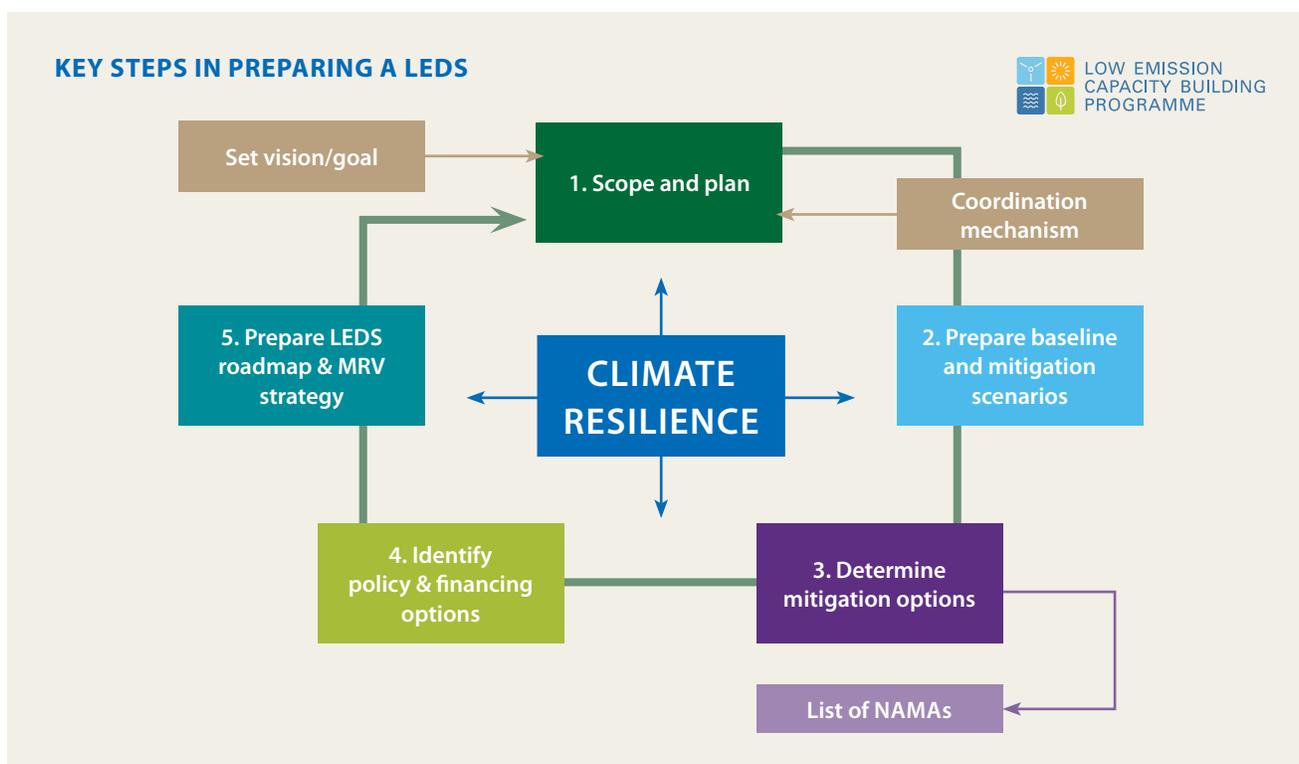
Kazakhstan is currently developing a CCCD project that specifically looks to capitalize on the high-level commitment to the Green Economy. In 2009, the Government of Kazakhstan replaced the concept of sustainable development with Green Economy as its vision to a more efficient use of natural resources. Given the market emphasis of the Green Economy, the CCCD project will take a more quantitative approach to integrating Rio Conventions into the operationalization of the Green Economy by focusing on key institutional and technical capacities. That is, the project will identify and integrate clear and measurable indicators and targets that reflect Rio Convention obligations into the Environmental Code and Environmental Impact Assessment, and provide extensive learning-by-doing training on how to use associated monitoring and reporting methodologies. Natural resource valuation would be included as a set of new and additional tools to improve decisions in favor of the global environment while pursuing a Green Economy.

## CLIMATE RESILIENT DEVELOPMENT

Climate change is increasingly a survival and economic development priority for most, if not all countries. There are a number of climate resilient development strategies and approaches, each having different emphases and thus different terminologies. Climate resilient development is the concept being used in this report to connote a wider range of programmes that seek to encompass reduced greenhouse emissions, reduced consumption of carbon-based products, and energy efficient development. One of the UNDP’s flagship programmes provides support for countries to help reduce greenhouse gas emissions while at the same time not compromising their socio-economic development. While the

objective of Green Low-Emission and Climate Resilient Development (GLECRD) is anchored in the FCCC, there are co-benefits to be achieved in terms of meeting objectives and obligations under the other Rio Conventions on biodiversity and land degradation.

These projects are effectively mainstreaming and integrating strategies to mitigate and adapt to the impacts of climate change within national and sub-national governance policies and structures, and building technical capacities to implement good practices and innovations (Diouf, 2013). Under UNDP’s GLECRD programme countries receive technical assistance to prepare a roadmap to pursue low-emission development. While each country’s approach will be unique given their



particular national circumstance, the overall strategy contains a number of key elements to facilitate the appropriate decision-making.

One approach to pursuing low-emission and climate resilient development is to integrate best practices and innovations into sectoral planning frameworks. Whereas the GLECRD programme focuses on climate change, CCCD mainstreaming projects include criteria and indicators for also helping countries pursue biodiversity-friendly development and sustainable land management within a more holistic construct of a sector plan. Ukraine's 2012 CCCD project showcases this mainstreaming approach.

Like many other countries, Ukraine is committed to pursue sustainable development, which not only means pursuing low-emission and climate resilient development, but also meeting their obligations under a number of other multilateral agreements. Given that CCCD projects provide a framework for countries to structure a national process to mainstream the Rio Conventions into sectoral planning frameworks, a more holistic construct of sustainable development is facilitated. Through this project, an intensive analytical exercise serves to assess the inherent weaknesses and policy resistances to the pursuit of sustainable development that also advances Rio Convention objectives. Best practices and innovations that reflect Rio Convention criteria and indicators are identified and their integration into selected sectoral plans is negotiated by national experts, planners, decision-makers and other stakeholders. Once this second exercise is completed, the third stage is to appropriately test this revised sectoral plan and develop a roadmap for implementing sustainable development.

The concept of low carbon development first appeared in 1992 under the FCCC, though the term has since transformed into the broader concept of low-emission development strategies (LEDS). This terminology was first introduced in 2008 as part of the lead up to the FCCC COP 15 and has appeared in subsequent COPs. Generally speaking, the concept describes national economic development plans or strategies that emphasize low-emission and/or climate resilient growth with the purpose of enhancing national climate change and development policies (OECD, IEA, 2010).

LEDS have gained recognition and support from world leaders in part because they provide an alternative to voluntary or mandatory greenhouse gas reductions for developing countries (UNDESA, 2014). Rather than focusing primarily on climate change mitigation and adaptation, LEDS seek to integrate climate change challenges within a country's development objectives in order to reduce overall emission trajectories. In this way, LEDS can produce global environmental benefits while at the same time addressing national priorities such as poverty alleviation or reducing land degradation.

The strategic value of CCCD projects is that they can serve as an opportunity to catalyze the development and implementation of LEDS by strengthening the lines of communication and collaboration between government institutions and stakeholder organizations alike. While the preparation process of the LEDS is a type of Enabling Activity, CCCD can be used to strengthen the integration of biodiversity conservation and land degradation obligations and best practices for a more holistic LEDS construct.

The strategic pairing of LEDS with CCCD also strengthens the country drivenness of Rio Convention mainstreaming and leveraging important donor co-financing. Numerous countries have embraced the concept of low-emission development as a means of achieving national priorities in a sustainable manner. In its 2012 National Budget, Norway set a goal to achieve a carbon neutral economy by 2050. Norway's approach to meet this goal is to support other countries' low carbon development. For example, in 2009, the Norwegian government signed a Memorandum of Understanding (MoU) with the Government of Guyana to help Guyana implement its Low Carbon Development Strategy (LCDS). The LCDS has two primary goals:

- Transform Guyana's economy to deliver greater economic and social development for the people of Guyana by following a low carbon development path; and
- Provide a model for the world of how climate change can be addressed through low carbon development in developing countries, if the international community takes the necessary collective actions, especially relating to Reducing Emissions from Deforestation and Forest Degradation.

