
National Capacity Development Action Plan (CDAP)



Kingdom of Swaziland National Capacity Self-Assessment



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

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Executive Summary

Over the last decade, capacity constraints have been increasingly recognised as a main obstacle to sustainable development in many countries. Accordingly, the development community has paid increasing attention to capacity development and capacity assessment in its policies and projects. On top of this, a large number of regional and international agreements and Conventions have come into force over the last two decades. Each places additional demands on the capacity of participating countries. Many Conventions have made specific recommendations regarding the need for capacity development in these countries.

In this context, the Global Environment Facility (GEF) initiated a programme of action to identify capacity constraints, opportunities and threats related to the implementation of the United Nations Convention for Biological Diversity (UN CBD), the United Nations Framework Convention on Climate Change (UN FCCC), and the United Nations Convention to Combat Desertification (UN CCD). The National Capacity Self-Assessment (NCSA) process was aimed at assisting developing countries and economies in transition to assess capacity to meet requirements under the Conventions.

The NCSA process broadly defined 'capacity' as the ability of individuals, institutions and broader systems to perform their functions effectively, efficiently and in a sustainable way.

The NCSA process revealed that the specific functions to be performed in order to meet the requirements of the Conventions can be grouped as follows:

- organizing and formulating policies, legislation, strategies and programmes;
- implementing and enforcing policies, legislations and strategies, often through projects, notably by mobilising and managing all required resources;
- building consensus and partnerships among all stakeholders;
- mobilizing information and knowledge;
- monitoring, evaluating, reporting and learning.

Hence capacity is needed to perform each of the above functions, for each of the Conventions.

This report begins by providing a review of the obligations contained in the Conventions and Swaziland's response to them. During the NCSA process, a series of highly participatory studies were commissioned that looked in detail at each Convention's capacity requirement or impact and identified the key obligations and commitments. Against this, Swaziland's response to those was assessed. The thematic assessments carried out for each Convention highlighted that Swaziland has for the most part, managed to comply with most of the obligations under existing institutional and financial parameters, however, due to a poor knowledge of what the obligations are, several key areas have gone un-reported in national communications to the Conference of Parties.

The NCSA found a number of key weaknesses in Swaziland's ability to meet the inherent obligations which included the following:

- Lack of definition of Convention requirements
- Lack of appropriate mandates to implement
- Inadequate policy linkages across the Conventions
- Inefficient information collation and dissemination by Focal Points
- Difficult and time consuming reporting mechanisms
- Inadequate feedback mechanisms to stakeholders
- Poor financial access and support for implementation
- Non-operational National Environment Fund
- Poor institutional knowledge and redundancy due to high levels of staff turn-over
- Insufficient capacity enhancement / mobilisation as a result of unfocused capacity development
- Limited research framework / strategy to provide baseline data
- Inadequate integration of activities related to Conventions
- Low levels of awareness and participation by stakeholders
- Lack of training material in environmental management
- Poor utilisation of the media to advocate the Conventions and raise awareness

As a Party to the Conventions, the Government of Swaziland has committed itself fully to the provisions contained therein. A review of the commitments and obligations contained therein was carried out and identified

areas within which Parties to the Convention have agreed to specific commitments and obligations. These include:

- reporting requirements to the respective COP
- research and monitoring
- institutional arrangements
- policy and legislative development, reform and harmonisation
- information and technology sharing
- training
- public education and awareness

To meet the requirements of the Conventions and take advantage of cross-cutting synergies, an action plan has been developed. The Capacity Development Action Plan presented in Chapter 3 of this report identifies critical areas for national action under five major headings - institutional capacities and legislative frameworks, research and monitoring, participation and awareness, financial capacity and stakeholder capacity.

As an action plan, time-frames and cost estimates are provided though specific details will only emerge as and when each action is formulated into a specific programme or project.

Chapter 4 presents a broad implementation plan that covers the institutional arrangements required as well as issues surrounding resource mobilisation, stakeholder participation and monitoring. The Environmental Conventions Coordinating Unit will be established and resourced to implement the CDAP.

Chapters 5 and 6 of this report present a description of the NCSA process, overview of achievements made and a summary of the key reporting outputs (stock-take report, thematic assessment reports and the cross-cutting assessment report). This contextualises the current status of Swaziland's compliance with the UN Conventions and the various efforts the country has made to implement the many obligations covered by the Conventions.

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Acronyms

COP	Conference of Parties
CDAP	Capacity Development Action Plan
GEF	Global Environment Facility
GOS	Government of the Kingdom of Swaziland
LUPS	Land Use Planning Section (MOAC)
MDG	Millennium Development Goal
ME	Ministry of Education
MEE	Ministry of Enterprise & Employment
MEPD	Ministry of Economic Planning & Development
MF	Ministry of Finance
MHUD	Ministry of Housing & Urban Development
MFAT	Ministry of Foreign Affairs & Trade
MNRE	Ministry of Natural Resources & Energy
MOAC	Ministry of Agriculture & Cooperatives
MJCA	Ministry of Justice and Constitutional Affairs
MPWT	Ministry of Public Works & Transport
MTEC	Ministry of Tourism, Environment & Communications
NAP	National Action Plan
NBSAP	National Biodiversity Strategy & Action Plan
NDS	National Development Strategy
NEP	National Environment Policy
NERCHA	National Emergency Response Council on HIV/AIDS
NGO	Non-Governmental Organisation
NCSA	National Capacity Self-Assessment
NMS	National Meteorological Service (MPWT)
NSCD	National Steering Committee for Desertification
RSRC	Royal Swaziland Research Council
SEA	Swaziland Environment Authority (MTEC)
SEAP	Swaziland Environment Action Plan
SG	Surveyor General (MPWT)

SNTC	Swaziland National Trust Commission (MNRE)
SWOT	Strengths Weaknesses Opportunities Threats
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNCED	United Nations Conference on Environment and Development
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNISWA	University of Swaziland

Part I - Context

1 INTRODUCTION

Over the last decade, capacity constraints have been increasingly recognised as a main obstacle to sustainable development in many countries. Accordingly, the development community has paid increasing attention to capacity development and capacity assessment in its policies and projects. On top of this, a large number of regional and international agreements and Conventions have come into force over the last two decades. Each places additional demands on the capacity of participating countries. Many Conventions have made specific recommendations regarding the need for capacity development in these countries.

In this context, in May 1999, the GEF Council approved a strategic partnership between the GEF Secretariat and UNDP to formulate a comprehensive, strategic approach to developing capacities to meeting global environmental challenges.

In September 2001, the Global Environment Facility established a new source of funds to support this partnership, The National Capacity Self-Assessment (NCSA), assist developing countries and economies in transition to assess capacity to meet requirements under the United Nations Convention for Biological Diversity (UN CBD), the United Nations Framework Convention on Climate Change (UN FCCC), and the United Nations Convention to Combat Desertification (UN CCD).

The primary objective of an NCSA is to identify country level priorities and needs for capacity building to address global environmental issues, in particular biological diversity, climate change, and land degradation, with the aim of catalyzing domestic and/or externally assisted action to meet those needs in a coordinated and planned manner. While these three thematic areas are central to the exercise, it is fully recognized that an NCSA will need to explore the synergies among them, as well as linkages with wider concerns of environmental management and sustainable development.

NCSA outputs can be a useful and relevant framework for domestic action and external assistance for capacity building. However, an NCSA is not seen either as a precondition for GEF assistance through regular projects and enabling activities, or as a necessary first step before launching capacity building activities in particular sectors.

The NCSA process broadly defined 'capacity' as the ability of individuals, institutions and broader systems to perform their functions effectively, efficiently and in a sustainable way.

The NCSA revealed that the specific functions to be performed in order to meet the requirements of the Conventions can be grouped as follows:

- organizing and formulating policies, legislation, strategies and programmes;
- implementing and enforcing policies, legislation and strategies, often through projects, notably by mobilising and managing all required resources;
- building consensus and partnerships among all stakeholders;
- mobilizing finances, information and knowledge;
- monitoring, evaluating, reporting and learning.

Hence capacity is needed to perform each of the above functions, for each of the Conventions. For a country to be able to perform the above functions, it requires a complex composition of effective individuals, effective institutions and an appropriate enabling environment. In other words, if the country has the appropriate individuals, working effectively in the appropriate institutions, within the appropriate system, then it will be able to perform all the necessary functions and so meet its requirements under the Convention.

Capacity development is a process of change through which the system, institutions and individuals are strengthened in order to better perform the capacity functions. In this document, capacity development is defined as the process by which individuals, institutions and social systems increase their capacities and performance in relation to meeting each of the requirements under the Conventions. Capacity development directly increases ability to meet requirements under the Conventions.

At the individual level, capacity development refers to the process of changing attitudes and behaviours, most frequently through imparting knowledge and developing skills through training. However it also involves learning by doing, participation, ownership, and processes associated with increasing performance through changes in management, motivation, morale, and levels of accountability and responsibility;

Capacity development at the institutional level focuses on the overall performance and functioning capabilities of an institution. This includes developing the mandates, the tools, the guidelines and the information management systems for the institution. It aims to develop its constituent individuals and groups, as well as its relationship to the outside. Institutions can be governmental or non-governmental, local or national, and formal or informal;

At the systemic level, capacity development is concerned with the creation of “enabling environments”, i.e. the overall policy, economic, regulatory, and accountability frameworks within which institutions and individuals operate. Relationships and processes between institutions, both formal and informal, are also important.

1.1 The National Capacity Self-Assessment

At the UN Convention on Environment and Development held in Rio de Janeiro in 1992, the international community agreed on a programme of action to ensure the coordinated integration of sustainable development philosophies into national planning and development. They call for specific policies, strategies and solutions to mitigate the loss of biodiversity, effects of climate change, and desertification. In particular, each calls on countries to integrate these objectives into national and regional development plans, policies, programmes, and strategies. More than a decade on it has been acknowledged that the failure to realise the objectives of these agreements has been hampered by a lack of capacity at all levels among member states.

In response, the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP) are facilitating the implementation of a number of National Capacity Self-Assessment (NCSA) projects globally.

Acknowledging capacity constraints as one of the primary limitations in successfully meeting the challenges and provisions of the Conventions the Government of Swaziland, through the Swaziland Environment Authority (SEA), commissioned a **National Capacity Self-Assessment Report on National Capacity Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions**.

The NCSA is aimed at determining national capacity requirements and defining national capacity needs and priorities under the United Nations Convention for Biological Diversity (UN CBD), the United Nations Framework Convention on Climate Change (UN FCCC), and the United Nations Convention to Combat Desertification (UN CCD). The Swaziland NCSA aims to address a number of cross cutting issues that are specific to the country e.g. community level capacity, traditional structures, institutional management, technical training, sectoral policies and legislation, data information and political will. The main output of the NCSA is a Capacity Development Action Plan (CDAP) to meet prioritised needs and a mechanism for monitoring and evaluating progress made in meeting those needs.

1.2 Obligations and commitments of the three Rio Conventions

The table below summarises the key capacity related obligations as cited in the texts of the conventions.

Obligation / Commitment	UN CBD	UN FCCC	UN CCD
Institutional Arrangements	Article 23	Article 7	Article 22
Reporting Requirements	Article 26	Article 12	Article 26
Policy & Legislation	Article 6(a), 6(b), 8(k), 14	Preamble, Article 4.1(b), 4.2(d)	Article 5(e), 9, 10
Research & Monitoring	Article 7, 12(b)	Article 4.1(a), 5	Article 16, 17, 19(b)
Training & Education	Article 12(a)	Article 6	Article 19
Public Awareness & Exchange of Information	Article 13, 14.1(a), 16, 17, 18	Article 4, 6, 7	Article 5(d), 6, 12, 16, 18, 19
Financial Mechanisms	Article 11	Article 20, 21	Article 20

See also Annex 2

1.2.1 Key commitments and obligations under the UN CBD

As a signatory to the UN CBD, Swaziland has assumed certain commitments and obligations in the area of global environmental management which have specific capacity requirements. These include the following areas:

1. Assessment of the impact of climate change on biodiversity, especially in relation to forests, research on indigenous knowledge of conservation of forest resources, the establishment of long-term reliable access to relevant scientific information networks and data bases, including notably through internet, and human resource development in a wide a range of scientific disciplines including information technology, etc.;
2. Develop and implement means for the selection, establishment and management of system of protected areas where special measures need to be taken to conserve biological diversity, taking into consideration compatibility between present uses and sustainable use, the wider approval and involvement indigenous and local communities and encouragement of equitable sharing of the benefits, development of necessary legislation and/or other regulatory provisions for the protection of threatened species and populations and provision for financial and other support particularly to developing countries. (Art. 8);
3. Establishing and maintaining facilities for the recovery and rehabilitation of threatened species and for their reintroduction into their natural habitats and in providing financial and other support especially to developing countries. (Art. 9);
4. Establish and maintain programmes for scientific and technical education, training, research and in developing methods for identification, conservation and sustainable use of biological diversity.(Art. 12);
5. Promote national arrangements for emergency responses to activities or events which present a grave and imminent danger to biological diversity and encourage international cooperation to establish joint contingency plans to supplement national efforts (Art.14);
6. Develop and carry out scientific research based on genetic resources for environmentally sound uses with the aim of sharing in a fair and equitable way the results and benefits arising from the commercial and other utilization and create conditions to facilitate mutual access through legislative, administrative or policy measures and financial mechanism based upon agreed terms (Art. 15); and
7. Implementation of national policies for the promotion of technical and scientific cooperation with special attention to the development and strengthening of national capabilities, by means of human resources development and institution building and encouraging the use of technologies, including indigenous and traditional technologies and cooperation in the training of personnel and exchange of experts (Art 18).

1.2.2 Key commitments and obligations under the UN FCCC

As a signatory to the UN FCCC, Swaziland has assumed certain commitments and obligations in the area of global environmental management which have specific capacity requirements. These can be considered in the following key areas:

8. Formulation of measures for adaptation to the impact of climate change, preparation of national programmes to address climate change as part of national development plans, establishment of long term national capacity to comply with future reporting obligations, formulate and implement climate change-relevant projects, technology needs assessment; the identification of sources and suppliers, the determination of optimal modalities for the acquisition and absorption of relevant technologies and the assessment of policy options for reducing barriers to technology transfer, develop the policy and institutional framework necessary to attract private investment in support of climate-friendly projects, etc.;
9. Cooperate to promote a supportive and open international economic system that would lead to sustainable economic growth and development particularly to developing country to enable them to better address the problems of climate change; (Art. 3);
10. Formulate programmes containing measures to facilitate adequate adaptation to climate change; develop appropriate and integrated plans for coastal zone management, water resources and agriculture, and for the protection and rehabilitation of areas, particularly in Africa, affected by drought and desertification, as well as floods; Promote and cooperate in the development of practices and processes that control, reduce or prevent anthropogenic emissions of greenhouse gases; (Art.4);
11. Support and develop appropriate international and intergovernmental programmes and networks or organizations aimed at defining, conducting, assessing and financing research, data collection and systematic observation, taking into account the need to minimize duplication of effort; including efforts to strengthen systematic observation and national scientific and technical research capacities and capabilities, particularly in developing countries, and to promote access to, and the exchange of, data and analyses thereof obtained from areas beyond national jurisdiction; Take into account the particular concerns and needs of developing countries and cooperate in improving their endogenous capacities and capabilities (Art. 5) and analyses thereof obtained from areas beyond national jurisdiction; Take into account the particular concerns and needs of developing countries and cooperate in improving their endogenous capacities and capabilities (Art. 5);
12. Promote and facilitate at the national and, as appropriate, subregional and regional levels, and in accordance with national laws and regulations, and within their respective capacities, public participation in addressing

climate change and its effects and developing adequate responses; and training of scientific, technical and managerial personnel. (Art. 6); and

13. Periodically examine the experience gained in implementation and the evolution of scientific and technological knowledge; facilitate, the coordination of measures adopted to address climate change and its effects, taking into account the differing circumstances, responsibilities and capabilities and their respective commitments; Promote and guide the development and periodic refinement of comparable methodologies for preparing inventories of greenhouse gas emissions by sources and removals by sinks, and for evaluating the effectiveness of measures to limit the emissions and enhance the removals of these gases; (Art.7).