Under the MoU, Norway committed to providing up to US\$ 250 million until 2015 based on Guyana's performance on Enabling Activity indicators and REDD+ performance indicators (Office of Climate Change, 2012). As of March 2012, Norway had already made three payments to Guyana totaling US\$ 115 million for its performance, and Guyana is currently working to fulfill the requirements to receive the fourth payment. More recently, in June 2014 the

Norwegian Government pledged US\$ 60 million to assist Ethiopia's green growth<sup>21</sup> strategy and forest protection activities. The Government of Guyana developed a CCCD project proposal in 2014 to strategically link with Guyana's LCDS, specifically to strengthen institutional and technical capacities for integrating Rio Convention obligations into key policies.

Low-emission development strategies have been employed in other countries in a variety of forms with each country's strategy adapted to their specific context. Nonetheless, whether the LEDS focus on forest protection through REDD+ as Guyana's has, or they emphasize improvements in alternative infrastructure and spatial planning, at its core, the concept of LEDS forces countries to rethink development planning by integrating global environmental needs within national developmental planning.

UNDP is currently working with the State Environmental Investment Agency of Ukraine to implement a project titled "Capacity Building for Low Carbon Growth in Ukraine" that seeks to address climate change through a variety of measures including promoting energy efficiency at the local level. A crucial part of the project involves assisting Ukraine in the development of a comprehensive, long-term low carbon development strategy that enables the country to achieve national development priorities while reducing greenhouse gas emissions and enhancing carbon sinks. The project seeks to improve the overall institutional capacity of the government to better design and implement climate change policies and measures by developing tools to aid in effective decision-making and analysis (UNDP, 2014).

---

<sup>21</sup> Used here as interchangeable with Green Economy

This project is complemented by Ukraine's CCCD project currently underway. By mid-2014, Ukraine's low carbon project has already drafted a low carbon growth strategy as well as a law regarding a national emissions trading system, and conducted assessments of potential policy measures for low carbon growth. With a focus on integrating Rio Convention obligations, Ukraine's CCCD project sets out to improve a more holistic construct of sectoral development plans. This is to be strategically achieved by preparing a National Sustainable Development Strategy that reinforces the country's low carbon policy, and undertaking a set of learning-by-doing capacity building activities

to integrate best practices and innovations into key sectoral development plans, the CCCD project will raise the bar significantly in terms of technical capacities for knowing how develop and implement sustainable development plans. During the first year of the project implementation, the President of Ukraine issued a Decree (from 23 July 2014) to develop a draft Sustainable Development Strategy of Ukraine until 2020. This Decree represents a huge success for the project since it gave the Executive Reform Committee a mandate to develop the strategy and also illustrates support for the project in the highest levels of government.

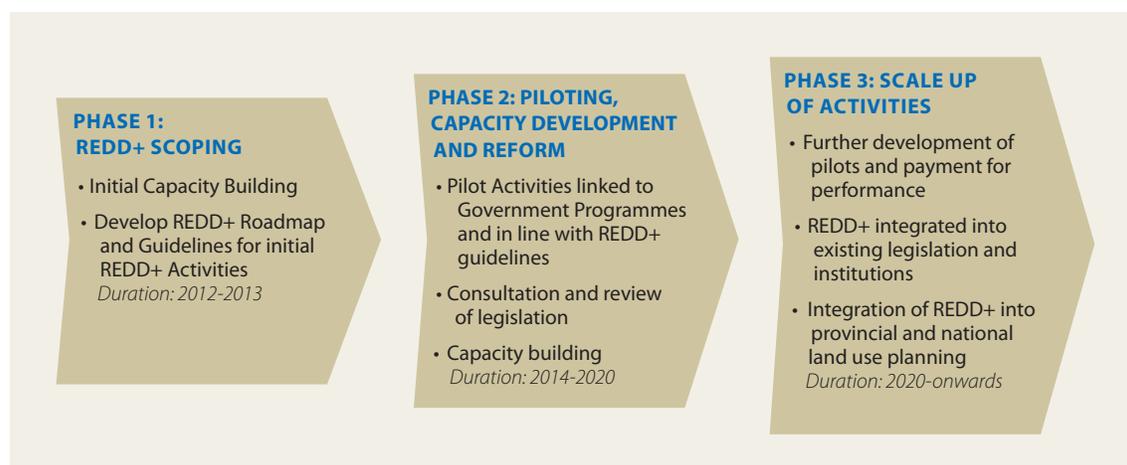


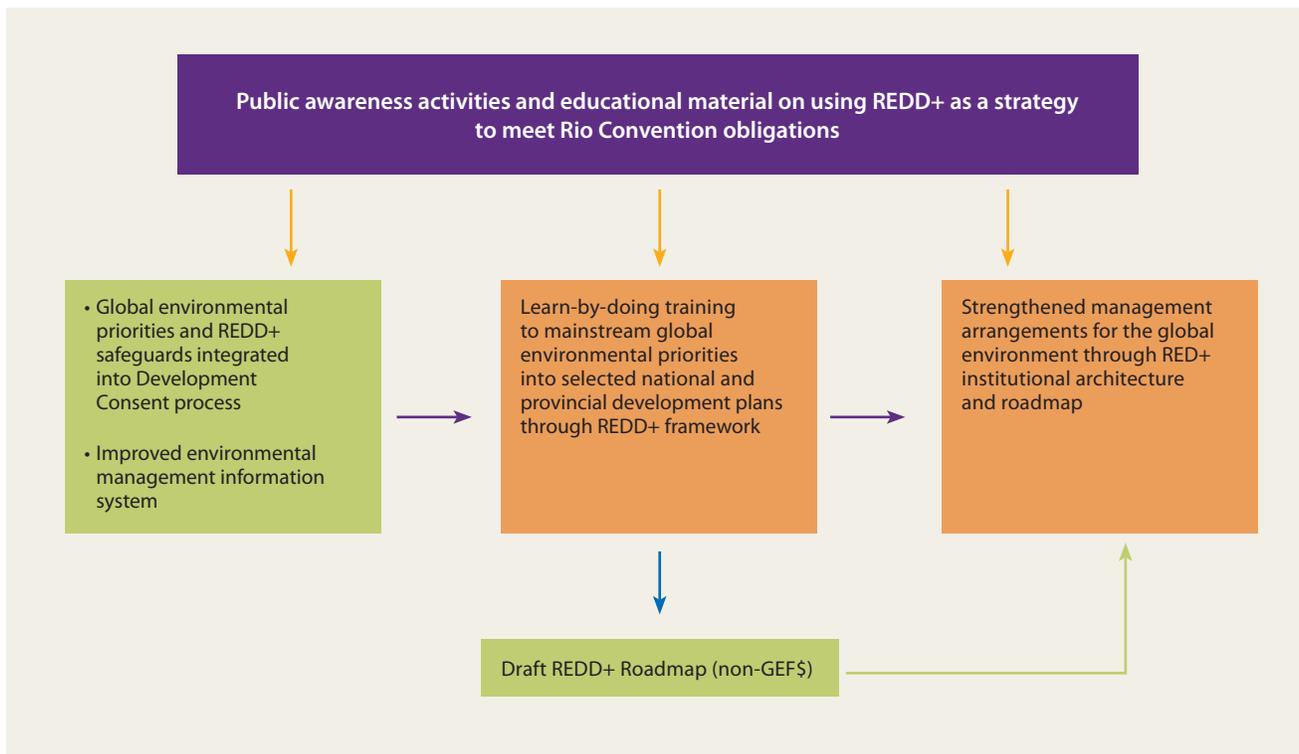
## REDUCING EMISSIONS FROM DEFORESTATION AND FOREST DEGRADATION

REDD+ is an important programme implemented jointly by the Food and Agricultural Organization (FAO), UNDP, and United Nations Environment Programme with other collaborating partners. Like UNDP's GLECRD programme, the REDD+ programme is inherently designed to reduce greenhouse gas emissions as obligated under the FCCC, and yet co-benefits can also be achieved in the other two Rio Conventions. The protection of forest ecosystems that help sequester carbon and reduce emissions may also be important ecosystems for endangered endemic species, the protection of which are called from under the CBD. Benefits under the CCD can also be derived by pursuing REDD+ when reforestation and afforestation activities also help combat land degradation and desertification.

A CCCD project under development and soon to be submitted for final approval that showcases complementarity with REDD+ is for the Solomon Islands, which is developing their REDD+ roadmap. The CCCD project seizes this opportunity by strengthening targeted activities to catalyze the implementation of the REDD+ roadmap while at the same time integrating (mainstreaming) additional key global environmental priorities as framed by the Rio Conventions and other MEAs into selected national and provincial development plans.

In this example, a CCCD project can leverage commitment to conserving biodiversity and sustainable land management by demonstrating cost-effective and synergies through a more comprehensive or holistic approach to forest management. Like Ukraine's CCCD project, Solomon Islands' CCCD project takes a learning-by-doing approach to mainstreaming Rio Conventions as well as includes a public awareness and environmental education component targeted to strengthening the institutional sustainability of project outcomes.





## POVERTY AND ENVIRONMENT INITIATIVE

Cross-cutting capacity development projects can also serve as strategic catalyst to reducing poverty, in particular when such poverty is caused by and impacts the environment. The Poverty-Environment Initiative (PEI) is a joint initiative between the UNDP and UNEP launched in 2005 to support country-led mainstreaming of poverty and environmental linkages within national development and planning. By offering both technical and financial assistance, PEI aids government decision-makers and stakeholders to better manage the environment so as to promote sustainable and inclusive development.

Too often the environment takes a backseat to short-term economic growth and job creation initiatives because politicians and/or the public fail to see the linkages between poverty and the environment (Dalal-Clayton & Bass, 2009). PEI has a number of activities including awareness-raising; assisting policy-making; utilizing market-based mechanisms; and integrating poverty and environmental issues within budget processes, sector programmes, and sub-national planning. The key goal for PEI is to catalyze institutional change that drives investment in pro-poor environmental and natural resource management (UNDP; UNEP, 2013).

PEI currently supports poverty-environment programming in 24 countries around the world with capacity development at the core of the approach. The scale-up phase (2008-2012) produced significant progress towards the overall goal of the programme. PEI has worked to build partnerships and improve coordination between relevant ministries and integrate poverty and environmental issues within national planning and budgeting processes. This has helped create an enabling institutional environment, and it has strengthened country ownership of the process. This approach is shared by the CCCD strategy that calls for improved collaboration, partnerships, and coordination to achieve economies of scale and synergies, and increase the likelihood of achieving long-term institutional sustainability.

Given the success of PEI, its next phase (2013-2017) is expected to grow as a result of demand from developing countries. In the current phase PEI continues to emphasize capacity development and poverty-environment mainstreaming, but it also stresses an integrated approach to development planning, policies and coordination. PEI is also working to institutionalize cross-sectoral budget and expenditure processes, and improve the accounting systems to more accurately include the value of the environment. As the programme expands, it aims to document its endeavors so as to better share lessons learned and best practices to inform national, regional, and global development programming.

When considering the capacity needs to implement the Rio Conventions, it becomes apparent that many of these needs are directly tied to the challenges of poverty alleviation. In

this sense, CCCD projects present an opportunity to complement objectives of the PEI by integrating poverty alleviation strategies through the process of Rio Convention mainstreaming and piloting. As a precursor to achieving these synergies, countries should first conduct an integrated analysis of policy and institutional responses to alleviate poverty while addressing Rio Convention obligations. It may be that sometimes the two goals are at odds with one another, however, the emphasis of this analysis should focus on synergies and policy resistances.

The PEI Phase II project in Tajikistan provides an interesting example of the possibility for synergies between PEI and CCCD. The project had three key outputs:

- a. Poverty-Environment approaches and tools for integrated development policies, plans and coordination mechanisms applied.
- b. Improved technical capacities and knowledge on economic valuation of ecosystem services and green accounting.
- c. Regional cooperation and knowledge sharing facilitated to integrate pro-poor environmental outcomes into regional institutions and sustainable development processes.

Under the first output, activities could be structured in such a way as to contribute to Rio Convention obligations. Similarly, Output 2 could integrate and reconcile best practice poverty alleviation strategies in the same way that a CCCD project integrates natural resource valuation within national decision-making and planning.

## GENDER MAINSTREAMING AND CROSS-CUTTING CAPACITY DEVELOPMENT

Gender mainstreaming is frequently used as a tool to achieve global environmental benefits even though it may not be the primary objective of the project. Given the nature of cross-cutting capacity development, it is appropriate that GEF CCCD Strategy requires gender mainstreaming throughout every phase of project development and implementation. This is in line with the Rio Conventions' acknowledgment of the linkage between gender mainstreaming and achievement of Convention targets, as well as similar guidance from the Sustainable Development Goals on the linkages between sustainable development, gender equality and poverty reduction. To these ends, numerous GEF and UNDP documents stress the importance and value of gender mainstreaming and its relationship to producing global environmental benefits.

GEF gender policy requires that GEF partner agencies establish policies, strategies, or action plans that promote gender equality. Additionally, each agency's system or policies must satisfy minimum criteria on gender mainstreaming, and agencies must incorporate GEF guidance on gender mainstreaming into their project and programme proposals which will be reviewed by the GEF Secretariat.

Gender equality in cross-cutting capacity development projects is more likely to be achieved because the broad-based consultation across a wider spectrum of thematic areas offers the possibility of significantly increasing the

number of stakeholders (from one set social actors to two or three new administrative structures and mechanisms). Indeed, most of the CCCD projects under implementation in UNDP's portfolio have women play key leadership roles. For example, in Ukraine, the CCCD project's champion is a woman that runs an environmental NGO while maintaining a very good professional relationship and network with senior government officials. Similarly in Trinidad and Tobago, a key champion of the CCCD project who sits on the project board is the Minister of Gender, Youth and Children Development. Among her key responsibilities is to provide expertise and support to government agencies, focal points, and other stakeholders to institutionalize gender in planning processes.

Egypt's 2008 CCCD project showed that gender balance was also satisfactory during the project implementation, with women representing on average 40% of stakeholder participation in the training and consultation workshops. The project has conducted six training courses and 20 consultation workshops for national planning of global environmental issues.

As discussed in *Mainstreaming Gender at the GEF*, gender plays an important role with regard to access to and control over environmental resources, goods and services (GEF, 2014). Given this role, GEF mandates that gender be a consideration in all of its projects. To this end, *The GEF Policy on Gender Mainstreaming* outlines GEF's determination to improve gender equality through its own operations and those of its Partner Agencies by mainstreaming gender into operations and systematically analyzing and including the specific needs of women and men in GEF projects (GEF, 2012).

Togo is a country where few women appear to work in the field of environment. While the CCCD can not call for the hiring of more women in government staff positions, CCCD projects are designed to monitor and assess gender indicators. For example, stakeholder gender is measured in the learning-by-doing workshops and other stakeholder participation activities. This design feature serves to increase the number of women who are more aware and experienced in Rio Convention issues, and thus provide them with better opportunities for playing more important roles in environmental management and governance.

Gender mainstreaming requires the deliberate support and visibility of contributions from women and men individually, sometimes with the support of specific gender interventions. Many times, gender neutral policies and programmes overlook the negative impact gender inequality has on development. This is often resolved by identifying gaps in equality via data disaggregated by sex, developing strategies to close the gaps, and devoting resources to appropriate implementation and monitoring. A dual-purpose perspective of gender mainstreaming is often required to overcome shortcomings in policy and programmes. That is to say, gender mainstreaming must take a systematic approach to analyzing the specific needs of both women and men, and ensure that women and men participate in and benefit equally from these efforts.

A recent analysis of GEF projects found that unless gender project outcomes, outputs, and/or indicators were identified in project results or logical frameworks at the project design phase, the project most often did not

monitor or report progress on gender. On the other hand, projects that approached gender mainstreaming throughout the project design and lifecycle did show positive developments. Best practices for such projects included conducting a gender analysis at the project start, utilizing gender-disaggregated data in monitoring and evaluation, awareness-raising and training, and a consistent approach to gender mainstreaming throughout the project's lifecycle, among others. Specifically, partner agencies must:

- Have implemented institutional frameworks for gender mainstreaming
- Have established project review criteria to consider socio-economic aspects of the project
- Require social assessment, gender analysis, and the potential roles, risks, impacts and benefits for men and women of various ages, ethnicities, and social hierarchies
- Require mitigation measures against gender impacts
- Address within policies, strategies, and action plans specific gender activities, and the various roles that gender plays in society
- Have a monitoring and evaluation system for progress with gender disaggregated indicators
- Monitor and provide policy implementation support by social/gender experts on gender in mainstreaming projects

Requirements for the GEF include:

- Gender mainstreaming and capacity building within GEF staff to improve socio-economic understanding of gender issues
- A designated focal point for gender issues to support development, implementation, monitoring and strategy on gender mainstreaming internally and externally
- Working with experts in gender issues to utilize their expertise in developing and implementing GEF projects

Like GEF, the UNDP is dedicated to advancing gender equality throughout its operations. To this end, UNDP seeks to coordinate global and national efforts to integrate gender equality and women's empowerment into poverty reduction, democratic governance, crisis prevention and recovery, and environment and sustainable development. In the UNDP Strategic Plan 2014-2017, improving gender equality and women's empowerment is listed as one of the seven key outcomes.