1.2.3 Key commitments and obligations under the UN CCD

As a signatory to the UN CCD, Swaziland has assumed certain commitments and obligations in the area of global environmental management which have specific capacity requirements. These can be considered in the following areas:

14. Design and implementation of programmes to combat desertification and/or mitigate the effects of drought are taken with the participation of populations and local communities and that an enabling environment is created at higher levels to facilitate action at national and local levels; improve cooperation and coordination at sub-regional, regional and international levels, and better focus financial, human, organizational and technical resources where they are needed; develop, in a spirit of partnership, cooperation among all levels of government, communities, non-governmental organizations and landholders to establish a better understanding of the nature and value of land and scarce water resources in affected areas and to work towards their sustainable use (Art.3);
15. Provide an enabling environment by strengthening, as appropriate, relevant existing legislation and, where they do not exist, enacting new laws and establishing long-term policies and action programmes (Art. 4);
16. Establishment and/or strengthening, as appropriate, of early warning systems, including local and national facilities and joint systems at the sub-regional and regional levels, and mechanisms for assisting environmentally displaced persons; strengthening of drought preparedness and management, including drought contingency plans at the local, national, sub-regional and regional levels, which take into consideration seasonal to inter-annual climate predictions; establishment and/or strengthening, as appropriate, of food security systems, including storage and marketing facilities, particularly in rural areas; establishment of alternative livelihood projects that could provide incomes in drought prone areas; and development of sustainable irrigation programmes for both crops and livestock (Art 10);
17. Enhance national climatological, meteorological and hydrological capabilities and the means to provide for drought early warning; promote policies and strengthen institutional frameworks which develop cooperation and coordination, in a spirit of partnership, between the donor community, governments at all levels, local populations and community groups, and facilitate access by local populations to appropriate information and technology; provide for effective participation at the local, national and regional levels of non-governmental organizations and local populations, both women and men, particularly resource users, including farmers and pastoralists and their representative organizations, in policy planning, decision-making, and implementation and review of national action programmes (Art. 10) organizations, in policy planning, decision-making, and implementation and review of national action programmes (Art. 10);
18. Strengthening training and research capacity in the field of desertification and drought by establishing and/or strengthening support and extension services to disseminate relevant technology methods and techniques more effectively (Art. 19);
19. Effective operation of existing national institutions and legal frameworks and, where necessary, creation of new ones, along with strengthening of strategic planning and management; and by means of exchange visitor programmes to enhance capacity building in affected country; through a long-term, interactive process of learning and study conduct, and competent intergovernmental and non-governmental organizations, for an interdisciplinary review of available capacity and facilities at the local and national levels, and the potential for strengthening them (Art 19);
20. Full participation at all levels of local people, especially women and youth, by training field agents and members of rural organizations in participatory approaches for the conservation and sustainable use of natural resources; by fostering the use and dissemination of the knowledge, know-how and practices of local people in technical cooperation programmes, by adapting relevant environmentally sound technology and traditional methods of agriculture and pastoralism to modern socio-economic conditions (Art. 19);
21. Strengthen the capacity of affected developing country by providing appropriate training and technology in the use of alternative energy sources, particularly renewable energy resources, aimed particularly at reducing dependence on wood for fuel; (Art. 19); and
22. Parties to develop and implement programmes in the field of collection, analysis and exchange of information through innovative ways of promoting alternative livelihoods, including training in new skills;

by training of decision makers, managers, and personnel who are responsible for the collection and analysis of data for the dissemination and use of early warning information on drought conditions and for food production (Art. 19).

1.3 National response to the Conventions

The table indicated below provides a brief summary of the response thus far to the obligations of the Conventions. This highlights a few of the pro-active response with which the Government of Swaziland (GOS) has engaged the Conventions. These strengths need to be juxtaposed against the relative lack of success thus far in implementing the proposals and actions recommended within the various action plans, strategies and communications. The reasons behind these short comings will be examined in subsequent chapters.

	FCCC	CCD	CBD
Convention Adopted	9 May 1992	17 June 1994	5 June 1992
Swaziland Signed	12 June 1992	27 July 1995	12 June 1992
Swaziland Ratified	7 October 1996	7 October 1996	9 November 1994
Focal Point	SEA (1996) MPWT National Meteorological Service Focal Point (1998)	SEA (1996) MOAC Land Use Planning Section Focal Point (1996)	SEA (1994)
Steering Committee	UN FCCC National Steering Committee (date)	National Steering Committee for Desertification (NSCD) (1998) NGO CCD Task Force (1998)	Biodiversity Programme Implementation Committee (BPIC) (1997)
Public Participation	National Workshop (date)	National Workshop (1996) National Forum (1997)	First National Workshop (1997) Second National Workshop (1998)
Reporting to COP	Initial National Communication (2002)	First National Report (1999) Second National Report (2002) Third National Report (2004)	First Report (1999) Second National Report (2004) Third National Report (2005)
National Inventories	Initial National Communication (2002)	None	Biodiversity Strategy and Action Plan (1999) Red Data List (2004)
Implementation of Programme Recommendations	Self-Assessment/Stocktaking exercise on Climate Change (2005)	CCD National Action Plan (1999) Review of the CCD National Action Plan (2002) Integrated Dryland Development Programme (2003) Master Plan for Rehabilitation of	EIA Regulations (1996 updated in 2000) National Biodiversity Strategy and Action Plan (2001) Environmental Management Act (2002) Biodiversity Conservation and Participatory

	FCCC	CCD	CBD
		Degraded Lands (2004)	Development Project (2004) Preparation of Draft National Biosafety Framework ¹ (2005) Partnership for the Development of Environmental Law and Institutions in Africa (PADELIA) ² (2005)
Financial Supporters	GOS / GEF / UN FCCC Secretariat / UNDP	GOS / UNDP / JICA / UN CCD Secretariat	GOS / UNDP / UNEP / DFID / GEF / UN CBD Secretariat

Considering the commitments and obligations placed upon Parties to the Conventions this section examines the requirements under each of the Conventions. The three UN Conventions of Climate Change, Desertification and Biological Diversity constitute separate agreements with their own set of obligations and commitments upon Parties. However, all three Conventions address issues of sustainable development. As such there are numerous overlaps. General consideration and review of the requirements upon parties to the Conventions reveals broad categories within which these fall, including:

- reporting requirements to the respective COP
- research and monitoring
- institutional arrangements
- policy and legislative development, reform and harmonisation
- information and technology sharing
- training
- public education and awareness

Overlap in terms of the obligations and requirements under the Conventions have prompted the Secretariats of the FCCC, CBD and CCD to make several recommendations, conclusions and decisions to increase mutual understanding and coordination. Despite these there remains a need to develop and enhance synergies between the instruments in terms of their implementation at local, national, regional and global levels. It should also be acknowledged though that each constitutes a separate Convention, with specific commitments and obligations upon Parties. While there is room for harmonisation and improved synergy with respect to implementation there are also requirements specific to the individual Conventions. These differences reflect as much about the nature of the Convention as it does the global politics governing its formation.

While the Conventions give recognition to the need for the development of capacity there are no explicit capacity requirements other than those implied in meeting the commitments under the Conventions. Each of the Conventions calls for promotion and integration to address issues under the Conventions. Examination of the categories above reveals the need for strong capacity in three key areas:

1. Technical capacity
2. Political commitment
3. Financial capacity

These three are key to ensuring the realisation of the Conventions.

General consideration reveals that reporting requirements have been relatively well addressed. The obligations to report to the various Conference of Parties (COP) are usually met through discrete projects, variously funded nationally and through donor involvement. From review of the information prepared thus far for the COP, it would appear that there is sufficient capacity nationally to address most of the reporting requirements. These are facilitated by the clearly articulated requirements under the provisions of the Conventions.

The remaining categories of commitments as outlined above have received less attention. These are often more subtle interventions, activities or programmes that are more diffuse and difficult to evaluate. As part of the

¹ A national biosafety framework (NBF) is a combination of policy, legal, administrative and technical instruments that are developed to ensure an adequate level of protection in the field of the safe transfer, handling and use of living modified organisms resulting from modern biotechnology that may have adverse effects on the conservation and sustainable use of biological diversity, taking also into account risks to human health.

² The PADELIA project seeks to enhance capacity of the countries in implementation of existing laws; developing legal instruments to fill gaps in the existing laws; and enhancing capacity for sustained development and implementation of environmental law

NCSA process, the systemic, institutional and individual capacity requirements considered necessary under each of the Conventions was reviewed and assessed.

As a Party to the UN Rio Conventions, the Government of Swaziland has committed itself fully to the provisions contained therein. A review of the commitments and obligations contained therein was carried out and identified areas within which Parties to the Convention have agreed to specific commitments and obligations.

A SWOT analysis identified key weaknesses within each of these priority areas. This was facilitated through a process of consultation and participation that included stakeholder workshops, individual interviews and questionnaires. Swaziland's performance within the context of each of these priority areas was assessed to identify particular strengths, weaknesses, opportunities and threats. Weaknesses were determined to be those areas where capacity constraints were impeding the national response to the obligations and commitments of these Conventions.

It was largely acknowledged that Swaziland has demonstrated it has the individual capacity to meet many of the key requirements contained within the UN Conventions. This has been demonstrated through the preparation of national reports submitted to the COP. This process is facilitated by the fact that the UN Conventions clearly articulate the requirements in terms of report content and format. Financial support has usually been made available to facilitate reporting and this has been used to engage local consultants to prepare the national reports within a coordinating committee of key stakeholders. The review revealed that in other priority areas the UN Conventions are not as specific in articulating the requirements and so it has been more difficult to demonstrate how these requirements have been met.

The failure to clearly articulate the obligations and commitments upon Parties to the UN Conventions with respect to certain priority areas is compounded in their response by specific capacity constraints. These include the commonly cited problems associated with poor access to necessary financial resources, limited human resources (within Government) and a shortage of available time.

The relatively small geographical size of Swaziland presents an additional dimension to many of these common capacity constraints. The small size of the country limits the size and quality of the pool of human resources available in any particular field of expertise, resulting in little institutional redundancy and often creating problems associated with institutional memory. In contrast, however, the country's small size should ease the integration of monitoring and research networks, centralisation of information and participation.

Within this context a number of key weaknesses were identified from the detailed information obtained from a SWOT analysis. These included the following:

- Lack of definition of convention requirements
- Lack of appropriate mandates to implement
- Inadequate policy linkages across the Conventions
- Inefficient information collation and dissemination by Focal Points
- Difficult reporting mechanisms
- Inadequate feedback mechanisms to stakeholders
- Poor financial access and support for implementation
- Non-operational National Environment Fund
- Poor institutional knowledge and redundancy due to high levels of staff turn-over
- Insufficient capacity enhancement / mobilisation as a result of unfocused capacity development
- Limited research framework / strategy to provide baseline data
- Inadequate integration of activities related to Conventions
- Low levels of awareness and participation by stakeholders
- Lack of training material in environmental management
- Poor utilisation of the media to advocate the Conventions

While generally acknowledged that the technical capacity exists at the individual level, there is often a need to engage external support through use of regional and international consultants to assist in specific areas. The limited pool of national expertise also means that there is a greater need to capitalise on existing capacity and ensure that there is an appropriate level of redundancy and institutional memory.

To overcome these specific challenges, a comprehensive information management system coupled with a clearing house mechanism would greatly assist Focal Points and others to implement obligations within the Conventions. This would overcome many of the existing constraints of technical expertise, time and financial resources. If designed and implemented properly it would streamline reporting procedures, facilitate detailed examination and analysis of project information and allow derivation of lessons learnt. Appropriate feedback

mechanisms would allow this information to be channelled into future project management and implementation and to stakeholders.

In fulfilling the obligations and commitments of the UN Conventions one of the key weaknesses identified was the failure to properly integrate national policies and strategies across the Conventions. Swaziland has developed a comprehensive legal framework of sectoral policies and regulations that provide guidance in many areas. While the National Development Strategy represents a clear attempt toward integration, there is still a need to undertake specific integrative studies. A critical review of existing policies and laws to identify cross-cutting synergies would be the first step on the road of integration. This would strengthen the co-ordination and integration of policy formulation and ensure realisation of the intentions behind the UN Conventions toward an holistic and integrated approach to environmental management.

The review process highlighted the need to improve the efficacy of cross-cutting management in relation to the UN Conventions. The SEA has specific staff allocations for addressing its responsibilities under the UN Conventions. However, Focal Points and other organisations and individuals with national responsibilities, typically do not. As such, all initiatives are considered over and above their official duties and responsibilities. There is an urgent need to ensure that those with national responsibilities under the UN Conventions are properly mandated with these responsibilities and allocated appropriate resources to achieve these mandates.

Facilitation and maximising the opportunities afforded by the UN Conventions requires a centralised coordinated approach. The relatively small size of Swaziland serves such centralisation and would help overcome some of the issues associated with a lack of institutional and human resource redundancy and memory.

1.4 A summary of the Thematic Assessments and the Cross-cutting Assessment

1.4.1 Introduction

Three Thematic Assessments were undertaken under the NCSA for each Convention. Each assessment attempted to identify the existing capacity situation, priority constraints, barriers and needs in relation to each of the three Conventions.

Using information obtained of the requirements under the Convention during the initial stock-take and analysis identified which requirements were not being met; identified the layers of underlying causes, the contributing factors and the key barriers. The analysis lead to a complete understanding of the nature of the capacity needs, constraints and opportunities. Finally, the analysis lead to a clear identification of optimal interventions points – i.e. where an appropriate capacity development intervention can have the most impact. The results of the analysis were presented in the three Thematic Assessment Reports commissioned as part of the NCSA.

1.4.2 Thematic Assessment Findings

While there is a generally high level of awareness relating to issues of environment, biodiversity, land degradation and climate change, detailed analysis revealed low levels of awareness specifically around the obligations under each of the Conventions.

The Thematic Assessments also revealed a lack of awareness and clarity around the institutional arrangements for implementation of the UN Conventions and responsibilities for wider environmental management issues. Understanding of the Conventions varied from sector to sector with MOAC, for example, having a high level of recognition of land degradation and conservation authorities with high levels of awareness of biodiversity issues.

It is generally recognized that Swaziland has the technical capacity to address issues of environmental management as envisaged under the UN Conventions. However, this capacity needs to be acknowledged, supported and strengthened through sustained, strategic interventions. Such support needs to come from the UN Conventions Secretariats themselves. Where the UN Conventions clearly articulate the requirements Swaziland has largely met its obligations, e.g. in terms of reporting where the UN Conventions all clearly articulate the expectations in terms of report content and format. Financial support has also been made available by the Secretariats to facilitate this reporting which has been used successfully to engage local consultants to prepare these reports. Commitments and obligations under other priority areas within the UN Conventions are not as specific nor well-articulated and so demonstrating compliance is more difficult.

However, the failure to clearly articulate the expectations under specific obligations and commitments upon Parties to the UN Conventions is compounded in their response by specific capacity constraints. These include

the commonly cited problems associated with poor access to the required financial resources, limited human resources to coordinate and manage and a shortage of available time.

The relatively small geographic size of Swaziland presents an additional dimension to many of these common capacity constraints. The small size of the country limits the pool of human resources available in any particular field of expertise, resulting in little institutional redundancy and often creating problems associated with institutional memory. In contrast, the countries small size should ease the integration of monitoring and research networks, centralization of information and participation and the harmonization of legislative measures. However, this does not appear to have been achieved though is certainly achievable.

A lack of coordination is undermining systemic capacity with regard to harmonization of the policy and legislative framework. Persistent sectoral approaches to the development and implementation of national policies undermine efforts to integrate holistic international, regional and decentralized initiatives. This is resulting in a failure to properly integrate national policies and strategies.

The systemic level also needs to ensure that the capacity exists to effectively implement and monitor the affects of specific legislation and policy. This has to be achieved through improved legislative synergy and greater collaboration between sectors. Such synergies can also assist in increasing public awareness and action through economies of scale. Many institutionally driven initiatives have failed due to lack of sustained momentum. This needs to be overcome through appropriate support mechanisms and enhancing the existing initiatives and the capacity that resides within.

Facilitation and maximising the opportunities afforded by the UN Conventions requires an integrated planning approach. The relatively small geographic size of Swaziland serves such centralisation and would help overcome some of the issues associated with a lack of institutional and human resource redundancy and memory. The review process highlighted the need to improve the efficacy of synergies in relation to the UN Conventions.

Institutional capacity needs to be developed to ensure improved resources are made available to meet the national obligations under the UN Conventions. Information collation and dissemination needs to be enhanced and improved through appropriate interventions at the institutional and individual levels. Information management systems need to be put in place and a central system developed for collation and dissemination. This will assist Focal Points in meeting their national obligations under the UN Conventions with respect to reporting and assist in the development and implementation of appropriate feedback mechanisms and planning.

Capacity of individuals and institutions needs to be developed and enhanced to enable them to negotiate effectively at the regional and international levels, specifically in addressing the legal aspects associated with the UN Conventions. Strategic partnerships between academic institutions, government departments and practitioners need to be developed and/or strengthened to unite the national effort.

Such efforts can be supported and nurtured through national monitoring and research initiatives. These should be supported through accessible and centralized information data management systems. A clearly defined national research strategy should be developed through the reinvigoration of the National Research Council (or similar).

Individual capacity also needs to be strengthened. Individual capacity constraints identified are related to lack of knowledge and awareness of the UN Conventions. Short courses are needed to create awareness on multilateral environmental agreements and international negotiations. Opportunities for the development and enhancement of individual capacity are often undermined by the inability to translate and transmit expert knowledge to local communities, professional counterparts and the limited opportunities for networking at the regional and international level.

Financial resources are often cited as the biggest capacity constraint for implementation. The provisions of the National Environment Fund need to be enacted immediately. These resources should not be seen as a panacea for all the nations environmental issues. A clearly defined allocation procedure needs to be agreed upon by stakeholders and administered to maximise benefits on a sustainable basis. Financial constraints also arise from a lack of capacity relating to the identification and sourcing of appropriate funding. Information resources, such as national databases, booklets and training courses need to be developed to assist practitioners in this regard.

Low levels of institutional knowledge and redundancy further undermine such initiatives. This is often the result of high staff turnover and a limited pool of human resources given the countries size. The limited pool of expertise also means that there is a greater need to capitalise on existing capacity and ensure that there is an appropriate level of redundancy and institutional memory. This should be pursued through increasing the number of delegates to the COP. Institutional memory would also be served through development of a comprehensive information management system coupled with a clearinghouse mechanism.

The information derived from the review process and analysis of cross-cutting issues has been translated into a programme for action using a Logical Framework Analyses (LFA). This was used for the intention of identifying these weaknesses and addressing them through specific interventions. The LFA was structured in a way that assisted the NCSA Project Management Group in formulating this National Capacity Development Action Plan (CDAP) that is hoped will ensure Swaziland has the capacity to meet its commitments to global environmental management.

The transition toward a more holistic conceptualization of sustainable development within the national agenda needs to be integrated into the governing legislative framework. Specific financial allocations need to be committed to realize the intentions of the UN Conventions.

Synergies among different sectors require the development of strong and committed partnerships. These take time and can only be facilitated through active dialogue. Successfully engendering a dominant paradigm of sustainability requires individual champions to promote this message and drive the process. These champions need to be fostered at all levels to strengthen and support national development initiatives within a framework of sustainable development and environmental management for all Swazis.

1.4.3 Thematic Assessment of the UN CBD

1.4.3.1 Introduction

The objectives of the United Nations Convention on Biological Diversity (UN CBD) are “*the conservation of biological diversity, the sustainable use of its components and the fair and equitable sharing of the benefits arising out of the utilization of genetic resources, including by appropriate access to genetic resources and by appropriate transfer of relevant technologies, taking into account all rights over those resources and to technologies, and by appropriate funding*”. The Convention has adopted a detailed inclusive definition of diversity and as such represents the first-ever global agreement to cover all aspects – from genetic resources to species and ecosystems, with the overarching aim of ensuring conservation and sustainable use. It is also the first Convention to recognize that conserving biological diversity is “a common concern of humankind” and fundamental to sustainable development.

The UN CBD was one of the two original agreements opened for signature at the United Nations Conference on Environment and Development (UNCED) in Rio de Janeiro in June 1992. It entered into force on 29 December 1993 and currently has 188 Parties. Recognising that the key to maintaining biological diversity depends upon using this diversity in a sustainable manner, the Convention translates its guiding objectives of conservation, sustainable use and equitable sharing of benefits into binding commitments and obligations on Parties. These are articulated in the substantive provisions contained in Articles 6 to 20, some of which are outlined in more detail below but which include, among others:

- measures for the conservation of biological diversity, both *in situ* and *ex situ*;
- incentives for the conservation and sustainable use of biological diversity; research and training;
- public awareness and education;
- assessing the impacts of projects upon biological diversity;
- regulating access to genetic resources;
- access to and transfer of technology; and
- the provision of financial resources.

In January 2000, the COP adopted the Cartagena Protocol on Biosafety. The Protocol was negotiated pursuant to Article 19 (3), which required the COP to consider the need for and modalities of a protocol. It was adopted in accordance with Article 28 of the Convention and was opened for signature in Nairobi on 15 May 2000 and has been signed by 108 Parties to the Convention and ratified by 69 Parties. The Protocol came into force 90 days after the deposit of the fiftieth instrument of ratification, with the COP to the Convention serving as the meeting of the Parties to the Protocol, which is in turn the governing body of the Protocol.

The Convention encourages countries to act in the following areas:

- Conservation of ecosystems and natural habitats and the protection and restoration of populations of species in and outside their natural habitats;
- Sustainable use of biological resources;
- Identification and monitoring of biodiversity;
- Exchange of information relevant to the conservation and sustainable use of biological diversity;
- Technical and scientific cooperation for meeting the objectives of the Convention;
- Incentives for economically and socially sound conservation and sustainable use of biological diversity;

- Research and training on the identification, conservation and sustainable use of biodiversity;
- Public education to raise awareness about the importance of biodiversity;
- Impact assessments of proposed projects that are likely to have significant adverse effects on biodiversity;
- Access to genetic resources and fair and equitable sharing of the benefits of their utilization;
- Transfer of technology among parties to the Convention to promote the conservation and sustainable use of biodiversity;
- Handling of biotechnology to ensure the safe transfer, handling and use of genetically modified organisms;
- National reporting to the Conference of the Parties on the effectiveness of measures taken to implement the Convention.

Financial support for activities under the Convention comes from the Global Environment Facility (GEF). By 1999 GEF contributed \$1 billion for biodiversity projects in over 120 countries. The Biosafety Clearing House created by the Biosafety Protocol deals with importation of GMOs. It also facilitates exchange of information and best practice experiences. The COP secretariat undertakes to monitor and coordinate national reports and the progress of implementation by parties to the convention. By 1998, 100 countries had reported to the COP on their progress. It created a working group on Biosafety (concluded in 1999) and a group on Knowledge of Indigenous and Local Communities.

While the UN CBD calls upon Parties to the Convention to undertake certain activities, it should be acknowledged that none of these are enforceable. The UN Conventions all recognise differentiated abilities among the Convention's signatories.

Swaziland has demonstrated its commitment to the principles contained within the UN CBD through enactment of environmental laws, coordination of biodiversity related initiatives and commissioning of technical studies. The country has a well-developed institutional framework, although this appears to be oversubscribed with resulting confusion with respect to mandates and responsibilities. There is a need for review of the institutional responsibilities and more effective coordination mechanisms.

The SEA has been mandated with the national responsibilities under the UN environmental Conventions. However the provisions of the UN CBD and the commitments assumed by Swaziland as a signatory are covered through the actions of these various institutions and organisations. The SEA designated itself as the Focal Point for the implementation and administration of the UN CBD.

1.4.3.2 Systemic Capacity

Realisation of the objectives under the UN CBD requires the development of an enabling economic environment and widespread recognition of the economic value of biodiversity protection in Swaziland. Poverty and its attendant problems is one of the greatest factors undermining the realisation of sustainable use of biodiversity. The following issues were identified through the active participation of stakeholders as being key constraints and priorities under the UN CBD:

- Swaziland's biophysical and cultural heritage provides key commercial components that differentiate it within the southern African region and has engendered a greater awareness and prioritization of biodiversity conservation.
- There is an acknowledged need for greater political awareness to engender a political commitment and will to ensure implementation and sustainability at the national level.
- Political commitment needs to be translated into national interventions that address the overall economic, policy, legislative, political and national infrastructure to ensure sustainable development and sufficient protective measures.
- The comprehensive body of legislation and the existing policies also need to be reviewed to ensure harmonisation.
- Longer time frames are required to evaluate progress, which in turn, requires a long term commitment and the political will to ensure continued support.
- Biodiversity is a key component of the tourism industry in Swaziland, which is also likely to contribute to the greater awareness and subsequent response.
- Economic instruments, such as tax incentives for the private sector for use and implementation of conservation measures and alternative technologies, community management and quotas through community based systems - such as the campfire projects in Zimbabwe, are needed to engender ownership and afford benefits to all stakeholders.

- The legislative and policy measures in place need to be continually revised to incorporate these economic instruments and respond to market changes.
- Biotechnological issues represent the next challenge toward which the country needs to develop appropriate capacity and response mechanisms.
- The National Environmental Fund provides a financial framework but urgently needs to be implemented to ensure a comprehensive, sustainable financial framework for the support of Conventions related initiatives.

1.4.3.3 Organisational Capacity

Organisational capacity refers to institutional levels, focusing on the overall performance and functional capabilities of an organisation, access to finances, information, technology, infrastructure and other resources, its organisational structure and its ability to adapt to change. Stakeholders acknowledged that Swaziland had made significant progress in revising and re-aligning the organisational framework and institutional arrangements in relation to biodiversity. It was recognised that the process of institutional development and reform is necessarily slow, and that the SEA is currently pursuing a process of institutional re-organisation. This will provide the framework and a clear mandate for the development and implementation of measures that will complement the obligations of the Convention. Stakeholders identified the following issues, in no particular order, as being of particular importance:

- Improved institutional frameworks and linkages. The legislative framework currently assigns responsibilities for the conservation of biodiversity among numerous institutions. Often these have overlapping, and at times conflicting with respect to mandates and jurisdiction.
- Greater communication among all stakeholders.
- Clearly defined and articulated mandates and organisational autonomy.
- Facilitating harmony and stability within institutions and among stakeholders will help catalyse beneficial conservation activities according to the UN CBD.
- Disorganization or structural instability could have long-term implications on progress toward meeting conservation obligations required by the UN CBD.
- Sufficient equipment and infrastructure is needed to facilitate day to day activities, and longer term monitoring, data management and evaluation are key capacity requirements of any organisation in meeting the commitments contained within the UN CBD.
- The integration of organisational stakeholders through an appropriate information management system would assist in streamlining and harmonising the efforts of different organisations.
- The establishment of mandatory and standardized reporting procedures would help disseminate information to stakeholders and assist organisations in maximising time efficiency and reporting to the COP.
- Organisations are typically under-staffed in comparison with optimal levels.
- Lack of financial resources was identified as a primary contributing factor. However, it was acknowledged by participants that funding often exists and that the constraints are in identifying and accessing sources of funding.
- Sustainability of funding and the methods for accessing resources are also major obstacles.
- No centralised organisational structure coordinating and facilitating access to sources of funding. Funding is typically structured around specific projects and not integrated with other national priorities. There is an acknowledged need to establish specific project officers responsible for sourcing funds, procurement, and management of projects across all Conventions.
- Government funding is limited and not sufficient to guarantee large staff complements.
- Organisational reforms also need to address the issue of staff retention. There is also a lack of institutional memory in many organizations and a discontinuity of staff, owing in large part, to the HIV/AIDS epidemic, poor working conditions and attractive opportunities outside the country.
- Internalization of biodiversity conservation issues is a weakness. Mandates and concepts found within the UN CBD and COP decisions often remain abstract and disconnected from localized agendas and activities. Workshops, training and education efforts are required to make concepts tangible and applicable to the local context and conditions.
- Historically, infrastructural and technological capacities are also limited by the provision of financial capacity. As a result there is a continued need for the procurement and modernization of information

technologies, hardware and software, supported by appropriate training and skills development. This requires comprehensive management methods and financial responsibility and accountability.

- There is a need to develop a central repository or coordinating unit for the collation, storage and dissemination of information along with recommended data collection and reporting procedures. A large number of reports, documents and data have been produced over the last several decades, however, their availability and functionality are limited by organizational constraints and poor archiving practices. These items are currently dispersed among those institutions variously responsible for the conservation and sustainable use of biodiversity. In addition to data isolation, un-standardized collection methods have led to data incompatibilities and reduced applicability and use.

1.4.3.4 Individual Capacity

Swaziland's history of conservation and wildlife management is widely influenced by individual capacity and includes traditional proclamation of sacred, royal and hunting lands, private sector activities, and formally declared nature reserves, which were first established in the early 1900s. The success of national initiatives is inherently linked to the commitment and capacity of individuals. There is a significant need for a national strategy to coordinate individual and organizational efforts and facilitate the development of capacity appropriate to national needs.

Responding to global changes in biodiversity conservation concepts and management practices, Swaziland will need to strengthen its individual capacity, specifically with regard to environmental economics and biotechnology. Given the limited number of individuals the ability to respond and absorb changes in the development of issues pertaining to biodiversity is limited. In the absence of a large pool of suitable skilled personnel and with low staff/skills turnover, investments need to be made in skills development in an area that is changing rapidly.

There is an acknowledged need to invest further in capacity relating to trade policy and legal mechanisms, data / information management and skills relating to negotiations around issues covered under the UN CBD and international agreements.

The SEA has been mandated with responsibilities of the UN Conventions, although the staff allocations appear to be insufficient given the time required for reporting, collation of information and day-to-day management. To meet these requirements in a timely and effective manner requires a significant investment in increasing individual capacity (quantity and quality) and/or the generation of additional organizations/structures to account for these limitations.

Increased capacity is required in financial and business management, marketing, and grant sourcing.

The development of these individual capacities must be developed in tandem with systematic and organizational capacities. Many general organisational issues of human resource management, security of tenure, continued training and career development along with financial incentives, are all instruments that need to be developed to ensure that such capacity is developed and retained within the national context.

1.4.4 Thematic Assessment of the UN FCCC

1.4.4.1 Introduction

The overall objective of the United Nations Framework Convention on Climate Change (UN FCC) is to manage climate change through “*stabilization of greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system*”.

The UN FCCC establishes a framework for intergovernmental efforts to tackle climate change, acknowledging the rate of change in natural systems. As such the Convention allows for “a time-frame sufficient to allow ecosystems to adapt naturally to climate change, to ensure that food production is not threatened and to enable economic development to proceed in a sustainable manner.”

The Convention establishes a set of principles and articulates specific commitments for different groups of countries, differentiated according to their circumstances and needs. The principle of differentiated responsibility acknowledges that while the common concern and primary objective of the Convention is to manage climate change responsibility to take action is differentiated on the basis of capability to discharge that responsibility and on the levels of national contributions to the green house gas emissions. The second guiding principle recognises national sovereignty over natural resources within national jurisdictions. This principle

acknowledges individual sovereignty and empowers countries with the autonomy and authority to determine or define their development priorities.

The UN FCC was opened for signature at the Nations Conference on Environment and Development Earth Summit in 1992 in Rio de Janeiro and came into force on 21 March 1994. The Convention currently has 186 signatories. In addition, the Kyoto Protocol representing a substantial extension to the Convention was adopted at the Convention of the Parties (COP 3) in Kyoto, Japan, in December, 1997. The Protocol outlines legally binding commitments and basic rules, although it did not include details on how they would be applied. The Protocol also required a separate, formal process of signature and ratification by national governments before it could enter into force, which was achieved on 16 February 2005.

The UN FCCC calls on Parties to communicate information on national efforts to implement the Convention through the preparation of National Communications. Article 12, paragraph 1, of the Convention, provides guidelines for the national communication, that should include the following information:

- (a) A national inventory of anthropogenic emissions by sources and removal by sinks of all greenhouse gases not controlled by the Montreal Protocol, to the extent its capacities permit, using comparable methodologies to be promoted and agreed upon by the Conference of the Parties;
- (b) A general description of steps taken or envisaged by the Non-Annex I Party to implement the Convention;
- (c) Any other information that the Non-Annex I Party considers relevant to the achievement of the objective of the Convention and suitable for inclusion in its communication, including, if feasible, material relevant for calculations of global emission trends.

Guidelines governing the national communications for Non-Annex I Parties were changed in 2002 and it was acknowledged that the reporting requirements for Non-Annex I Parties are usually dependent upon external funding. Other information considered relevant to the achievement of the objectives of the Convention includes providing information on any steps taken to integrate climate change considerations into relevant social, economic and environmental policies and actions in accordance with Article 4, paragraph 1(f), of the Convention. In addition other information may include:

- Transfer of technologies
- Research and systematic observation
- Education, training and public awareness
- Information and networking
- Capacity-building

Accordingly national communications for Non-Annex I Parties are required to identify the following priorities:

- Priorities relating to national development; the national development agenda independent of climate change considerations i.e. poverty alleviation, enhanced economic growth, equity in distribution of wealth and access to development resources and technologies to ensure that any intervention impacts positively on these development priorities;
- Priorities relating to national concerns with the effects of climate change on the national development resource base. Agriculture, forestry, natural ecosystems, wildlife, water resources including rainfall regimes, fisheries, human settlements, energy resources, transport and industrial infrastructure, human health;
- Priorities relating to management of climate change and its response measures in a global economic and political setting, such as debt relief, global technologies, introduction of clean development technologies, shift from natural resource base to cleaner technologies;
- Priorities relating to meeting commitments under the UN FCCC, such as national assessment of factors that influence climate change, commitment to report these assessments, commitment to put in place national response policies and measures;
- Commitment to conduct national inventories of sinks and sources assess;
- Commitment to submit national communication reports to the COP; and
- Commitment to formulate policies and measures.