Given the strong emphasis on gender equality, UNDP environmental and social screening is mandatory on all project-level procedures. An accountability framework supports accountability and oversight with regular reporting required. Gender parity is also a goal within the UNDP organization such that actions are being taken to work towards gender parity at all levels, and all UNDP offices

throughout the world. UNDP's commitment to gender mainstreaming is expressed in the two key documents: *UNDP Gender Equality Strategy 2014-2017* and *Powerful Synergies: Gender Equality, Economic Development and Environmental Sustainability*.

The *UNDP Gender Equality Strategy 2014-2017* incorporates global commitments to gender equality and is guided by a number of international conventions and policies, including the Convention on the Elimination of all Forms of Discrimination against Women and the Millennium Development Goals<sup>22</sup>, among other regional commitments.

It is important to note that Green Economy is not sufficient in and of itself. Social development and gender equality are often left out of the Green Economy equation that ignores the interconnected nature of sustainable development. Opportunities for women to progress in terms of education and employment are inextricable from the state of the environment. Just as income inequality poses challenges for global environmental sustainability, so too does gender inequality. Many aspects of environmental sustainability require a certain foundation of knowledge from citizens, and women without the opportunity to receive an education will be less prepared to effectively participate, if they can participate at all, in any activities related to protecting the global environment. Gender issues, like environmental ones, cut across all sectors.

---

<sup>22</sup> As well as the Sustainable Development Goals under development as part of the post-2014 development agenda



# Cross-Cutting Capacity Development Criteria and Indicators

In order to determine the benefits CCCD projects deliver to the global environment, projects must monitor and evaluate their outputs and outcomes. CCCD projects must detail a plan for monitoring and evaluating project implementation. This plan will include a set of activities that ensure that project management activities are conducted in an adaptive and collaborative manner, using participatory approaches to programme development and implementation such as adaptive collaborative management, community-based participatory action research, and participatory rural appraisals. An appropriate amount of flexibility must be built into project design, reflected in the appropriate organizational structures and mechanisms that will foresee possible negative impacts and react as necessary on a timely basis, with the aim to stay on course towards achieving project objectives. A useful reference is UNDP's thematic study on Participatory Monitoring and Evaluation (UNDP, 2002).

An integral component of the M&E plan is the development of a set of indicators. The UNDP/GEF Global Support Programme for the National Capacity Self-Assessments developed a set of indicators to measure the results and impacts of capacity development activities. The relevancy of these indicators is that they will be assessed within the context of the particular project strategy, and incorporated into the project design and execution arrangements, as appropriate. Indicators are to be as specific as possible, verifiable, and the means of verification specified. These indicators will form part of the Logical Framework Analysis.

Because many key indicators are only apparent upon completion of the project, it is important to incorporate process and output indicators to serve as a proxy for outcome indicators. Process indicators should be used to assess the performance of project activities. Output indicators assess the achievement of interim and final project products. Outcome or impact indicators provide evidence that the project is helping achieve the overall goal of cross-cutting capacity development. Independent mid-term and final evaluations are to be included in the design of the project, which will undertake an assessment of the process, outputs and impact (outcomes) of the CCCD project.

All indicators must meet a certain set of criteria in order to be considered SMART indicators. That is to say that these indicators are: Specific, Measurable, Achievable and Attributable, Relevant and Realistic and Time-bound, timely, trackable and targeted.

Cross-cutting capacity development projects must also reflect due consideration of the lessons learned from similar interventions, both within the country and from other regions. These past experiences must be evaluated in the context of the proposed project strategy to determine the applicability and the modifications necessary to build upon successes and minimize the failures of related practices. What may be a best practice for one country to address the inadequacy of policy coordination for the three Rio Conventions may not be a good practice in other country.

# Conclusion: Areas for Further Work

The GEF's Cross-Cutting Capacity Development programme and key strategic initiatives under which UNDP is supporting countries operate within a larger population of other capacity development initiatives sponsored and implemented by other bilateral and multilateral development partners. Complementing these efforts are other public and private sources of financing managed by non-state social actors such as NGOs and the private sector. Not only do CCCD projects offer an additional opportunity to leverage these resources, but more importantly they offer another opportunity to strengthen more holistic approaches to addressing environmental issues.

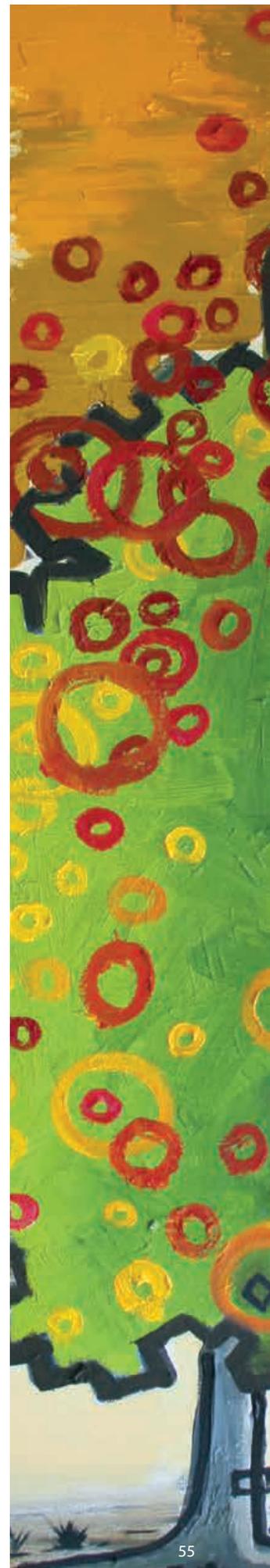
While this analysis was limited to a relatively small population of interventions, CCCD projects are an important opportunity to bridge key capacity development needs across UNDP's other flagship programmes, particularly towards institutionalizing capacities to meet and sustain global environmental objectives. Importantly, there is a need to monitor the strategic value of these projects. Not only should the Capacity Development Scorecard and other monitoring tools be used to assess the contribution of the projects towards meeting expected outcomes, but there should be a second evaluation of the CCCD programme at least one year prior to the end of GEF-6.

As part of the on-going design and implementation of CCCD projects, particular attention should be given to the institutionalization of capacities and development of the projects' exit strategy. The unintended consequence of external development assistance is that governments

have come to expect donors to finance a majority, if not the entirety, of their environmental conservation programmes, using government budgetary allocations to cover the costs of staff and agency operations. A major feature of CCCD projects (among other capacity development projects) is the learning-by-doing approach, which is intended to raise not only the technical skills of stakeholders, but to strengthen their increased awareness and value of new and better approaches to meet institutional objectives. Theoretically, this should translate into a greater mobilization of effort and resources, but this is not guaranteed. Therefore, one of the indicators to measure is the effectiveness of resource mobilization strategies.

One of the new frameworks under the GEF's Capacity Development programme is to update the NCSAs. While some countries may wish to avail of these resources, there are other more recent national policies and strategies that more than adequately satisfy the need to legitimize cross-cutting capacity development. Notwithstanding, the NCSAs remain the legitimate and initial basis to justify the CCCD project, complemented by the shared and related capacity development recommendations that are prioritized in the UNDAF, CCA, NBSAP, NAP, NAPA, and National Communications.

A particular challenge in the pursuit of CCCD funding is that these projects are medium-size, and the efforts needed to formulate them require almost the same level of effort that larger full-size projects require. For this reason, there may be less of an interest to pursue these





projects in the absence of upfront project preparation grant funds. However, the advantage of pursuing CCCD projects is that their funding is over and above each country's STAR allocation. Countries' selection of their CCCD project should be undertaken within the framework of the countries' broader programme of development interventions. Although this is already a requirement of all GEF and UNDP programming, not only of CCCD projects, efforts must be robust to ensure that this review and strategic programming is undertaken.