Non-Annex I Parties are also encouraged to provide, in accordance with decision 2/CP.7, information on how capacity-building activities, as contained in the framework annexed to that decision, are being implemented at national and, where appropriate, at subregional and/or regional levels. For example, the involvement of stakeholders in capacity-building, coordination and sustainability of capacity-building activities, and the dissemination and sharing of information on capacity-building activities.

The Swaziland Environment Authority delegated responsibility for national responsibilities of the UN FCCC to the National Meteorological Services in 1998.

1.4.4.2 Systemic Capacity

Swaziland is acknowledged as having a comprehensive policy framework centred around principles of sustainable development and environmental management, although there are no specific legislative measures addressing the issue of climate change.

The size of the country and its proximity to larger, more industrialised countries, such as South Africa, were identified as potential threats to the control and impact of green house gas emissions. This proximity was also acknowledged as a potential opportunity to supplement the limited number of appropriately skilled personnel through regional expertise and networks.

Awareness associated with issues of climate change was identified as one of the biggest challenges. The time over which the effects of climate change are likely to be felt along with the lack of certainty around how these effects will manifest reduces the perceived importance in many developing countries faced with what are considered more pressing issues.

There is a lack of recognition of the socio-economic gains that can be derived from implementation of the UN FCCC. This arises from a general lack of awareness and understanding among stakeholders, particularly those in the private sector of what the national commitments are under the Convention and how they, as private sector, may contribute to the emission of green house gases or mitigation thereof.

Lack of awareness manifests as a lack of political will, understanding and commitment at government level to implement the provisions contained within the Convention.

Awareness among decision or policy makers, with the requisite political will and commitment is needed for a legislative framework that can accommodate and facilitate financial allocations from government budgets.

In the absence of such support there is a financial dependency on external sources of funding. Sourcing this funding, (GEF, CDM etc.) requires specialised expertise, appropriate contacts and time to dedicate to the preparation of proposals.

Time is considered one of the most significant constraints. The collation of information needed to inform the determination and monitoring of climate change is exhaustive. Information is scattered among government departments, nationally as well as at smaller administrative levels and within the private sector.

Stronger collaborative frameworks are needed to integrate private sector and government and facilitate sharing of information.

1.4.4.3 Organisational Capacity

Organisational capacity relies upon sufficient financial commitments to ensure operation but also sustainability of interventions. This needs to extend to supporting delegations to attend meetings of the COP and developing institutional memory.

Technical capacity to evaluate and implement climate change policies and measures to advise and inform provisions of Convention needs to be supported and strengthened through appropriate training measures.

Analytical tools for climate change, such as model and emission factors need to be determined or extrapolated from neighbouring countries. This process should be supported through research driven by a central, coordinated body. This would provide direction and strategic focus to research initiatives. The development of such capacity will in turn support negotiating skills within regional and international fora.

Institutions need clearly defined lines of responsibilities, mandates, mission statements and organisational visions. These need to be linked with corresponding levels and acknowledged accountability.

There is a need to position the country strategically to take advantage of financial opportunities provided under the UN FCCC. This is increasingly important with recent ratification of the Kyoto Protocol.

The position of the NMS needs to be strengthened with respect to integration and interaction with other departments and ministries, particularly where the impact of climate change impacts directly on these institutions to fulfil their national mandates. The NMS should be given the resources and mandate to coordinate and champion national action plans in relevant sectors.

Organisational investment and support is required for the development and implementation of cleaner technologies. These need to be tried, tested and subsequently promoted through the development of appropriate policy and incentive mechanisms.

Infrastructure and data for monitoring and modelling changes in climate are currently insufficient. Efforts need to be made to ensure appropriate spatial data is collected over appropriate spatial and temporal scales to effectively determine the impacts of climate change in Swaziland.

1.4.4.4 Individual Capacity

Individual capacity is central to successful realisation of the provisions of the UN FCCC. Capacity requirements therefore need to address human resources management, such as career progression and security of tenure, providing opportunities for accessing training, networking opportunities and ensuring career progression. Security of tenure applies to government, academics, local consultants and practitioners.

The specialised skills required to address issues of climate change, and the limited availability of these may be the result of “brain drain”. Measures, such as appropriate incentives, skills refreshment programmes, career progression, are needed to ensure that such staff are retained.

Climate change issues need to be included in school curriculum and further developed at tertiary institutions.

Individuals with responsibilities under the UN FCCC require clearly defined mandates and job descriptions with associated responsibilities for incumbents. This will afford a sense of empowerment and ownership and engender greater responsibility

1.4.5 Thematic Assessment of the UN CCD

1.4.5.1 Introduction

The objective of the United Nations Convention to Combat Desertification (UN CCD) is “*to combat desertification and mitigate the effects of drought in countries experiencing serious drought and/or desertification*”. Under the UN CCD, desertification refers to “*land degradation in arid, semi-arid and dry sub-humid areas resulting from various factors, including climatic variations and human activities*”. These areas are particularly vulnerable to over-exploitation, inappropriate land-use, the effects of poverty, political instability, deforestation, overgrazing and poor irrigation practices. In combating desertification the Convention envisages “*activities which are part of the integrated development of land in arid, semi-arid and dry sub-humid areas for sustainable development which are aimed at: (i) prevention and/or reduction of land degradation; (ii) rehabilitation of partly degraded land; and (iii) reclamation of desertified land.*”

Central to meeting the provisions of the Convention is the development and implementation of a National Action Programme to prevent land degradation, with a focus on public participation and assisting to local communities to help themselves in preventing and reversing the effects of degradation and drought. The Convention recognises that this objective will only be achieved “through effective action at all levels, supported by international cooperation and partnership arrangements, in the framework of an integrated approach which is consistent with Agenda 21, with a view to contributing to the achievement of sustainable development in affected areas”.

Adopted in June 1994, the UN CCD entered into force on 26 December 1996. Now with 191 signatories, of which 50 are African countries, the Convention recognizes the disparity that exists between member countries and specifically differentiates between the obligations of countries in different regions. These regions are Central and Eastern Europe, Africa, Asia, Latin America and Caribbean and the Northern Mediterranean. As signatories to the UN CCD, countries assume certain obligations to meet the overall objective of the Convention with priority consideration given to Africa. Specific commitments and obligations for African Contract Parties are deposited in the Convention and in the Regional Implementation Annex for Africa (RIAA).

Acknowledging the capacity constraints faced by many countries, Article 4 of the Convention requires that African contracting Parties undertake, in accordance with their respective capabilities, to:

- (a) adopt the combating of desertification and/or the mitigation of the effects of drought as a central strategy in their efforts to eradicate poverty;
- (b) promote regional cooperation and integration, in a spirit of solidarity and partnership based on mutual interest, in programmes and activities to combat desertification and/or mitigate the effects of drought;

- (c) rationalize and strengthen existing institutions concerned with desertification and drought and involve other existing institutions, as appropriate, in order to make them more effective and to ensure more efficient use of resources;
- (d) promote the exchange of information on appropriate technology, knowledge, know-how and practices between and among them; and
- (e) develop contingency plans for mitigating the effects of drought in areas degraded by desertification and/or drought.

In addition to these, and pursuant with the general and specific obligations set out in Articles 4 and 5 of the UN CCD, the Convention also requires affected African country Parties to aim to:

- (a) make appropriate financial allocations from their national budgets consistent with national conditions and capabilities and reflecting the new priority Africa has accorded to the phenomenon of desertification and/or drought;
- (b) sustain and strengthen reforms currently in progress toward greater decentralization and resource tenure as well as reinforce participation of local populations and communities; and
- (c) identify and mobilize new and additional national financial resources, and expand, as a matter of priority, existing national capabilities and facilities to mobilize domestic financial.

1.4.5.2 A Review of the findings of the UN CCD Thematic Assessment

While the UN CCD calls upon Parties to the Convention to undertake certain activities it should be acknowledged that none of these are enforceable. The UN Conventions all recognise differentiated abilities among signatories. The UN CCD is also more specific in articulating the requirements and expectations in certain areas. For example, the reporting requirements are clearly articulated, providing Parties with a standardised format for the preparation of National Action Plan (NAP). In other areas the UN CCD is less specific on what it requires from signatories. This in itself imposes certain constraints upon individual countries, particularly those with limited resources to apply to the specifics of the Convention.

Swaziland has demonstrated its commitment to the principles contained within the UN CCD. The institutional arrangements have been resolved and clearly defined. The MOAC Land Use Planning Section (LUPS) has incorporated responsibility for the UN CCD within its day-to-day responsibilities. The mandate of the Ministry is closely aligned to those of the UN CCD.

Reporting requirements under the Convention have been met and in doing so Swaziland has highlighted the presence of sufficient technical capacity in the area of land degradation. Most programmes still rely heavily on donor funding and the establishment of independent project offices. These are typically separate entities with separate offices, accounting and procurement procedures and resources. While often including project coordinators these projects usually have seconded government staff.

1.4.5.3 Systemic Capacity

Poverty and its attendant problems is one of the greatest factors undermining the realisation of sustainable land use management. Many of the provisions under the UN CCD require broad interventions at the systemic level. It was acknowledged that realisation of these often requires long time frames and successful implementation of national policies addressing broader issues, such as the overall performance of the national economy poverty alleviation improved land management.

The lack of synchronization of national policy, legal and regulatory frameworks leads to confusion between sectors and between national, regional and local levels. In order to achieve a level of harmonisation there needs to be an iterative process of implementation and access to policy making structures to ensure appropriate revisions following the review and evaluation of project subsequent to completion

Despite progress towards an integrated and holistic approach to environmentally sustainable development there still remains a need to ensure harmonisation and integration of legislation addressing sustainable and integrated land use management and tenure.

Political understanding and commitment to the principles of the UN CCD are needed to create an enabling environment. This process requires sensitisation of appropriate institutions and individuals.

Issues of land degradation, specifically commitments of the UN CCD, must “compete” with other pressing issues, such as HIV/AIDS and poverty alleviation. Although inter-related the political mechanisms often do not appreciate the linkages.

A comprehensive policy framework and the constitution provides an appropriate environment for engaging issues of sustainable development there is a lack of policy relating to development and implementation of incentive systems and market instruments to ensure the use of appropriate land use and technology.

There is a need to create a stronger enabling environment to support devolution of responsibilities to regional and community level structures.

Awareness among decisions policy makers, with the requisite political will and commitment is needed for a legislative framework that can accommodate and facilitate financial allocations from government budgets.

1.4.5.4 Organisational Capacity

Organisational Capacity refers to institutional levels, focusing on the overall performance and functional capabilities of an organisation, access to finances, information, technology, infrastructure and other resources, its organisational structure and its ability to adapt to change. Stakeholders acknowledged that Swaziland had made significant progress in revising and re-aligning the organisational framework and institutional arrangements in relation to land management.

The organisational responsibilities for the UN CCD in Swaziland are well defined.

Organisational commitment is undermined by a lack of financial resources, sufficient staff and time. Although nominated and accepting the role and responsibilities of Focal Point under the UN CCD the existing organisational framework does not make provisions for the additional responsibilities therein and there is a continued reliance upon external consultants and funding.

Implementation of the NAP requires commitment of time, staff and resources to administer and coordinate the process. Shifts in availability of funding will require necessary capacity to source and obtain alternative funding.

According to its members, the National Steering Committee functioned well during the initial phases, but problems have been in maintaining enthusiasm and commitment.

The relatively small geographic size of the country results in small organisations with limited staff and narrow management structures. This results in responsibility being vested in a few individuals with limited institutional memory or redundancy, with a single expert for a given department. This means that if that person is to leave they take with them all of the acquired knowledge and experience.

There is a need for a more clearly defined organisational mandate to ensure co-ordination, co-operation, integration and partnership between all stakeholders. This would also facilitate holistic planning and implementation of land degradation rehabilitation and mitigation programmes.

Centralised Information Management Systems need to be implemented and comprehensive to capture project successes and failures.

Institutional feed back mechanisms are required to build on information and lessons learned.

Individual institutions need clearly defined lines of responsibilities, mandates, mission statements and organisational visions and with corresponding levels and acknowledged accountability. The development of such capacity will in turn support negotiating skills within regional and international fora.

Explicit land use and land management policies and incentive measures to facilitate private ownership involvement and participation in national actions are required.

There is a need to stimulate and support national research initiatives that will strengthen the national position, enhance capacity and improve public awareness and communication.

Institutional investment is required in appropriate infrastructure to support research and monitoring measures to monitor and detect changes in the baseline condition.

Dedicated support is needed for a unit to effectively implement, collate, report and disseminate information on the UN CCD.

1.4.5.5 Individual Capacity

The relatively small geographic size of Swaziland affords the country many advantages in the identification, monitoring and management of land issues. It also means that the country has a limited capacity to support full-time employed professionals. It is therefore important to identify, develop and consolidate a critical mass of scientists and practitioners.

There is an acknowledged need for specialists, such as soil chemists, microbiologists, physicists, remote sensing and survey and land use planning. Development of regional linkages and programmes, with concomitant financial support from national structures would assist in enhancing the capacity and commitment as well as developing national research programmes.

Government has supported the development of staff through sponsoring of tertiary studies, often with assistance of external financial support through the institutions themselves or donor programmes. However, staff turnover is considered high with many staff soon leaving to take advantage of the better salaries within the private sector or neighbouring countries.

Swaziland has a strong cultural tradition with well defined, respected community structures. These provide clearly defined mechanisms and structures for engaging in national debate and national action.

Low levels of individual awareness and knowledge limit the ability for discussion, decision-making and action. This translates into an apparent unwillingness among community members and local resource users to participate in the design and implementation of projects.

Chieftaincy and land disputes have brought several land management programmes and rehabilitation projects to a standstill. Other issues with a lack of inter-community co-operation and community isolation have been problematic in the implementation of land management and rehabilitation programmes. These relate to broader social issues associated with communal land, lack of recognised and defined title and failure to properly engage communities in the development of projects.

There is a need to garner political support and commitment to ensure the land management issues are successfully addressed. This requires targeted awareness programmes aimed at senior government officials.

Lack of technical expertise among senior officials necessarily means briefing reports from Focal Points and delegates from the COP are non-technical and general in nature. Information from these meetings is technical in nature much has been lost through simplification. In turn, this can undermine the efforts of those responsible leading to low morale.

Focal Point lack the specific mandate included in their job descriptions covering day-to-day activities under the UN CCD. Constraints arise from the pressures of additional projects, reporting requirements and responding to communications with the UN CCD Secretariat, under the auspices of the UN CCD.

Stakeholders acknowledged that sufficient capacity exists at the individual level, with respect to the technical skills required to meet the national commitments under the UN CCD.

Many institutions experience bottlenecks and constraints due to the lack of clearly defined organisational structures at the lower levels of line ministries. Tasks and responsibilities additional to the normal day-to-day workings, and deployment outside of these, cause bottlenecks and ineffective utilisation of resources. Harmony between the mandate of the LUPS of the MOAC and the objectives of the UN CCD affords an opportunity unique to the UN CCD to capitalise on the units commitment and capacity through appropriate staffing requirements and ensuring sufficient resources.

Individuals need the requisite institutional framework and support mechanisms. This includes ensuring sufficient equipment and technology to facilitate monitoring as well as engagement of stakeholders.

Successful interventions are dependent upon sufficient capacity of individual community members in planning and implementation of rehabilitation.

1.5 Capacity development to implement global environmental conventions

1.5.1 Capacity Development Needs under the UN CBD

The objective of capacity development in terms of the UN CBD is *to identify national capacity constraints and priorities to meet binding commitments contained in the Rio Convention on Biological Diversity*. The use of a Logical Framework Analysis (LFA) provided a method for the synthesis of the review phase and the findings from the SWOT analysis. The LFA allowed these to be structured in a way that assisted the formulation of this action plan to ensure Swaziland has the capacity to meet its commitments to global environmental management.

Based on the findings of the SWOT analysis a number of specific outputs are required. These are expected products to be achieved through the mobilisation of selected strategic interventions. The outputs can also be seen as objectives. Achieving these outputs will ensure the realisation of the purpose of the NCSA; ensuring that

Swaziland has the capacity to meet its commitments to global environmental management under the UN Convention on Biological Diversity.