CCCD projects are not enabling activities, and as such are not intended to help countries report progress made towards meeting their commitments under the Rio Conventions. However, many of the capacities developed to improve data and information management systems and analytical skills to create new knowledge are the same that will help countries better prepare their national reports and communications. Improved reporting is therefore a co-benefit of CCCD projects. Monitoring of the strategic value of the CCCD projects and programme overall should also identify and assess these and other co-benefits.

The GEF calls for projects to demonstrate their "transformative" value, as well as opportunities for "scaling-up". An evaluation of climate investment funds determined that there is not a clear definition or guidelines as to what constitutes "transformative" for the GEF. However, this lack should not necessarily be seen as a weakness in the project design or review process, recognizing that CCCD projects' inherent attention to strengthen targeted underlying foundational capacities that cross across the three Rio Conventions is transformative. "Scaling up", however, is more problematic. If this is understood to call for replication of CCCD project results, this is already an intended feature of CCCD projects through the inclusion of pilot demonstration projects that are to be replicated once the project has concluded. On the other hand, if scaling up refers to increasing the size of the capacity development interventions, this makes the false assumption that these can be scaled up. For example, a CCCD project that strengthens the networking and improvement of data flow systems for the global environment should not need scaling up if the project was designed from a holistic perspective from the beginning of the formulation process. In this particular instance, further clarification of scaling up expectations is needed.

CCCD projects should thus be seen as a relatively low-cost, high value programme for countries to move beyond the business-as-usual models of pursuing environmental sustainability by catalyzing synergies across programmes and projects. At the same time, these projects require important commitments from countries to shed the internal resistance to change and be willing to adopt new and stronger modalities of engagement and collaboration.

# Annexes

## ANNEX 1: GEF-6 OBJECTIVES AND RIO CONVENTION DECISIONS

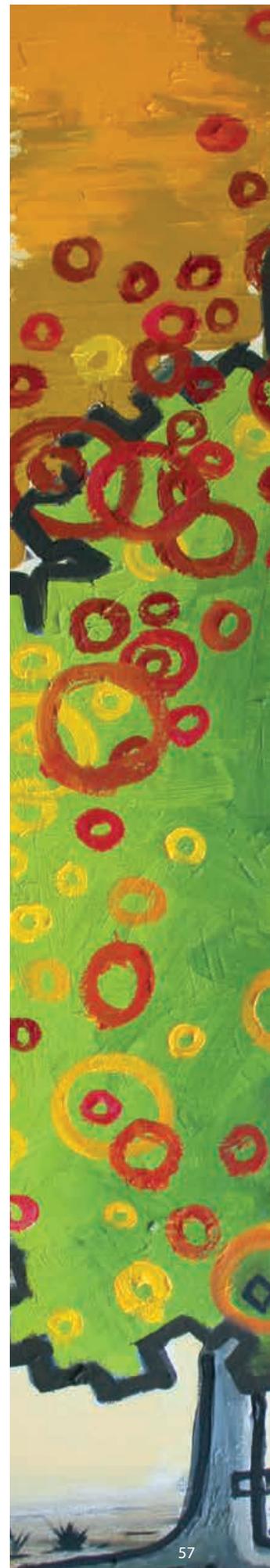
The following tables organize decisions by the Conferences of the Parties for the three Rio Conventions according to the GEF-6 strategic objectives for Cross-Cutting Capacity Development. The preparation and updating of the NCSA on the other hand is not a requirement under the Rio Conventions, but one that the GEF Council approved as a corporate programme of the GEF Secretariat.

### CD-1: TO INTEGRATE GLOBAL ENVIRONMENTAL NEEDS INTO MANAGEMENT INFORMATION SYSTEMS AND MONITORING

3/CBD XI	<b>Strengthen capacity to develop indicators and monitoring and reporting systems</b>
16/CBD XI	Build capacities for ecosystem restoration, e.g., developing data clearinghouse
17/CBD XI	Enhance the scientific and technical capacity related to ecologically or biologically significant marine areas
18/CBD XI	Increase the capacity to use marine spatial planning as a tool to enhance existing efforts in integrated marine and coastal area management
21/CBD XI	Build awareness and capacity among organizations and programmes engaging in climate-change modeling and ongoing biodiversity modeling, scenario and data management initiatives
24/CBD XI	Build capacity to support implementation of national action plans for the programme of work on protected areas
16/ CCD COP.11	Strengthen capacity for indicator-based reporting
22/CCD COP.11	Strengthen capacity for monitoring and evaluation related to desertification and land degradation
24/ CCD COP.11	Improve capacities for knowledge management including traditional knowledge, best practices and success stories
11/FCCC CP.19	Enhance capacity to manage and improve national forest monitoring systems
12/FCCC CP.19	Strengthen capacity to develop and assess forest reference emission levels and/or forest reference levels
14/FCCC CP.19	Strengthen capacity to measure, report and verify anthropogenic forest-related emissions
21/FCCC CP.19	Strengthen capacity for domestic measurement, reporting and verification systems

### CD-2: TO STRENGTHEN CONSULTATIVE AND MANAGEMENT STRUCTURES AND MECHANISMS

9/CBD XI	<b>Improve capacities to engage stakeholders on issues relevant to the Gender Plan of Action</b>
14/CBD XI	Build capacity in indigenous and local communities to support implementation of guidelines on biodiversity and tourism development
23/CBD XI	Develop partnerships to promote capacity building for ecosystem -based solutions for water resources management
25/CBD XI	Support capacity-building initiatives in the management of wildlife for customary sustainable use that establish mechanisms to engage local and indigenous communities
28/CBD XI	Strengthen capacity to identify invasive alien species or potentially invasive alien species, to assess risks and take steps to manage or minimize those risks and to control and eradicate prioritized invasive alien species
3/CCD COP.11	Improve capacity, effectiveness, and efficiency of regional coordination mechanisms
9/ CCD COP.11	Strengthen capacities to develop and implement comprehensive national drought management policies in accordance with the principles and provisions of the UNCCD
11/ CCD COP.11	Encourage Parties to make use of CCCD Programme to support the capacity needs in relation to the Rio Conventions
10/FCCC CP.19	Strengthen coordination and support for mitigation activities in the forest sector
20/FCCC CP.19	Build technical capacity and international support for the biennial update reports



<b>CD-3: TO INTEGRATE MEAS PROVISIONS WITHIN NATIONAL POLICY, LEGISLATIVE, AND REGULATORY FRAMEWORKS</b>	
<b>2/CBD XI</b>	<b>Strengthen capacity of national focal points for national clearing-house mechanism</b>
6/CBD XI	Improve capacity in public agencies responsible for implementing the guidelines on biodiversity and tourism development
7/CBD XI	Strengthen capacity to develop policy measures and guidance to improve biodiversity-friendly sustainable development strategies
8/CBD XI	Strengthen capacity to mainstream biodiversity into sustainable development
15/CBD XI	Build capacity to mainstream ecosystem-based adaptation to climate change, ecosystem restoration and invasive species management
19/CBD XI	Enhance capacity to address safeguards and to fully integrate biodiversity concerns into the planning and implementation of relevant strategies or activities
22/CBD XI	Ensure that appropriate capacity-development packages for mainstreaming biodiversity and ecosystem services into poverty eradication and development processes are developed and implemented
29/CBD XI	Use a capacity-building strategy for the Global Taxonomy Initiative to integrate taxonomy into national biodiversity strategies and action plans
2/CCD COP.11	Strengthen capacity for sustainable land management and related decision-making
15/FCCC CP.19	Addressing the drivers of deforestation and forest degradation
18/FCCC CP.19	Integrate adaptation planning and action

<b>CD-4: TO PILOT INNOVATIVE ECONOMIC AND FINANCIAL TOOLS FOR CONVENTION IMPLEMENTATION</b>	
<b>5/CBD XI</b>	<b>Provide capacity-building for development and use of valuation methods e.g., valuation of ecologically or biologically significant marine areas</b>
30/CBD XI	Support capacity building on valuation methodologies and biodiversity mainstreaming into relevant national and local policies, programmes and planning processes, as well as reporting systems, including national accounting
1/ CCD COP.11	Increase capacity to better identify and access internal, external and innovative sources of funding
13/CCD COP.11	Improve capacity-building among civil society organizations to mobilize resources, access funds, and further engage in the reporting process
14/ CCD COP.11	Assess financial needs for capacity building and integrate them into investment frameworks
2/FCCC CP.19	Enhancing knowledge and understanding of comprehensive risk management approaches to address loss and damage associated with climate change
3/FCCC CP.19	Enhance enabling environments and policy frameworks to facilitate mobilization and deployment of climate finance
8/FCCC CP.19	Review financial mechanisms