The outputs are as follows:

1.5.1.1 *The Kingdom of Swaziland with the institutional arrangements to facilitate its commitments and obligations under the UN CBD*

The SEA plays a central role in the management of biological diversity in Swaziland. The SEA is mandated with the National Focal Point responsible for the national commitments under the UN CBD. However, because the conservation and valuation of biodiversity has wide-ranging socio-economic, environmental and institutional effects, substantial collaboration between government departments is required. In addition, numerous other organisations in a number of different ministries also address the conservation and management of the national biological diversity, especially with the MNRE, SNTC, Department of Veterinary and Livestock Services and the Department of Agriculture, among others. While there is a need to improve institutional capacity, mobilizing existing institutional capacity will greatly improve Swaziland's ability to meet its UN CBD commitments.

The SWOT and analysis of constraints has highlighted the need to clearly articulate responsibilities and resolve discrepancies between organizational responsibilities and mandates. There is a need to facilitate co-ordination of planning and information-sharing between Government departments, NGOs, donors and research bodies to reduce duplication and maximise benefits derived from these collective efforts. This objective will be realized through the following activities:

- Review of institutional framework for conservation and sustainable use of biodiversity in Swaziland, including the review and definition of organisational mandates, mission statements, responsibilities etc.
- A central clearing house for the collation and dissemination of information.
- Establishment of a repository for information management.

The creation of a repository or coordinating unit for administration and management of the national commitments under the UN Conventions would provide a point of contact. Although the creation of additional structures should be considered with caution, innovative approaches could be utilized. The repository, supported by existing staff within the SEA, for example, could coordinate the activities of all UN Focal Points and establish a technical network to be utilized for all Convention activities. The repository could collate and track progress relating to relevant policies, projects and legislation.

1.5.1.2 *The Kingdom of Swaziland with the capacity to meet its Reporting Requirements under the UN CBD*

Swaziland has demonstrated its ability to meet its reporting commitments under the UN CBD. To date, this has been supported through donors and primarily facilitated by a network of consultants. Increasing reporting autonomy and sustainability of reporting measures will strengthen Swaziland's reporting capacity. This output will be served by the following activities:

- Preparation of quarterly reports by Focal Points. These should detail activities relating to the UN CBD, progress on legislative measures, policy development, stakeholder engagement and other activities. This will assist in preparing reports for the COP.
- Utilization of COP standardized reporting format for UN CBD obligations.
- Development of an appropriate information management system for tracking project progress, stakeholder activities, policy measures etc.
- Inclusion of allocations under the NEF to cover the time and cost of reporting on the UN CBD.

1.5.1.3 *The Kingdom of Swaziland with a Policy and Legislative framework to support and fully realize the ideals and intentions of the UN CBD*

The policy and legislative framework is an evolving body of legislation. Measures need to be put in place to ensure that this is constantly revised and updated. Furthermore, the Focal Point needs a mechanism to keep track of changes in the legislative environment that may be of specific relevance to the UN CBD and its reporting through the COP. Such revisions should be informed by the outcomes of specific projects. In order to achieve this, there need to be appropriate feedback and monitoring mechanisms. There is a specific need to develop and

incorporate economic instruments into the legislative framework that will promote sustainable use of biological diversity. This will be achieved through the following activities:

- Establishment of a coordinating unit mandated with monitoring, evaluation and feed-back into the legislative framework of UN CBD related activities.
- Development of appropriate legislation and economic instruments to promote the conservation and sustainable use of biological diversity.
- A central clearing house mechanism, specifically relating to the UN CBD. This should be developed in line with existing structures, capacitating them as required to ensure their operational efficiency.

1.5.1.4 *The Kingdom of Swaziland with the capacity to ensure Research and Monitoring of biological diversity and its sustainable use.*

Structures exist for the facilitation and coordination of research in Swaziland. These need to be capacitated to make them more effective in terms of providing leadership in areas of research. This would help to strengthen the information basis upon which to inform policy decisions and revisions. This will be dependant upon appropriate, sustained financing mechanisms and a coordinated focussed definition of the national priorities. Recognising this, the following activities will help to achieve this output:

- Coordination of research initiatives and development of a national research strategy.
- Enhancement, or re-launch, of the National Research Council.
- Funding commitments within the structure of the NEF for research into sustainable use and conservation of biodiversity.

1.5.1.5 *The Kingdom of Swaziland with a population aware of the value of biological diversity and various measures for ensuring its conservation, management and sustainable utilization*

Biological diversity is one of Swaziland most valuable national assets. This has long been recognised and is articulated through the legislative framework (see, for example, the Flora Protection Act, 2000, the Game Act, amended 1991, Swaziland National Trust Commission Act, 1973 etc.). Achieving successful conservation measures and levels of sustainable utilisation will only be feasible through the active involvement and engagement of stakeholders. Active public awareness programmes have been developed and implemented by government structures, and the institutional framework exists for the continuation of these. There is, however, a need for greater coordination of efforts and sustained financial and human capacity commitments. This will be achieved through the following activities:

- Designation of responsibility for public awareness activities using existing mechanisms in the job description of incumbents (within public sector).
- Development of quantifiable indicators for measuring job performance and productivity with respect to the above.
- Continuation of strengthening school curricula and adult education programmes for environmental conservation and sustainable use of biodiversity.
- Incorporation of indigenous knowledge in the above.
- Coordination of effective dissemination of information relevant to awareness raising and enhancing technical competence.
- Establishment of a clearing house mechanism under the auspices of the SEA to facilitate access to and dissemination of information.
- Promotion and empowerment of community action groups to enhance participation of communities in co-management initiatives.
- Promotion of a strategy that re-instigates and invigorates use of radio and other media in raising public awareness.
- Capture and use of salient points from environmental impact assessment reports.

1.5.1.6 *The Kingdom of Swaziland with the financial capacity to fulfil its obligations and commitments under the UN CBD*

In order to meet the financial requirements necessary for fulfilling UN CBD obligations, financial resources will be secured and maintained by the following activities:

- Specific line budget for implementation of activities under the UN CBD.
- Financing and funding manuals prepared by the Secretariat to assist stakeholders in accessing financial mechanisms in support of UN CBD related activities.
- Fund/s established to support activities under each of the Conventions.
- Financial instruments (for example, tax incentives to mobilise private sector, taxes on land clearing, rebates on translocation costs, subsidies on activities deemed “sustainable”, etc.).

1.5.1.7 *The Kingdom of Swaziland with the capacity to meet its obligations and commitments to global environmental management under the UN CBD*

Swaziland’s most valuable resource is its human capital. Measures are needed to ensure that Swaziland continues to develop appropriate capacity in strategic areas of need. In order to achieve, the nation must identify the root causes of capacity constraints. This output will be served by the following activities:

- Financial commitment from Government funds, donors and international sources toward implementation of recommendations.
- Development of a capacity enhancement programme, defined by clear objectives with specific monitoring and evaluation criteria.

1.5.2 Capacity Development Needs under the UN FCCC

The objective of capacity development in terms of the UN FCCC is to *identify national capacity constraints and priorities to meet binding commitments contained in the Rio Conventions on climate change*. The use of a Logical Framework Analysis (LFA) provided a method for the synthesis of the review phase and the findings from the SWOT analysis. The LFA allowed these to be structured in a way that assisted the NCSA Project Management Group in formulating this action plan to ensure Swaziland has the capacity to meet its commitments to global environmental management.

Based on the findings of the SWOT analysis a number of specific outputs are required. These are expected products to be achieved through the mobilisation of selected strategic interventions. The outputs can also be seen as objectives. Achieving these outputs will ensure the realisation of the purpose of the NCSA; ensuring that Swaziland has the capacity to meet its commitments to global environmental management under the UN Framework Convention on Climate Change.

The outputs are as follows:

1.5.2.1 *The Kingdom of Swaziland with the institutional arrangements to facilitate its commitments and obligations under the UN FCCC*

The NMS in the MPWT plays a central role in meteorological monitoring in Swaziland and has been mandated as the National Focal Point responsible for the national commitments under the UN FCC. However, substantial collaboration between all government departments is required, especially with the MOAC and departments in the MNRE and SEA. The location of the NMS reflects its historical role providing meteorological data largely for aviation purposes and for agriculture. The organisations linkage with broader environmental issues needs to be strengthened.

The SWOT analysis of constraints has highlighted a need to clearly articulate responsibilities and resolve discrepancies between organizational responsibilities and mandates. There is a need to facilitate co-ordination of planning and information sharing between Government departments, NGOs, donors and research bodies to reduce duplication and maximise benefits derived from these collective efforts. This objective will be realized through the following activities:

- Review of organisational mandates, mission statements.
- Develop a climate change adaptation policy and legislative framework.
- Critical institutional assessment for the increasing role of the NMS in broader environmental monitoring.

- Integration of specific time allocations into the daily job description and responsibilities of Focal Points.
- Harmonisation of institutional responsibilities.
- Broadening mandate of NMS to incorporate wider range of monitoring functions.
- A central clearing house mechanism for the collation and dissemination of information.

1.5.2.2 *The Kingdom of Swaziland with the capacity to meet its reporting requirements under the UN FCCC*

Swaziland has demonstrated its ability to meet its commitments under the UN CCD. To date this has been supported through donors and facilitated by national stakeholders with facilitation of consultants. In strengthening the national capacity, activities will be focused on increasing autonomy and sustainability of reporting measures. In relation to the UN FCCC reporting measures need to be closely linked with and informed by research development. The lack of appropriate models and verification of regional models could be undermining the efficacy of reported estimates of emissions. Reporting measures are also hampered by the magnitude of the task with it necessary to monitor, collate reported analyse data from a large number of institutions. This output will be served by the following activities:

- Standardization of broad monitoring framework to facilitate reporting from all institutions contributing to green house gas emission.
- Preparation of quarterly reports by Focal Points. These should detail activities undertaken relating to the UN FCCC, update progress on legislative measures, policy development, stakeholder engagement and other activities. This will assist in preparing reports for the COP and distribution among stakeholders.
- Development of standardised formatting for reporting by the Focal Point.
- Development of an appropriate information management system for collating emissions data, tracking and collating project progress, stakeholder activities, policy measures etc.

1.5.2.3 *The Kingdom of Swaziland with a policy and legislative framework to support and fully realize the ideals and intentions of the UN FCCC*

The policy and legislative framework is an evolving body of legislation. Measures need to be put in place to ensure that this is constantly revised and updated. Furthermore the Focal Point needs a mechanism to keep track of changes in the legislative environment that may be of specific relevance to the UN FCCC and its reporting through the COP. Given the implications and opportunities under the provisions of the UN FCCC, and more recently the Kyoto Protocol, a number of opportunities exists if the country is able to adapt its policy environment and create the proper incentive mechanisms and framework to benefit from the instruments of the Convention. This will be achieved through the following activities:

- Review document outlining development opportunities under the provisions of the UN FCCC and Kyoto Protocols.
- Development of a manual for facilitating NGO, private industry and other stakeholder access and involvement in the financial incentive mechanisms of the UN FCCC and its instruments.
- Workshops on policy implications and opportunities under the UN FCCC and its instruments.
- A central clearing house mechanism for government, specifically relating to the UN FCCC. This could be and should be developed in line with existing structures, capacitating them as required to ensure their operational efficiency.

1.5.2.4 *The Kingdom of Swaziland with the capacity to ensure research and monitoring in the area of climate change, mitigation and adaptation*

While structures for facilitating and coordinating research exist in Swaziland these are not focussed around issues of climate change. The NMS has an extensive network of traditional meteorological stations recording climatic and agro-climatic data. The structure and function of the NMS is not geared toward measuring and monitoring of green house gas emissions. Climatic data can be used to observe and extrapolate for the purpose of prediction changes in climate, but the current infrastructure does not have the capacity to monitor emissions. Development of such monitoring capabilities would facilitate access to financial instruments under the Convention and assist in strengthening the information basis upon which to inform policy decisions and revisions. This will be achieved through the following activities:

- Enhancement, or re-launch, of the National Research Council.

- Development of a monitoring and research strategy for the NMS to address changing needs.
- Standardization of monitoring requirements and format to facilitate private sector participation in monitoring and reporting activities.
- Provision of funding for research into climate change and greenhouse gas emissions through the NEF and adaptation strategy for Swaziland.
- Development of long term natural resource research programmes to develop appropriate data sets suitable to the national condition.
- Support training of specialists in modelling, ecological economics and negotiation skills.
- Test the appropriateness of models and standard factors used in determination of emissions and carbon loads.

1.5.2.5 *The Kingdom of Swaziland with a population fully aware of the causes and implications of climate change as well as mechanisms to mitigate and minimize impacts*

The effects of climate change affect us all and most people have a basic level of understanding of the changing weather condition through experience. The causes of climate change need to be addressed through programmes targeting awareness of government and industry. This will be achieved through the following activities:

- Senior government workshops and briefing documents.
- Stakeholder workshops to explain development opportunities under the UN FCCC instruments and the underlying causes – government and industry.
- Promotion and incentives to encourage the development of alternative energy sources.
- Include regular reporting of levels of greenhouse gas on news and weather inserts.

1.5.2.6 *The Kingdom of Swaziland with the financial capacity to fulfil its obligations and commitments under the UN FCCC*

This output will be served by activities mobilization and commitment of financial resources adequate to sustain activities in-line with the commitments assumed by the UN Conventions and in the realization of sustainable development objectives. This will be achieved through the following activities:

- Specific line budget for implementation of activities under the UN FCCC.
- Financing and funding manuals prepared by the Secretariat to assist stakeholders in accessing financial mechanisms in support of UN FCCC related activities.
- Provisions within the NEF to support activities under the Convention.
- Formulation of financial incentives e.g. tax measures, subsidies etc to mobilise the private sector.
- Financial incentives for development of sustainable alternative sources of energy.

1.5.2.7 *The Kingdom of Swaziland with the capacity to meets its obligations and commitments to global environmental management under the UN FCCC*

Swaziland's most valuable resource is its human capital. The highly specialized nature of issues around climate change makes it unlikely that a country the size of Swaziland could support a critical mass of expertise. It is important to draw on regional expertise and to ensure the transfer of knowledge to local structures. Existing capacity in atypical areas needs to be identified, such as modelling under other agencies or organizations that could be applied to climate change issues. Measures are needed to ensure that Swaziland continues to develop appropriate capacity in strategic areas of need. In order to achieve this there is a need to acknowledge beyond identifying the problems to addressing the root cause of these problems. This will be achieved through the following activities:

- Establish Public-Private partnerships.
- Training or recruitment of natural resource economists.
- Development of a capacity enhancement programme, defined by clear objectives with specific monitoring and evaluation criteria.

1.5.3 Capacity Development Needs under the UN CCD

The objective of capacity development in terms of the UN CCD is to *identify national capacity constraints and priorities to meet binding commitments contained in the Rio Conventions on desertification*. The use of a Logical Framework Analysis (LFA) provided a method for the synthesis of the review phase and the findings from the SWOT analysis. The LFA allowed these to be structured in a way that assisted the NCSA Project Management Group in formulating this action plan to ensure Swaziland has the capacity to meet its commitments to global environmental management.

Based on the findings of the SWOT analysis a number of specific outputs are required. These are expected products to be achieved through the mobilisation of selected strategic interventions. The outputs can also be seen as objectives. Achieving these outputs will ensure the realisation of the purpose of the NCSA; ensuring that Swaziland has the capacity to meet its commitments to global environmental management under the UN Convention on Desertification.

The outputs are as follows:

1.5.3.1 The Kingdom of Swaziland with the institutional arrangements to facilitate its commitments and obligations under the UN CCD

The LUPS in the MOAC plays a central role in land management and degradation issues in Swaziland and has been mandated with the Focal Point responsible for the national commitments under the UN CCD. However, substantial collaboration between all government departments is required, especially with the Department of Veterinary and Livestock Services, the Department of Agriculture, the land related departments in the MNRE and the SEA. The capacity exists within the MOAC to facilitate activities and realize the objectives of the UN CCD under its normal operations and activities. Indeed, the objectives of the UN CCD are closely aligned with the ministries own mandate and objectives.

The SWOT and analysis of constraints has highlighted a need to clearly articulate responsibilities and resolve discrepancies between organizational responsibilities and mandates. There is a need to facilitate co-ordination of planning and information sharing between Government departments, NGOs, donors and research bodies to reduce duplication and maximise benefits derived from these collective efforts. This objective will be realized through the following activities:

- Review and articulation of organisational mandates, mission statements.
- Integration of specific reference into the job descriptions of Focal Points.
- Establishment of clearing house mechanism for the collation and dissemination of information relating to the UN CCD.