## ANNEX 2: OBJECTIVES OF CROSS-CUTTING CAPACITY DEVELOPMENT PROJECTS

COUNTRY	OBJECTIVE
Armenia	To introduce legislative and institutional changes needed to reform the existing environmental information management and monitoring system to fulfill Armenia's obligations under three global MEAs and the public access to environmental information
Bangladesh	To enhance the capacity of relevant policy and institutional stakeholders to enable compliance with the three Rio Conventions and other MEAs
Belize (2008)	To coordinate Belize's natural resource and environmental policies in such a way that they create synergies for the national implementation of the CBD, CCD and FCCC
Belize (2014)	To strengthen institutional and technical capacities for improved monitoring and assessment, natural resource valuation and impact assessment, and resource mobilization
Bhutan	To enhance global environmental management by mainstreaming the provisions of the Rio Conventions into enhanced decentralized environmental management.
Bulgaria	To build capacities for mainstreaming global environment into the formulation and implementation of regional and local development, as well as spatial planning policies
Burkina Faso	To generate global environmental benefits through improved decision-support mechanisms and improved local planning and development processes in Burkina Faso
Costa Rica	To mainstream the international commitments derived from the Rio Conventions into targeted national environmental legislation
Cote d'Ivoire	To strengthen the capacity of national and local decision-makers to use a national environmental management information system as a means to apply lessons learned and best practices to meet global environmental objectives within the setting of coastal development
Croatia	To build national capacity for integrated global environmental management through the development of an indicator model and comprehensive data flow system
Egypt	To strengthen monitoring, evaluation and reporting for MEAs in Egypt
Gambia	To strengthen the national institutional framework for integrated management of global environmental priorities and to integrate global environmental issues into divisional level planning and implementation through the application of the ecosystem approach
Ghana	To improve the institutional structures and mechanisms for implementing the Rio Conventions in Ghana, so that they generate global environmental benefits and contribute to poverty alleviation
Jamaica	To develop, pilot, and institutionalize natural resource valuation tools, techniques, data and information within the framework of Environmental Impact Assessments
Jordan	To develop the policy and legal frameworks in Jordan to strengthen compliance with GE conventions through optimizing the involvement of all concerned institutions
Kenya	To enhance abilities of Kenya to address global environmental issues related to land degradation, climate change, biodiversity conservation and chemical management through effective, coordinated and integrated implementation of respective MEAs
Kyrgyzstan	To improve fiscal measures for collecting, managing and allocating revenues for global environmental management
Laos	To strengthen national and local capacity to implement natural resources legislation with a focus on issues most relevant to the Rio Conventions
Moldova	To build capacities for implementing environmental fiscal reforms that will produce increased national and global environmental benefits through the adoption of selected subsidies, fees, fines, taxes and other appropriate fiscal instruments

COUNTRY	OBJECTIVE
Montenegro	To analyze, identify and pilot advanced tools and practices for environmental information management and compliance monitoring and to develop capacity of institutions for global environmental management by institutionalizing identified tools and practices
Morocco	To mainstream global environmental management in the planning, budgeting and monitoring processes of the National Human Development Initiative
Namibia	To increase institutional and human capacities to meet Namibia's commitments to global environmental Conventions on climate change, biodiversity and land degradation in context with national development
Nicaragua	To develop the necessary capacities at the individual, institutional and systemic level to improve compliance with the main obligations and commitments of the Rio Conventions
Papua New Guinea	To strengthen targeted capacities to establish and use an integrated Environmental Management Information System for measuring progress to implement the Rio Conventions and other MEAs
Philippines	To strengthen cross-convention institutional and coordination structures and mechanisms at local and national levels to comply with the Country's commitments under the three MEAs
Romania	To strengthen systemic, institutional and individual capacity to integrate Rio Convention themes into national, regional and local decision-making
Seychelles	To increase capacity for effective environmental management to address national and global environmental issues
Solomon Islands	To strengthen and institute a tiered network of key decision-makers, planners, and other stakeholders to catalyze and sustain reductions of deforestation and forest degradation in a way that meets objectives under the three Rio Conventions
Suriname	To generate global environmental benefits through improved decision-support mechanisms and improved local planning and development processes by harmonizing existing environmental management information systems
Tajikistan (2008)	To strengthen capacity to use environmental learning and stakeholder involvement as tools to address natural resource management issues as part of poverty reduction
Tajikistan (2014)	To improve institutional and technical capacities to meet and sustain Rio Convention objectives
Togo	To strengthen national and decentralized management to produce global environmental benefits
Ukraine	To strengthen key institutional and individual capacities to pursue sustainable development that delivers global environmental benefits
Uzbekistan	To build national capacity for more effective environmental management in Uzbekistan, by improved national environmental policy planning and financing
Vietnam	To strengthen the systemic, institutional and individual capacities of Vietnam for effective implementation of the Rio Convention obligations consistent with national circumstances and needs for sustainable development

## ANNEX 3: OVERVIEW OF GUIDANCE MATERIAL FOR PROJECT FORMULATION

A number of companion documents are available for the conceptualization and formulation of Cross-Cutting Capacity Development projects. Each is briefly outlined and hyperlinks are provided for easy downloading. In addition to these provided here, the Annotated Outline includes additional guidance and links, such as how to prepare the Environmental and Social Screening Checklist and the calculation of Direct Project Costs.

### Annotated Outline of the Project Document

This annotated outline serves as a template for the preparation of the Cross-Cutting Capacity Development Project. For each section and sub-section of the project document, guiding questions are provided. Some standard text is provided that should be edited for tailoring to the project in question. This template is available upon request from UNDP.

### National Capacity Self-Assessment Synthesis Report (2010)

The NCSAs called for countries to identify their priority environmental issues such as combating deforestation, promoting sustainable land management, or minimizing their vulnerabilities to the impact of climate change. They were to undertake a root cause analysis to determine the institutional capacities (e.g., knowledge, decision support systems, and governance structures) necessary to meet programme

objectives. While the thematic assessments for each focal area identified the capacity needs specific to that particular environmental concern, the cross-cutting (or synergy) reports took an over-arching approach to understanding more basic challenges countries face in meeting and sustaining global environmental objectives. The latter analyses were an important catalyst in helping decision-makers and other stakeholders gain a better appreciation of the important linkages between and among the Conventions, and the capacities indicative of resilient systems.

This Synthesis Report reviewed 119 of the 146 NCSAs that were either completed or under implementation, and determined that the top five capacity development needs expressed by countries to achieve and sustain global environmental outcomes are:

- a. public awareness and environmental education;
- b. information management and exchange;
- c. development and enforcement of policy and regulatory frameworks;
- d. strengthening organizational mandates and structures; and
- e. economic instruments and sustainable financing mechanisms.

At the other end of the spectrum, the analysis of the NCSAs also showed that capacities to negotiate at the Conventions' Conference of the Parties were of a relatively low priority, with only 17 out of 119 NCSAs identifying this as a capacity need. Similarly, only 32 out of 119 NCSAs identified integrated ecosystem management as a priority. The analysis of the 119 NCSA Final Reports and Action Plans yielded insights and

lessons from countries' quest to meet global environmental commitments. The full report can be accessed via the GEF Secretariat's webpage on Capacity Development: [www.thegef.org/gef/capacity\\_development](http://www.thegef.org/gef/capacity_development)

### Monitoring Guidelines of Capacity Development in Global Environment Facility Projects (2010)

Under the auspices of the Global Support Programme for the National Capacity Self-Assessments, UNDP developed a set of monitoring guidelines and an accompanying Scorecard to help assess and measure the long-term impact of GEF projects. This tool was first put to use for the targeted cross-cutting capacity development projects, and has since been extended for use for other GEF focal area projects. This scorecard takes a cross-cutting approach to assessing capacities developed, as opposed to the focal area evaluation tools that look at only those

capacities developed, for example, to strengthen protected area management or to undertake specific approaches to mitigate the impacts of climate change. This scorecard is therefore complementary to focal area evaluation tools in that they take a 'horizontal' approach to assessing capacities compared to the 'vertical' evaluation of the focal area interventions.