The creation of a coordinating unit for administration and management of the national commitments under the UN Conventions would provide a point of contact. Although the creation of additional structures should be considered with caution, innovative approaches could be pursued. The unit could function as a “virtual office” to which Focal Points spend a short period. Existing SEA administrative staff, e.g. the Information Officer, could provide essential support to the unit. This would free up time for the Focal Points and would also provide accessible technical resources to collate and track progress relating to relevant policies, projects and legislation. It is important that any such structure is able to reach the grassroots level which is a fundamental part of the UN CCD.

1.5.3.2 The Kingdom of Swaziland with the capacity to meet its reporting requirements under the UN CCD

Swaziland has demonstrated its ability to meet its reporting commitments under the UN CCD. To date this has been supported through donors and facilitated by national stakeholders. In strengthening the national capacity activities will be focused on increasing autonomy and sustainability of reporting measures. This output will be served by the following activities:

- Preparation and distribution of quarterly reports by Focal Points. These should detail activities undertaken relating to the UN CCD, update progress on legislative measures, policy development, stakeholder engagement and other activities. This will assist in preparing reports for the COP.
- Development of standardised formatting for local reporting.
- Development of an appropriate information management system for tracking project progress, stakeholder activities, policy measures etc.

1.5.3.3 *The Kingdom of Swaziland with a policy and legislative framework to support and fully realize the ideals and intentions of the UN CCD*

The policy and legislative framework is an evolving body of legislation. Measures need to be put in place to ensure that this is constantly revised and updated. Furthermore the Focal Point needs a mechanism to keep track of changes in the legislative environment that may be of specific relevance to the UN CCD and its reporting through the COP. Such revisions should be informed by the outcomes of specific projects. In order to achieve this there need to be appropriate feedback and monitoring mechanisms. This will be achieved through the following activities:

- Establishment of a coordinating unit mandated with monitoring, evaluation and feedback into the legislative framework of UN CCD related activities.
- A clearing house specifically relating to the Convention. This could be and should be developed in line with existing structures, capacitating them as required to ensure their operational efficiency.
- Act as a clearing house for fund raising activities.

1.5.3.4 *The Kingdom of Swaziland with the capacity to ensure research and monitoring in the area of land degradation, mitigation and rehabilitation*

Structures exist for the facilitation and coordination of research in Swaziland. These need to be capacitated to make them more effective in terms of providing leadership in areas of research. This would help to strengthen the information basis upon which to inform policy decisions and revisions. This will be dependant upon appropriate, sustained financing mechanisms and a coordinated focussed definition of the national priorities. This will be achieved through the following activities:

- Finalization of research strategy into land management and degradation rehabilitation and mitigation measures.
- Enhancement, or re-launch, of the National Research Council.
- Provision of funding for research into land degradation through the NEF enhancing and capacitating communities to implement local activities to combat land degradation.
- Suitable course modules on soil and water conservation at the Tinkhundla centres and chiefdoms implemented by extension officers and approved third parties.

1.5.3.5 *The Kingdom of Swaziland with a population fully aware of the causes and implications of land degradation as well as the appropriate rehabilitation and mitigation measures*

The effects of land degradation are increasingly manifesting across Swaziland resulting in increasing recognition among communities about the effects of drought and land degradation. There exists a certain level of awareness among communities, facilitated by government and NGO programmes. There needs to be a coordinated effort at disseminating information with the aim of increasing awareness. This should be structured around information pertaining to the causes of land degradation but more importantly appropriate technologies to mitigate and rehabilitate the effects of land degradation. This will be achieved through the following activities:

- Strengthening school curricula, tertiary education and adult education programmes for environmental protection and land management planning.
- Coordination of effective dissemination of information relevant to awareness raising and enhancing technical competence.
- NGO/CBO stakeholder analysis, in order to clearly identify all stakeholders, with emphasis on the rural local institutions.
- Establishment of a clearing house mechanism under the auspices of the SEA to facilitate the dissemination of information.
- Capacity building of communities, NGOs and other implementing agencies through technical workshops and practical training.
- Promotion and empowerment of community action groups to enhance participation in community planning and decision making.

- Promotion of the interaction and coordination between all stakeholders, in particular at Tinkhundla and community levels.
- Promotion strategy that re-instigates and invigorates use of radio and other media.
- Identify key land users such as Tibiyo, communities and private land owners and ensure their involvement in planning, implementing and monitoring of land management programmes.

1.5.3.6 *The Kingdom of Swaziland with the financial capacity to fulfil its obligations and commitments under the UN CCD*

This output will be served by activities mobilisation and commitment of financial resources adequate to sustain activities in-line with the commitments assumed by the UN Conventions and in the realisation of sustainable development objectives. This will be achieved through the following activities:

- Specific line budget for implementation of activities under the UN CCD.
- Financing and funding manuals prepared by the Secretariat to assist stakeholders in accessing financial mechanisms in support of UN CCD related activities.
- Fund/s established to support activities under each of the Conventions.
- Financial mechanisms e.g. tax incentives to mobilise private sector.
- Financial incentives for development of sustainable rural projects.

1.5.3.7 *The Kingdom of Swaziland with the capacity to meets its obligations and commitments to global environmental management under the UN CCD*

Swaziland's most valuable resource is its human capital. Measures are needed to ensure that Swaziland continues to develop appropriate capacity in strategic areas of need. In order to achieve this there is a need to acknowledge beyond identifying the problems to addressing the root cause of these problems. This output will be served by the following activities:

- Financial commitment toward implementation of recommendations to meet convention obligations.
- Development of a capacity enhancement programme, defined by clear objectives with specific monitoring and evaluation criteria.

1.6 Assessment of Cross-Cutting Capacity Constraints

Based on the findings of the SWOT a series of over-lapping weaknesses have been identified. Many of the individual issues identified during the Thematic Assessment are common to all three of the UN Conventions. This reflects the inter-related nature of the natural environment and the synergistic cross-cutting approaches envisaged through holistic environmental management measures. According to the findings from the Thematic Assessments, stakeholder engagement and the assessment of cross-cutting issues, key cross-cutting weaknesses were identified. These are viewed as the primary constraints affecting Swaziland's overall capacity to meet the obligations required by its commitment to the UN Conventions.

The following section provides describes the priority capacity constraints, barriers or opportunities based on the SWOT analyses. Consideration is given to individual, institutional/organisational and systemic levels of capacity.

1.7 Priority capacity constraints, barriers or opportunities

The Thematic Assessments and the Cross-cutting Assessment identified some common constraints for the implementation of the three Rio Conventions.

1.7.1 Lack of Definition of Convention Requirements

There are a number of capacity constraints impinging upon Swaziland's ability to meet its obligations under the UN Conventions. These relate, among others, to financial and human resources and time. These have been discussed in detail above and are given further consideration herein. One of the key weaknesses relates to the expectations of the Conventions themselves. The text of the Conventions broadly outlines certain non-binding obligations and commitments upon Parties to the Conventions. Where these have been clearly articulated into

tangible, deliverable products Swaziland has largely been successful in meeting these e.g. reporting requirements and legislative measures.

In providing clearly defined expectations in terms of frequency of reporting, format, content and approach to preparation of Reports the UN Conventions have provided the framework to prepare proposals for specific funding, identify and access existing capacity within the country or determine the need to import expertise. Staff who are otherwise over-committed in terms of time constraints can focus on specific objectives that are easily measured with respect to progress.

In contrast, more abstract, intangible obligations and commitments contained within the UN Conventions, such as the need to ensure public participation and sharing of information or training and education, are more difficult. While there is need for improvement there are numerous initiatives addressing these issues. Many are project specific and relating to counterpart training through experiential learning, or broader consultative measures. It is difficult for Focal Points and those responsible for ensuring the obligations and commitments contained within the UN Conventions are met to determine exactly what is required in this respect without a clearly defined, objective orientated approach. As a result many initiatives and undertakings go un-reported.

In the report published in 2004 prepared by Jerry Velasquez of the United Nations University entitled "Key Linkages among the Rio+ Conventions" linkages among UN FCCC, UN CBD and UN CCD Conventions on Capacity Building were explored in detail and this publication provides a comprehensive overview of these linkages.

There is a need for the UN Conventions to more clearly articulate requirements with respect to the obligations and commitments. Doing so will allow the organisational levels to position themselves with the necessary capacity to meet these obligations and commitments. For example, establish reporting frameworks that provide clearly measurable indicators of the level of public participation. At the individual level, those working at the interface of public awareness and participation initiatives will be empowered to determine the level of participation, the success of participatory measures and in doing so provide the basis for adaptive management measures to ensure that participation is effective.

1.7.2 Lack of Appropriate Mandates

A lack of properly defined institutional and individual mandates, associated with poorly defined responsibilities in relation to the national obligations and commitments of the UN Conventions undermine existing capacity.

The SEA has been mandated with the national responsibilities and has delegated responsibility of individual conventions to Focal Points. The responsibilities and powers associated with such delegation need to be clearly articulate if these are to be effective. The institutions within which these Focal Points reside need to have appropriately defined institutional mandates with respect to the UN Conventions and the job descriptions of the individuals responsible for the national obligations and commitments clearly articulated. These should be associated with clearly defined objectives and performance related targets derived from obligations and commitments outlined in the UN Conventions.

The SEA has incorporated such allocations of responsibility, linked with specific time allocation, in its new business plan. However, a review of these reveals that time allocations are not considered sufficient to ensure effective coordination and harmonisation of the national undertaking with respect to the obligations and commitments outlined in the UN Conventions.

Clear definition of mandates and responsibilities will ensure that these are translated into appropriate time allocations, which in turn need to be supported through appropriate budget allocations and coordination of activities across the three Conventions.

1.7.3 National Policy Linkages

There is a need to strengthen policy linkages with institutions in order to create effective and functional support networks. Swaziland has a large body of legislation addressing issues covered under the UN Conventions, e.g. laws on environmental management (Environmental Management Act, 2002 Flora Protection Act, 2000), policies encompassing environmental management, e.g. the Agriculture Policy, 2005.

There is not however, and program of integration through detailed review and harmonisation. The National Development Strategy prepared in 1996 has led to the articulation of numerous individual policies and although the NDS is envisaged as an integrated approach there remains a need to cross-reference and harmonise these.

It should be noted that none of the UN Conventions have had developed a specific policy or action plan. At best elements are covered in other sectoral policies.

Stakeholder commitment and broad government support will only come about through properly structured linkages that engender a sense of ownership and responsibility. This should be linked with detailing the appropriate mandates and responsibilities, cross-sectoral structures to facilitate integration and cooperation.

1.7.4 Information Collation and Dissemination

A large amount of information pertaining to the UN Conventions and arising from activities and interventions undertaken in fulfilment of the national obligations and commitments exists. This information is derived from numerous studies each including its own specific recommendations and data. This information is not currently used to maximum efficiency due to lack of awareness and access by Focal points and other stakeholders. This can be attributed to poor dissemination of information about Focal Point activities and related activities by NGOs and others, limited availability of time to search for such information and no formalised system to capture and store relevant information, networking amongst stakeholders to share experiences which could be alleviated to some extent through the development of a centralised information management system or coordinating unit.

The development of a centralised information management system or clearing house mechanism would maximise the benefits derived from individual studies, alleviate time constraints spent searching and reviewing documents and provide the foundations for a standard approach to reporting. This would also facilitate more streamlined and accessible feedback mechanisms.

Such a system also enables the user to capture information in such a way to facilitate subsequent analyses. This would enable the GOS to track the development of skills within government departments as opposed to the reliance upon consultants, to look in more detail at the national skills base and its utilisation as well as identifying synergies among projects.

1.7.5 Reporting Mechanisms

The reporting requirements of the UN Conventions are clearly articulated. As a result national obligations and commitments to prepare reports have largely been met. These measures have been achieved mainly through the use of consultants and financial support through the respective secretariats and UN agencies.

The volume and range of information requiring review in preparation for the preparation and submission of national reports becomes cumbersome and as a result expensive in terms of time and effort. Relevant or useful information is 'lost' or overlooked reducing the completeness of reports. A standardised reporting framework associated with more frequent reporting periods would assist the Focal Points in summarising and reporting on the various projects undertake with relevance to the UN Conventions. This would assist in developing and maintaining a central clearing house mechanism or information management system.

1.7.6 Feedback Mechanisms

Limited human resources, time constraints and appropriate methods and mechanisms to facilitate feedback all limit the experiential learning from activities. Lack of ready access to project or Convention related documentation also constrains the ability to learn from previous efforts. Feedback mechanisms are required that provide opportunities and mechanisms for incorporating lessons learnt from previous experiences during project implementation.

Efforts to raise public awareness and engage stakeholders in decision-making have often been short lived. There is no formalised feedback mechanism, e.g. newsletters, website, meetings, etc. to which stakeholders can participate and learn.

1.7.7 Access to Financial Resources and Technical Support

Access to financial resources are typically cited as one of biggest constraints to meeting the obligations and commitments of the UN Conventions. Often the weakness lies not only in the availability of financial resources, but more so in identifying or accessing existing sources of funding or generating new sources of funding. This is variously related to time constraints as well as individual and institutional knowledge. Perceptions of priority and importance in comparison to other national agendas also impact upon the allocation of available funds. This in turn relates to levels of awareness and political support.

As a result of these constraints there is an acknowledged need not only to secure financial support but to facilitate institutions and individuals in identifying and accessing funding. Levels of awareness around issues arising from land degradation, loss of biodiversity and climatic change need to be increased, coupled with

political support. These need to draw on the inter-linkages between these issues and the broader national priorities.

Mechanisms need to be developed to enable staff and organisations to readily access technical specialised support and training. For many stakeholders, the lack of a clear mechanism to access technical support for specific activities, results in such activities performing poorly or not at all. Workshops to facilitate training in this respect and manuals should be developed and disbursed.

1.7.8 National Environment Fund (NEF)

Having long acknowledged financial resources as a key constraint in relation to activities envisaged under the UN Conventions, the GOS has established a National Environment Fund under the Environmental Management Act of 2002.

The general objects of the Fund are:

1. to aggregate funds from different sources to ensure sustainable funding for programmes, projects and activities that provide for and promote the protection, conservation and enhancement of the environment and the sustainable management of natural resources;
2. to provide financial support for activities aimed at the enhancement, protection and conservation of the environment and the sustainable management of natural resources and supporting community participation in these activities; and
3. to enhance and restore the environment of Swaziland.

The failure to enact the provisions in the Act relating to the NEF can have detrimental effects in resource mobilisation. The GOS have injected some E4.5 million (US\$0.5 million) into the NEF but the modalities to operationalise the disbursement of funds are still outstanding.

1.7.9 Institutional Knowledge and Redundancy

Limited human resource capacity due to the geographic size of Swaziland results in little institutional or human resource redundancy and a limited pool of institutional knowledge. Given the rate of change in issues of environmental management there is a need to increase existing levels. This is unlikely to be achieved through increasing human resources due to limited capacity to absorb additional staff and the financial resources required to do so. Alternative mechanisms need to be pursued. These could be facilitated through the development of the information management system. Training processes and mentoring will improve the existing situation. Increasing the number of delegates to the COP combined with training in negotiations skills to better engage in debates at COP will also facilitate in developing greater institutional knowledge through report backs.

1.7.10 Capacity Enhancement / Mobilisation

Throughout the process of assessment it was found that Swaziland possesses sufficient capacity to meet many of its obligations and commitments outlined in the UN Conventions. However, for highly specialised fields of expertise the country depends on regional capacity. There is an urgent need to enhance and mobilise existing local capacity in specialised areas, e.g. biotechnology. Measures could include empowering people with appropriate mandates and responsibilities, training, networking in international fora.

A human resource development strategy needs to be clearly articulated in order to strengthen motivation, improve management functionality and increasing understanding of the value and significance of environmental management.

1.7.11 Research Framework / Strategy

Central to understanding processes of environmental change and management is information on the natural environment. The relatively small geographic size of Swaziland should mean that the development of a comprehensive, national monitoring framework is relatively simple to achieve. Some sectors, e.g. water, have developed comprehensive networks for monitoring however these lack integration and do not fit within an integrated national framework.

Research is not currently structured or supported through a central coordinating body, although this does exist. There is an urgent need to develop a national research strategy, to enhance and effect management of a national coordinating structure and provide necessary support, financially and technically, for researchers and demand-

led research. Strategic partnerships should be developed among national institutions and individuals as well as broader regional and international frameworks.

The Declaration of the First NEPAD Ministerial Conference on Science and Technology adopted on 7th November 2003, governments made a commitment to pursue all measures possible to increase public expenditure on research and development to at least 1 per cent of GDP per annum.

1.7.12 Integrated Approach to Conventions

The cross-cutting nature of the issues covered by the UN Conventions, along with the obligations and commitments contained therein, require strong inter-sectoral linkages. In order to be successful these need to be coordinated through the SEA. To fulfil this role the SEA needs to dedicate resources – staff, time and funds, to properly guide project implementation, integration and monitoring. Coordination and integration require the commitment of time. An information management systems and or clearing house will serve monitoring and reporting purposes and present a framework for integration.

To facilitate integration across sectors, the Environmental Management Act calls for each Ministry to prepare an Environmental Management Strategy and submitted to the SEA for approval.

Each Environmental Management Strategy is expected to cover the following:

1. a description of the principal effects that the activities regulated by the Government Ministry have or may have on the environment and the sustainable management of natural resources;
2. a description of the principal effects that the activities of the Government Ministry have or may have on the environment and the sustainable management of natural resources;
3. a statement of the objectives of the Strategy, which shall be designed to further the achievement of the purpose of this Act and the National Environmental Action Plan; and
4. a description of the practical measures that the Government Ministry will take to give effect to the purpose and the principles, and to ensure that it exercises its functions in a way that helps to achieve the objectives of the Strategy.

Each Ministry is expected to review its Environmental Management Strategy at least once every three years and shall publish a report on that review in a Gazette.

1.7.13 Levels of Awareness and Participation

A key weakness is the current levels of awareness and participation amongst many stakeholders in relation to the obligations within each of the UN Conventions. There exists general levels of awareness around the broader issues of environmental management (specifically through the wide use of the environmental laws and EIA), however awareness around obligations and commitments outlined in the UN Conventions are not properly known or understood. Increased awareness would lead to a more focused strategy that would increase participation of stakeholders. This can be achieved through demonstrating the relevance of the obligations and commitments to livelihoods, human well-being and national prosperity through clearly articulate summaries of the provisions of the Conventions and the linkages that exist.

Public awareness and participation in decision-making processes are among the most important commitments under the Conventions. These commitments are stipulated in the corresponding articles of conventions relating to education, personnel training and public awareness:

- Article 6 of the FCCC
- Article 13 of the CBD
- Article 19 of the CCD

1.7.14 Lack of Training and Information Materials

To improve levels of awareness, education and participation there is a need to develop appropriate training or information materials to inform, education and share information with stakeholders (communities, politicians, practioners, private sector, government departments). The Secretariats have prepared information to facilitate this process, but this is often technical in nature and of generic global relevance. Information officers should be mandated with the responsibility of canvassing practioners to contextualise these within the national framework.

Material should be of such a nature that it can be integrated into cross-sectoral policies, developed further into school curricula, taken up by NGOs and integrated into their programmes and used by government officials to increase awareness.

1.7.15 Media Utilisation

Successful realisation of the UN Conventions requires a good level of awareness and appreciation among all stakeholders. Swaziland has previously acknowledged the need to improve utilisation of the media to facilitate increased awareness and has undertaken several awareness exercises. However, there is a need to develop more comprehensive and objective orientated programmes. These should be aimed at developing themes and integrating issues of environmental management within the national context. These initiatives need to be integrated with other sectoral programmes, such as the National Environmental Education Programme (NEEP) and traditional structures, such as the Tinkhundla system, and through NGOs and government initiatives.

1.8 Description of resource mobilisation requirements

Financial and non-financial resources are urgently required to fully realise the objectives of the three Rio Conventions. As a result of Swaziland's development status as a middle-income country with pressing social, economic and environmental demands, budgetary allocations to fulfil the obligations and commitments of the Rio Conventions are always in short supply.

Reliance on international partners to primarily provide financial resources to undertake essential studies and activities remains a high priority.

As a signatory to the Rio Conventions, Swaziland does have access to the financial mechanisms established for each Convention and has on many occasions received such funds.

To implement this CDAP, it is likely that, in the foreseeable future at least, reliance on these financial mechanisms will remain though efforts by Focal Points to access scarce national financial resources will continue.

The establishment of the National Environment Fund (NEF) with seed funding by the GOS of E4.5m and administered by the SEA will provide an alternative source of financial support. However, the modalities of disbursing the NEF have still to be worked out and the current reserves of the fund will be insufficient for many of the activities identified in this CDAP. Additional financing mechanisms will have to be identified and sourced to fully realise the implementation of this CDAP.

The primary source of international funding for the implementation of the UN CBD, UN FCCC and the UN CCD remains the Global Environment Facility which has supported numerous activities over the past five years or so. Other potential sources of funding exist but the modalities of identifying and applying remain largely unclear and with the Focal Point's limited availability of time to dedicate to this activity as a result of their primary duties as government officers, sourcing funding remains limited.

National efforts to identify funding for various other projects and activities rests with the MEPD and their External Assistance Unit. This unit has had mixed success in sourcing funds but its major constraint is that its staffing level remains inadequate and its skill base to source funding and apply for funds through proposal writing, remains limited. The Focal Point's would benefit greatly from closer collaboration with this Unit.

1.9 Institutional arrangements for the Action Plan

The implementation of CDAP will be carried out using several steering committees coordinated by the Environmental Conventions Coordination Unit (ECCU).

One of the key steps in realising the implementation of the obligations and commitments arising from the Rio Conventions is the establishment of the ECCU. This unit consists of the three Focal Points (though could expand to include Focal Points for other related Conventions or Protocols, e.g. the Cartagena Protocol on Biosafety), an Information Officer (already in existence within the SEA) and supported by a technical advisory group.

The CDAP has at its core six focal areas:

1. Institutional strengthening
2. Policy and legislative strengthening
3. Research, development and monitoring

4. Awareness raising
5. Financial sustainability strengthening
6. Stakeholder capacity strengthening

These six focal areas would be implemented through cross-sectoral steering committees with members drawn from all sectors of civil and public society. The various committees would periodically report to the ECCU and the steering committees of each Convention on a schedule to be determined by the ECCU once it is established.

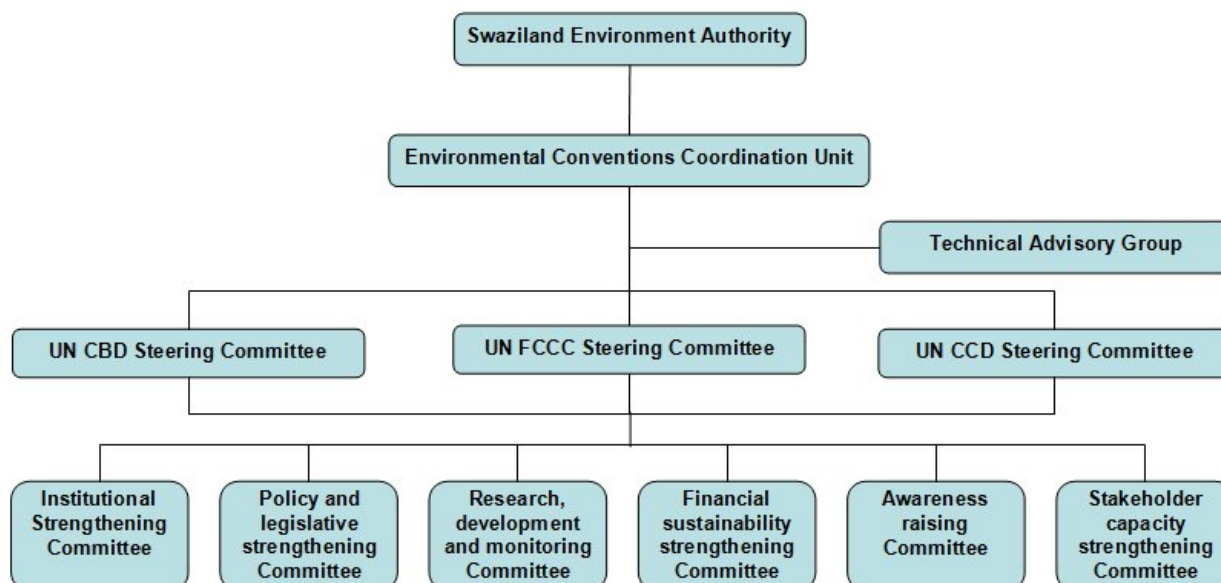


Figure 1 Proposed organisational arrangement for implementation of CDAP

1.10 National Priorities for Implementing the Rio Conventions

National priorities for the implementation of the Rio Conventions are very well articulated in their respective action plans and strategies or under development.

Under the UN CBD, a Biodiversity Strategy and Action Plan was prepared in 1999 but remains in draft pending Cabinet approval.

Under the UN CCD, a National Action Plan was prepared in 1999 and revised in 2002. However, full implementation has not taken place due primarily to a lack of financial resources.

Under the UN FCCC, no action plan or strategy has been prepared however, the Initial National Communication was prepared in 2002 with the second under preparation (2005). The Focal Point is currently sourcing funds to prepare a climate change adaptation strategy whilst preparing a Stock-take Assessment.

1.11 Institutional arrangements for the Conventions

In acknowledging the need to ensure preventative and protective measures to ensure sustainable development the Government of Swaziland has signed and ratified all three of the UN Rio Conventions.

The signature of international agreements is undertaken through the Ministry of Foreign Affairs and Trade. Implementation of the commitments and obligations outlined within these UN Conventions is then delegated to the relevant ministries and departments with the appropriate national mandates.

To effectively implement the Rio Conventions, the SEA has formalised its relationship with sectoral institutions responsible for undertaking broad environmental management functions. This will include reviewing environmental responsibilities of sectoral institutions, and where necessary, promoting the development of institutions to address outstanding environmental management requirements.

Key institutions responsible for essential environmental functions in fulfilling convention obligations are listed below though a more comprehensive list can be found in Annex 1:

The Ministry of Natural Resources and Energy Ministry of Housing and Urban Development, Ministry of Agriculture and Cooperatives, Ministry of Health and Social Welfare, Ministry of Tourism, Environment and Communications, Ministry of Economic Planning and Development, Ministry of Justice and Constitutional Development, Ministry of Public Works and Transport, Ministry of Finance, City / Town Councils, Tinkhundla, Swaziland National Trust Commission, Swaziland Water Services Corporation, University of Swaziland, Swaziland Chamber of Commerce, NGO & Community groups sector.

1.11.1 The Government of Swaziland

The institutional framework of the Government of the Kingdom of Swaziland is outlined schematically in Figure 2 and is currently comprised of the following ministries:

- Office of the Prime Minister
- Deputy Prime Ministers Office
- Ministry of Education
- Ministry of Home Affairs
- Ministry of Public Works and Transport
- Ministry of Health and Social Welfare
- Ministry of Foreign Affairs and Trade
- Ministry of Agriculture and Cooperatives
- Ministry of Enterprise and Employment
- Ministry of Natural Resources and Energy
- Ministry of Public Service and Information
- Ministry of Justice and Constitutional Affairs
- Ministry of Housing and Urban Development
- Ministry of Economic Planning and Development
- Ministry of Tourism Environment and Communication

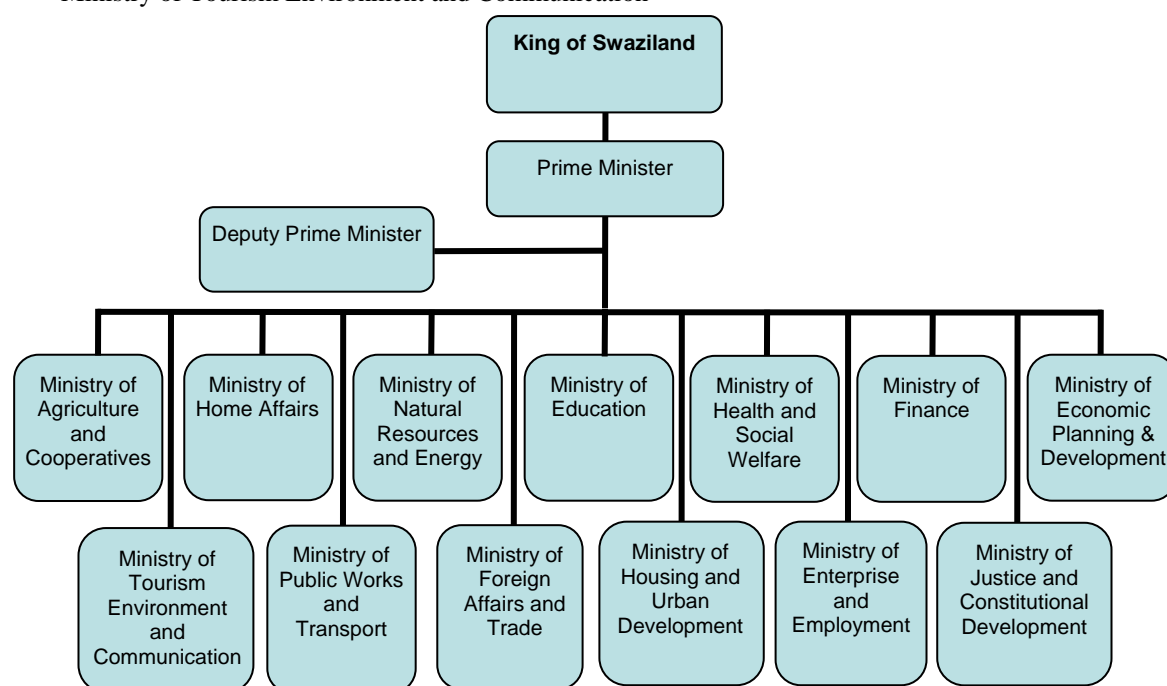


Figure 2 Institutional Map of the Government of Swaziland

Having signed the UN Conventions the GOS has appointed the SEA within the Ministry of Tourism, Environment and Communication as the designated national coordinator for all environmental Conventions.

1.11.2 The Ministry of Tourism, Environment and Communication

The Ministry of Tourism, Environment and Communication (MTEC) was established in 1996 through the amalgamation of several existing entities. The Ministry's duties and responsibilities are highlighted in its official mission statement are:

To ensure sustainable and equitable development through promotion of sound environmental principles, conservation of our national heritage, and efficient communication infrastructure, conducive to the Swazis and attractive to international visitors and to ensure efficient and effective custody of all recorded information.

The MTEC has wide-ranging authority and in addition to overseeing the Swaziland Environment Authority includes museums, archives, and game parks; the Swaziland National Trust Commission; the Swaziland Liquor Licensing Board, Post and Telecommunications; and Tourism and Gaming.

1.11.3 The Swaziland Environment Authority

The SEA is responsible for ensuring that national obligations under the UN Conventions are met with the Director of the SEA acknowledged as providing a key link between Swaziland and the international community on environmental issues.

Having been first conceptualised in 1988 the SEA was established as a government department by statute in 1992. Its creation acknowledged the need for a national body to coordinate environmental activities, embodied in its mission statement:

Ensure that Swaziland's development is environmentally, economically and socially sustainable, by means of promoting sound environmental policies, practices and development which meets appropriate national and international standards.

According to the Swaziland Environmental Management Act (2002), the SEA is comprised of a governing body appointed by the Minister.

In order to ensure greater independence and autonomy, the Environment Management Act provides for the SEA to become a body corporate, with additional responsibilities beyond those described and required under the original, repealed 1992 Environment Authority Act.

The Environmental Management Act identifies numerous functions of the SEA, including four major categories of work:

1. policy development and research
2. environmental assessment and monitoring
3. regulation and compliance
4. education and information

The SEA has developed a business plan and a strategic plan for implementing the Environmental Management Act, and it has subjected the organisation to several diagnostic reviews. The SEA's approach includes numerous specific references about coordination of Swaziland's obligations and implementation of international Conventions.

The SEA has been supported through various donor involvements over the past decade, which has led to considerable growth. Beginning in 1993, the SEA had two staff, and it has now grown to more than nine permanent staff, reflecting its increased assumed responsibilities. The strategic plan for the future development of the SEA recommends a staff complement of approximately 44 permanent staff. Due to budget constraints, however, the revised estimate proposed to government is more likely to be in the order to 25 to 30 staff.

While retaining overall responsibility for the UN CBD, the SEA has delegated responsibility for the UN FCCC and UN CCD to national focal point coordinators. These reflect the specialized nature of the UN Conventions and the expertise required in addressing the national priorities. The national focal point coordinators are located in ministries and departments with the appropriate mandates to incorporate and address the commitments and obligations contained within the respective UN Convention.

1.11.4 The Ministry of Public Works and Transport

National responsibilities under the UN FCCC have been delegated to the National Meteorological Services (NMS) in the Ministry of Public Works and Transport.

1.11.5 The Ministry of Agriculture and Cooperatives

National responsibilities under the UN CCD were delegated to the Land Use Planning Section (LUPS) under the Ministry of Agriculture and Cooperatives. The LUPS is section is responsible for natural resource surveys, ensuring appropriate land allocations along with establishing and implementing criteria for land conditions and grazing capacity and currently houses the UN CCD Focal Point.