The monitoring guidelines contained in this report effectively blend the best practice methodologies of capacity assessment across an array of development and environmental interventions. The approach presented in this document contributes to the objective of the GEF Results-Based Management objective, which is "to design mechanisms to ensure the measurement of progress" toward the specific goals of the GEF. This report complements UNDP's report *Measuring Capacity* (UNDP, 2010), the latter of which can be accessed via the GEF Secretariat's webpage on Capacity Development: [www.thegef.org/gef/capacity\\_development](http://www.thegef.org/gef/capacity_development)



## ANNEX 4: PROJECT DESIGN AND DEVELOPMENT

CCCD projects are initiated through the GEF, and thus must meet certain requirements in order to receive funding. Countries submitting project proposals must be eligible for GEF financing, i.e., they meet the eligibility criteria established by the COPs for each convention, they are members of the conventions and are countries eligible to borrow from the World Bank, or they are eligible recipients of UNDP technical assistance through country programming. Additionally, projects must be aligned with GEF operational strategy as well as national priorities and programs in order to address cross-cutting barriers to Rio Convention implementation. Eligible projects must also demonstrate a high degree of public involvement throughout their design and implementation, and must also be endorsed by the government of the country which will implement the project. Finally, GEF financing is intended only for the agreed-on incremental costs on measures to achieve global environmental benefits.

While project strategies may vary by country, basic operational guidelines are necessary to formulate CCCD project proposals in such a way that meet UNDP programming policies and procedures. Like CCCD projects under previous cycles, projects under GEF-6 must meet certain conditions in order to be eligible. In addition to meeting these criteria, projects must also provide a clear rationale for their strategy as well as demonstrate technical feasibility.

CCCD projects must also be clearly aligned with the UNDAF and CCA. The CCA and UNDAF were first introduced by the UN Secretary

General in 1997 in order to provide a more coherent and effective contribution to countries' development efforts. As such, the UNDAF represents the UN System's collective response to national development priorities within a country. Tying closely to the UNDAF, the CCA is the UN System's independent assessment of the development context priority issues in the country with particular attention paid to the declarations and goals that were agreed upon as part of the global conventions in the 1990s (UNFPA, 2014). Specifically the UNDAF and its associated Action Plan seek "to achieve the agenda endorsed by the 2005 World Summit, the Millennium Declaration and the Millennium Development Goals (MDGs), the Triennial Comprehensive Policy Review, as well as other internationally agreed development goals and treaty obligations." (UN, 2009, p. 1).

Eligibility criteria	
	<ul style="list-style-type: none"> <li>• Ratification of the three Rio Conventions (CBD, CCD, and FCCC)</li> </ul>
	<ul style="list-style-type: none"> <li>• Endorsed by GEF Operational Focal Point</li> </ul>
	<ul style="list-style-type: none"> <li>• Consistent with UNDP country programming, i.e., UNDAF, CPAP</li> </ul>
	<ul style="list-style-type: none"> <li>• Maximum GEF grant request of US\$ 2,000,000</li> </ul>
	<ul style="list-style-type: none"> <li>• Leveraged co-financing (target of 1:1 leverage)</li> </ul>
	<ul style="list-style-type: none"> <li>• Cash co-financing (amount negotiable)</li> </ul>

CCCD project design is largely an exercise consisting of participatory approaches to project development, which are deemed critical to accessing information and developing partnerships and commitments. The formulation of a Project Identification Form (PIF) and Project Document (prodoc) proposal builds heavily upon

the institutional analyses and multi-stakeholder consultation process of the NCSA. The project preparation phase is not a repeat of this process, but should instead review the various NCSA reports to identify the information gaps needed to further conceptualize the best possible project strategy and model cost-effective project implementation.

This phase builds upon the NCSA by preparing a detailed analysis of the institutional framework within which the targeted capacity need is situated. While much information will already have been documented under the NCSA, vital information must be collected through individual interviews, focus group discussions, and larger group dialogues. The development

**TABLE 3: PROJECT DESIGN AND TECHNICAL CRITERIA**

Type of Capacity	
<b>Strategy and objectives</b>	Focus on one CCCD objective, although there can be co-benefits with other frameworks
<b>Consistency with convention guidance</b>	Must directly address shared obligations under the Rio Conventions with regard to capacity development. Specific articles should be referenced as appropriate
<b>Mainstreaming</b>	Rio Convention mainstreaming is to be incorporated into planning, policies and programmes at national, regional, and local levels
<b>Gender</b>	Mainstream gender into operations and strive to systematically analyze and include the specific needs of women and men throughout all stages of the project
<b>Lessons learned and best practices</b>	Incorporate lessons learned and best practices from other related projects around the world in project development and implementation.
<b>Cost-effectiveness</b>	Leverage co-financing to support GEF contributions and build cost-effectiveness into design by aligning project activities with other socio-economic priorities and related ongoing projects
<b>Sustainability</b>	Articulate mechanisms for continued development and application of the capacities and strengthen institutional, legislative, policy and financial frameworks to enhance sustainability
<b>Monitoring and evaluation</b>	Detail monitoring and evaluation plan for project implementation that is flexible and incorporates adaptive collaborative management
<b>Indicators</b>	Develop a set of outcome, process, and output indicators to measure the results and impacts of project activities throughout implementation and after. Indicators should be S.M.A.R.T. and include an appropriate blend of process, output, and performance indicators.
<b>Replicability</b>	Design with replicability in mind. Test best practices and incorporate lessons learned to adaptively manage the replication of activities to ensure they remain relevant, valid and legitimate
<b>Effective stakeholder participation</b>	Collaborate and coordinate with relevant government ministries and agencies as well as with non-state organizations such as academic and research institutes, NGOs, CSOs and the private sector in project design and throughout implementation
<b>Execution arrangements</b>	Must be consistent with UNDP policies and procedures, and specially tailored and negotiated during the formulation of the project
<b>Project duration</b>	Projects are to span approximately three years to implement and designed to be flexible using adaptive collaborative management
<b>Budget</b>	Develop work plan and budget providing detailed account of project activities and itemizing funds for each project output

of the CCCD project (PIF and prodoc) should involve consultations with the national focal points for all three Rio Conventions, who would also be involved in project activities that meet their priority needs.

Practitioners and planners are directed to review the templates and sample proposals on the GEF website. In addition to the technical and operational criteria provided, operational guidance on *how* to develop the CCCD proposal is provided in the form of supporting documentation. Developing a CCCD project requires that the selected NCSA capacity development priority be consistent with the CCCD programming frameworks. The project can be prepared on the basis of a review of the NCSA reports and in-country consultations with key government representatives. Early on in the project development phase, consultations should be initiated with the Convention Secretariat to identify the development objective and programming framework proposed in the CCCD project. Additionally, eligible projects must meet a number of technical criteria in order to be approved for funding.

At the very early stage of project formulation the government should reconstitute the NCSA steering committee (comprising representatives of key agencies and stakeholders) as the project steering committee. A key role of this steering committee is to facilitate agency and stakeholder collaboration to build partnerships and commitments as well as to ensure sound project design. Interviewees and data sources should be selected on the basis of different settings, organizations and regions to ensure a high level of diversity. This will facilitate the validation of data and information, ensuring reliability and validity.



The formulation of the project is characterized by various consultative methods. These include interviews with the staff of the agencies implementing and formulating relevant policies, programmes, and projects. Interviews should be conducted, as appropriate, with representatives of government agencies, field workers, community-based organizations, non-governmental organizations and their umbrella associations, research institutions, and project stakeholders. Individual interviews could be complemented with focus group discussions with project stakeholders, and participatory observation of certain venues such as national and sub-regional policy level consultations undertaken under the GEF National Dialogue Initiative.

A form of focus group, a stakeholder validation workshop should be organized during the development of the project document, bringing together representatives of all key stakeholders to contribute to the elaboration of the project strategy, thus ensuring long-term commitment and legitimacy.



# References

Akana, David (2014), "What the Green Climate Fund Can Learn from Climate Investment Funds Evaluation", Climate-Eval Blog, [www.climate-eval.org/blog/what-green-climate-fund-can-learn-climate-investment-funds-evaluation](http://www.climate-eval.org/blog/what-green-climate-fund-can-learn-climate-investment-funds-evaluation), accessed 15 October 2014

Asian Development Bank (2014, July 11). 47055-001: *Strengthening Capacity for Low-Carbon Development in Ningbo*. Retrieved from Asian Development Bank: [www.adb.org/projects/47055-001](http://www.adb.org/projects/47055-001)

Bellamy, J.-J. (2013). *Capacity Development Study – CB2*. GEF.

Bellamy, J.-J., & Hill, K. (2010). *Monitoring Guidelines of Capacity Development in Global Environment Facility Projects*. New York: UNDP.

Bellamy, J.-J., & Hill, K. (2010). *National Capacity Self-Assessments: Results and Lessons Learned for Global Environmental Sustainability*. New York: United Nations Development Programme.

Carson, R. (1962). *Silent Spring*. Houghton Mifflin.

Dalal-Clayton, B., & Bass, S. (2009). *The Challenges of Environmental Mainstreaming: Experience of Integrating Environment into Development Institutions and Decisions*. London: International Institute for Environment and Development.

de Gouvello, C. (2010). *Brazil Low-Carbon Country Case Study*. World Bank.

Diouf, H. R. (2013). Regional training workshop on adaptation for the African Anglophone LDCs. Kigali, Rwanda: UNDP.

Earth Council/ICLEI (2008). *Report of Philippines User Guide Country Survey*. Manila: Earth Council and International Council for Local Environmental Initiatives.

Global Environment Facility (2002). *The First Decade of the GEF: Second Overall Performance Study*, 25 January 2002, Washington, D.C., USA, 166 pp.

Global Environment Facility (2010). *GEF-5 Cross-Cutting Capacity Development Strategy, GEF-5 Programming Directions at the Sixth Meeting for the Fifth Replenishment of the GEF Trust Fund*, May 12, 2010

Global Environment Facility (2012). *Policy on Gender Mainstreaming, PL/SD/02*. Retrieved from [www.thegef.org/gef/gender](http://www.thegef.org/gef/gender)

Global Environment Facility (2013). *GEF-6 Programming Directions at the Fourth Meeting for the Sixth Replenishment of the GEF Trust Fund*, April 16-17, 2014

Global Environment Facility (2014). *Mainstreaming Gender at the GEF*. GEF. Retrieved from [www.thegef.org/gef/node/1548](http://www.thegef.org/gef/node/1548)

Hartmann, I. (2013). *Mainstreaming Global Environment in National Plans and Policies by Strengthening the Monitoring and Reporting System for Multilateral Environmental Agreements in Egypt Project*.

- Herkenrath, P. (2012). Integrated approaches to national reporting to the Rio Conventions – a UNEP/GEF project. CBD COP 11 (p. 12). UNEP; GEF; WCMC.
- Herkenrath, P., & Epple, C. (2010). *Piloting Integrated Processes and Approaches to Facilitate National Reporting to the Rio Conventions: Report on reporting requirements of the three conventions*. UNEP; GEF.
- Hill, K. (2009). *National Capacity Self-Assessment Sub-Regional Workshop*. New York: United Nations Development Programme. Retrieved 4-9 November 2009
- Hill, K. (2009). *Workshop Proceeding of National Capacity Self-Assessment Workshop, Nairobi, Kenya, 4-6 November 2009*. New York, USA: Global Support Programme, UNDP/UNEP.
- Hill, K., & Theriot, J. C. (2009). *Workshop Proceeding of National Capacity Self-Assessment Workshop, Nadi, Fiji, 16-18 November 2009*. New York, USA: Global Support Programme, UNDP/UNEP.
- Ministry of Environment (2011). *Paraguay NCSA Final Report*. Asunción, Paraguay.
- Ministry of Environment (2012). *Report of the Global Workshop on National Experiences in Implementing the Strategic Plan for Biodiversity 2011-2020*. Brasilia, Brazil.
- Ministry of Labour, Technological Development and Environment (2009). *National Capacity Self-Assessment Report of Suriname*. Paramaribo, Suriname.
- OECD, IEA (2010). *Low-Emission Development Strategies (LEDS): Technical, Institutional and Policy Lessons*. Paris, France: OECD.
- Office of Climate Change (2012). *Key Lessons from the Guyana-Norway Partnership*. Retrieved from Low Carbon Development Strategy: Transforming Guyana's Economy while Combating Climate Change.
- Office of Climate Change (2012, March 9). *Low Carbon Development Strategy: Transforming Guyana's Economy while Combating Climate Change*. Retrieved July 2014, from [www.lcds.gov.gy/](http://www.lcds.gov.gy/)
- Tamanini, J. (2014). *Measuring National Performance in the Green Economy*. Dual Citizen LLC.
- Tlaiye, L., & Awe, Y. (2010). *Lessons from Environmental Mainstreaming: Towards Environmental Sustainability*. The World Bank Group.
- UN (2002). *Report of the World Social Summit on Sustainable Development, Johannesburg, South Africa, 26 August – 4 September 2002, A/CONF.199/20\**, New York, USA, 173 pp.
- UN (2009). *Common Country Assessment and United Nations Development Assistance Framework – Guidelines for UN Country Teams on Preparing a CCA and UNDAF*. UN.
- UNDESA (2014). *Low Carbon Development*. Retrieved from Sustainable Development Knowledge Platform: <http://sustainabledevelopment.un.org>
- UNDG (2008). *Summary of Responses – Survey on the use and usefulness of the 2007 CCA/UNDAF Guidelines*. UN.
- UNDG (2009). *Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF*. UN.

UNDG (2010, May). *Overview of UNDAF process and new guidance package*. Retrieved from United Nations Development Group: [www.undg.org/docs/11096/PowerPoint-Presentation](http://www.undg.org/docs/11096/PowerPoint-Presentation)

UNDP (2002). *Participatory Monitoring and Evaluation: Approaches to Sustainability*, UNDP/GEF/Capacity 21, New York, USA, 79 pp.

UNDP (2007). *Capacity Assessment Methodology: User's Guide*, Capacity Development Group/Bureau for Development Policy, New York, USA, May 2007, 77 pp.

UNDP (2011). *Blending climate finance through national climate funds: A guidebook for the design and establishment of national funds to achieve climate change priorities*. New York: United Nations Development Programme.

UNDP (2012). *Powerful Synergies: Gender Equality, Economic Development and Environmental Sustainability*, Bureau for Development Policy, United Nations Development Programme, New York, USA, 212 pp.

UNDP (2014). *UNDP Gender Equality Strategy 2014-2017. The future we want: Rights and Empowerment*, United Nations Development Programme, New York, 33 pp.

UNDP (2014). *Capacity Building for Low Carbon Growth in Ukraine*. Retrieved from UNDP Ukraine: [www.ua.undp.org/content/ukraine/en/home/operations/projects/environment\\_and\\_energy/project\\_sample1/](http://www.ua.undp.org/content/ukraine/en/home/operations/projects/environment_and_energy/project_sample1/)

UNDP (2014). *UNDP Strategic Plan 2014-2017*. UNDP.

UNDP & UNEP (2009). *Mainstreaming Poverty-Environment Linkages into Development Planning: A Handbook for Practitioners*. UN.

UNDP & UNEP (2013). *Poverty-Environment Initiative: 2013-2017*. UN.

UNEP/GEF (2011). *Assessment of potential options for consolidating and integrating national reporting to the three Rio Conventions*. UNEP/GEF.

UNEP/GEF (2012). *Synergy among Rio Conventions: Case Study on Streamlining Reporting. GEF Expanded Constituency Workshop*, (p. 13). Bujumbura, Burundi.

UNFPA (2014). *Linking population, poverty and development-Common Country Assessments/UN Development Assistance Frameworks*. Retrieved from United Nations Population Fund: [www.unfpa.org/pds/frameworks.html](http://www.unfpa.org/pds/frameworks.html)

Vázquez, E. (2004). *Informe final del Primer Taller Regional sobre Auto-evaluación de las Capacidades Nacionales y su implementación en los países de habla hispana en América Latina*. Mexico City, Mexico: UNDP-GEF; LAC; RCU.

WCED (1987). *Our Common Future: Report of the World Commission on Environment and Development*, Oxford University Press, England, 383 pp.

World Health Organization (2003). *Climate Change and Human Health: Risks and Human Health*. Geneva: UN.



United Nations Development Programme  
Bureau for Development Policy  
Environment and Energy Group  
304 East 45th Street, 9th Floor  
New York, NY 10017 USA

[www.undp.org](http://www.undp.org).