1.12 Legal Framework linking the UN Conventions

All national activities undertaken in fulfilment of the commitments and obligations as a Party to the UN Conventions have to take place with the country's legal framework.

The country's policy framework is outlined in the National Development Strategy (NDS). This is a key document outlining the policy framework in developing the national response to issues of poverty alleviation, food security and the need to maintain an environmentally sustainable framework. The NDS was adopted in 1999 and details the long-term (25 year) vision for the country based on the identification of priority development objectives. The NDS acknowledges Swaziland's international obligations under various international Conventions along with the need for actions in ensuring compliance with these Conventions.

The NDS has spawned a variety of Ministerial policies, strategies and action plans, all of which more clearly articulate the broad policy statements made in the NDS and SEAP. These policies, strategies and plans build upon a long history of issues addressing environmental protection and management in Swaziland. A large number of early legislative measures (see Thematic Assessments) represent initial efforts to address issues of environmental protection. These were invariably specific to individual species or activities but served as a precursor to more integrated initiatives aimed more toward sustainable development. As such they all fall within the context of the UN Conventions and reflect the shift in conceptualisation of issues pertaining to the natural environment and sustainable development.

The NDS does address the environment, identifying environmental management as one of the eight key macro-policy areas, and emphasizing the importance of equitable use of resources. In addition, the document makes it clear that environment cuts across all sectors. The NDS included major environmental issues identified in the SEAP, such as soil erosion, deforestation, waste disposal and industrial and urban pollution. It stresses the importance of a healthy environment, especially for the rural populations. The NDS also points out the Government's commitment to environmental management as demonstrated by the creation of the Swaziland Environment Authority in 1992, the Environmental Impact Assessment regulation in 1996 (and updated in 2000) and the SEAP in 1997, as well as being signatory to various international environmental agreements, conventions and protocols.

The NDS is the Government of Swaziland's overriding development plan and is supported by the Swaziland Environment Action Plan (SEAP). The SEAP is the environmental equivalent of the NDS and outlines the environmental development issues relating to Swaziland's sustainable development with recommendations for actions to promote environmentally sustainable development.

The objectives of the SEAP are as follows:

- Provide a state-of knowledge overview of the environmental conditions in the country, Identify, prioritize and where possible quantify environmental problems
- Propose solutions to immediate environmental problems in the form of programs and projects, and institutional and legislative reforms, with consideration of their funding requirements and their human resource/capacity-building needs
- Establish a clear indication of government's priority areas with respect to the environment so as to guide and give proper orientation to donor intervention in this field
- Establish a framework which provides coherent direction for the process of environmental monitoring and action planning in the future, and Provide a framework for continuous development and environmental policy dialogue within the country and with donor partners.

The SEAP document lays out a number of important strategies, basic to shaping environmental policy, strategy and management. These include:

- Harmonization of legislation
- Use of environment guidelines and procedures
- Environmental impact assessments
- Market-based mechanisms
- Formulation of sectoral policies and strategies
- Emphasis on environmental education and public awareness

An implementation strategy and plan were developed as an integral part of the SEAP. In it, the Swaziland Environment Authority was identified as the statutory body responsible for implementation. The environment issues and problems which were identified, were prioritized with the intention of focusing attention on essentials actions that need to be taken over the next five years in order to ensure sustainable development. These priorities and activities were organised under five Program Areas. These are:

- Capacity building for effective environment management
- Environmental education, public awareness and participation
- Management and use of biodiversity
- Resource use for increased productivity
- Waste management, pollution control and environmental health

Each Program Area has its own goals, and provides a list of specific activities, which need to be undertaken within the next five years in order to achieve its goals.

A Program Implementation Committee (PIC) facilitates each program area,.

Five Program Implementation Committees, under supervision and guidance from the SEA, were established and have been operational since January 1999 and each PIC reports to a national SEAP Steering Committee, composed of the chairpersons of the five PICs and chaired by the SEA Executive Director. These committees coordinate and help oversee the implementation of specific activities in their respective Program Areas of the SEAP. In addition, communication links with the District Environment committees formed during the development of the SEAP, are being strengthened.

1.13 Brief review of the status of Convention implementation

The Government of Swaziland has demonstrated its commitment to the principles of sustainable development enshrined within the Conventions. This section examines the specific response of Swaziland to obligations within the conventions.

1.13.1 UN Convention on Biological Diversity

As a Contracting Party to the Convention on Biological Diversity (CBD), the Kingdom of Swaziland has committed itself fully to the provisions contained therein. Swaziland was the 22nd of the 50 African countries to sign the Convention, doing so on June 12, 1992, with ratification taking place on November 9, 1994, placing it in the top 44% of African signatories.

In response to its obligations under the UN CBD Swaziland has, with support from the UNDP, prepared the Swaziland Biodiversity Strategy and Action Plan (BSAP) in 1999 and submitted its first report to the COP. Preparation of the BSAP was facilitated by the Biodiversity Steering Committee which is tasked with overseeing its implementation and comprises the following working groups:

- Group 1 - Data Collection and Storage
- Group 2 - Biodiversity Education
- Group 3 - Ecotourism
- Group 4 - Protection Worthy Areas and Endangered Species
- Group 5 - Legislation and Institutional Review
- Group 6 - Commercialization of Biodiversity Products

The major measures to which Swaziland as a Contracting Party has committed itself in its first submission to the COP includes the following:

- To develop national biodiversity strategies, plans and programmes.
- To identify and monitor important components of biodiversity.
- To establish systems of protected areas, manage biological resources, rehabilitate degraded ecosystems, control alien species, and protect threatened species.
- To implement measures for sustainable use, including use of economic and social incentives.

- To establish programmes for training, education and research, and promote access to relevant technology.
- To facilitate access to genetic resources, on mutually agreed terms and under prior informed consent of the party providing such resources.
- To promote technical and scientific co-operation, including exchange of information relating to biodiversity.

The BSAP articulates six specific strategic areas in which interventions are proposed. Each of these defines the goal of the strategy, includes consideration of obstacles and hindrances and proposes a number of sub-strategies. These different sub-strategies total 24, each with numerous priority actions defined. A summary is subsequently provided assigning responsibility to particular agencies and includes provision for identifying sources of funding, although this is not defined in most instances.

From the consultative process and preparation of the BSAP the recommendations and needs identified include:

- a facility to capture data using IT
- a national repository and computer database of biodiversity conservation information
- data on socioeconomics, human geography, built aspects, resource distribution, in effect all relevant data pertinent to sustainable development
- refined management scenarios based on practical but evolutionary progress
- a biodiversity conservation co-ordinating policy including trans-national initiatives
- a legal and institutional appraisal of what is required to facilitate policy
- a national plan for the commercialisation of biodiversity assets through community-driven participatory programmes
- a national training programme in data management and analysis, hotel management, eco-tourism management, promotion and development, and
- implementation of a full National Biodiversity Conservation and Sustainable Utilisation Plan.

The First report to the COP details conservation measures to date that are listed as including:

1. In situ, the establishment of about 4% of the country into protected areas and the promulgation of legislative instruments on flora and fauna protection, including fish protection;
2. Ex-situ, the creation of a National Herbarium (NH) and a National Plant Genetic Resource Centre (NPGRC) both at the Malkerns Research Station, Ministry of Agriculture and Co-operatives.

In addition to these measures, the SEA facilitated the preparation of the World Bank supported Swaziland Biodiversity Conservation and Participatory Development Project (BCPD). This project is aimed at encouraging and supporting environmentally, economically and socially sustainable development in the rural areas of Swaziland. The programme is based stakeholder engagement in tourism, conservation and the wiser use of the country's biodiversity resources to meet the goals and objectives of the Swaziland Biodiversity Strategy and Action Plan (BSAP).

The SEA has also previously undertaken a Biodiversity Capacity Building Needs Assessment. The objective of that exercise was to assess the institutional and stakeholder capabilities to implement the various aspects of the recently completed BSAP.

The main constraints identified in the BSAP included considerations around lack of institutional cohesion and collaboration, inadequate funding, a poor understanding and absence of socio-economic incentive measures to facilitate biodiversity protection, low public awareness of biodiversity and its importance, exotic species and hybridisation and a lack of research.

1.13.2 UN Framework Convention on Climate Change

The UN Framework Convention on Climate Change was opened during the convening of the Earth Summit in Rio de Janeiro in June 1992, with Swaziland amongst the 150 nations to sign. The country subsequently ratified the Convention, becoming Party to it in October 1996, making it the 41st of the 51 African countries to do so.

With support from the GEF Swaziland prepared its first National Communication to the COP in 2002, in compliance with the provisions outlined under Articles 4 and 12 of the Convention. Swaziland followed the Conventions guiding principles, namely consideration as a Non-Annex I developing country Party with special circumstances, the extent of its capabilities, regards for the common but differentiated responsibilities, and equity.

The National Communication represents Swaziland's first attempt to present an overview, with respect of the base year 1994, of:

- Its national social and economic context on the basis of which it will address climate change and its adverse effects and within which various interventions could be made;
- A national inventory of anthropogenic emissions by sources and removals by sinks of greenhouse gases using the IPCC 1996 Revised Guidelines;
- An assessment of the country's potential vulnerability to climate change and approaches for adapting to such change; and
- A general description of steps taken or envisaged by the country to implement the Convention.

In the context of Swaziland, the National Communication identifies sectors that are climate sensitive and hence highly at risk, these being:

- Water resources, especially in international shared basins;
- Agriculture, in issues of food security at risk from declines in production in an uncertain climate;
- Natural resources and biodiversity, on future types of ecosystems, tree growth, distribution and mortality of species; and
- Health, on vector-borne diseases as they relate to anticipated changes in climate parameters, notably precipitation and temperature.

In addition to ensuring the preparation of the National Communication, the project was used to enhance general awareness and knowledge on climate change related issues in Swaziland. It further served to strengthen dialogue, information exchange and cooperation among relevant stakeholders (including governmental, non-governmental, academic and private sectors) with a view to increasing awareness around the convention and issues of climate change in general.

During the preparation of the National Communication a number of constraints were identified and highlighted as capacity requirements if Swaziland was to effectively engage and implement the provisions of the Convention, namely:

- insufficient instrumental climate data to reliably construct past climates
- weak institutional infrastructures for facilitating a continuous process of undertaking such assessments and related activities.
- inadequate local technological capacity to expedite in an effective manner the tasks of undertaking the assessments.
- lack of comprehensive local data and country-specific information to support the studies
- inadequate financial resources for making a meaningful intervention in the Convention's implementation.
- lack of country-specific emissions factors and ratios, particularly in firewood combustion, agriculture, land-use change and forestry, and waste
- need for capacity building through local institutions

1.13.3 UN Convention to Combat Desertification

Swaziland signed the UN CCD on the 27th of July, 1994 and ratified on 7 October of 1996. The Convention came into force on the 5th January 1997 at which time the SEA were appointed as the national coordinators. The SEA subsequently appointed the Land Use Planning Section of MOAC as the UN CCD Focal Point. Swaziland was the 51st country to ratify the Convention, which has now been ratified by a total of 191 countries globally and 51 African countries. This places Swaziland just outside the top quartile internationally (27%) and as the

25th of the 51 African countries, places it below the 50th percentile of all African countries to have signed the Convention (49.02%).

The National Steering Committee for Desertification was designated to serve as the secretariat and focal point for all CCD. In addition, a NGO CCD Task Force was established in 1998 to coordinate all environmental activities and to improve coordination of the NAP programme implementation among NGOs. The NGO CCD Task Force is comprised of six NGOs:

- Yonge Nawe
- the Swaziland Farmer Development Foundation
- the Lutheran Development Service
- the Council of Swaziland Churches
- Emanti Esive, and
- the Women's Resource Centre (Umtapo Wa Bomake).

Yonge Nawe was appointed the NGO Task Force Coordinator, responsible for disseminating CCD/NAP information to all Task Force members. The coordinating committee provided an important link, actively participating in NSCD meetings, and raising awareness around the objectives of the CCD among all NGOs and promoting the inclusion of practical elements of the CCD into project proposals and implementation.

With the assistance from the United Nations Office for Desertification, the Government of Swaziland prepared the UN CCD Swaziland National Action Programme (NAP). This represented the culmination of a consultative process that began with community and regional consultations aimed at sharpening awareness among various stakeholders and followed from the National Forum held at Mphophoma on 10 September 1997.

The NAP proposed 14 specific programmes outlining a series of recommendations and interventions.

Each of the fourteen programme areas outlines a set of objectives, outputs and strategies to achieve these along with three possible funding mechanisms - UNDP/UNSO, the National Desertification Fund and the National Environmental Fund, and the Private Sector.

Specifically the NAP recommended establishing a co-ordination unit comprising a Programme Manager (currently the focal point) and four Programme Officers (or Programme Assistant Managers) within the Ministry of Agriculture and Co-operatives, Land Use Section or the SEA.

In May of 1999, the National Steering Committee for Desertification submitted Swaziland's First National Report on the Implementation of CCD to the UNCCD Conference of Parties. However, concerns were raised by the NSCD regarding the approach used in NAP and articulation of the 14 proposed programmes. These related to the requirements and resources for implementation in line with the Guiding Principles and Programme Strategy articulated in the NAP. Given these concerns a review of the 14 programmes was commissioned.

The aim of the review was to explore ways of ensuring the goals of the NAP were achievable and donor-friendly. Of the 14 programmes recommended in the original NAP, three priority programme areas were identified, namely:

- Priority Programme 1: The promotion of awareness, capacity building, and community participation programme;
- Priority Programme 2: The land management, land use planning and land rehabilitation programme; and
- Priority Programme 3: The desertification research and technology programme

In April 2002 an "Update of the First National Report on the Implementation of CCD" was submitted to the COP. The update provided detail on the progress made in the development and implementation and policies in relation to the UN CCD. Specifically the update identifies three major constraints;

- Lack of funding
- Lack of human capacity and / or strategies for utilising available human resources
- Delays in decision making process.

1.14 Brief description of priority cross-cutting issues

The commitments and obligations on signatories to the UN Conventions are aimed at achieving the goals of sustainable development and global environmental management. Through the review process these were identified as being broadly categorised as falling into one of the following areas:

- Reporting Requirements
- Policy and Legislation
- Research and Monitoring
- Training and Education
- Public Awareness & Exchange of Information
- Financial Mechanisms
- Capacity Building

A SWOT analysis was undertaken to facilitate consolidation and interpretation of the findings from the review and consultative processes. The SWOT was based on findings from the stock-take review, thematic assessments, interviews and stakeholder workshop, the results of which have been previously presented in detail.

The aim of this section is to take information garnered through the SWOT to highlight priority areas. The SWOT aided the identification of gaps, by looking at strengths and weaknesses in existing structures, policies and approaches in relation to the UN Conventions obligations and commitments. The results from the SWOT analyses were used to identify specific weaknesses, interpreted as capacity constraints, within each of the identified priority areas. From these, capacity-related needs and priorities were identified. This provided for the identification of key capacity requirements.

The SWOT revealed that Swaziland had largely met its obligations and commitments as envisaged and articulated under the UN Conventions. It was noted that this has been achieved with variable success and was considered an on-going and iterative process. The variable success in meeting the requirements of the UN Conventions is due in part to the provisions of the UN conventions themselves.

From the various SWOT analyses a series of priority requirements have been identified. Many of the individual issues identified were notably common to all three of the UN Conventions. This reflects the inter-related nature of the natural environment and the synergistic cross-cutting approaches envisaged through modern holistic environmental management measures. Key priority areas defined through the SWOT can broadly be considered as relating to the need to:

- Clearly define mandates and responsibilities
- Resolve ambiguities and contradictions within institutional mandates
- Strengthen policy linkages with institutions in order to create effective, support networks
- Standardise and streamline reporting mechanisms with greater frequency of smaller reporting through focal points
- Develop an integrated information management systems to track project, policy and skills base and facilitate ease of reporting
- Improve collation and feedback mechanisms with respect to learning from prior successes and failures
- Improve availability and access to limited funding, and diversify funding sources
- Implement and enact the National Environment Fund
- Utilize funding to promote project continuity and institutional knowledge
- Mobilize, enhance and engage existing capacity more effectively (systematic, organizational and individual) with view to strengthening motivation, improving management functionality and increasing understanding of the value and significance of the UN Conventions
- Enhance coordinate, management and efficacy of research organisations
- Develop structured approach and strategy to prioritise research needs
- Integrate projects and focal points, promote coordination and communication

- Increase awareness and participation among local communities and demonstrate the relevance of UN Conventions to livelihoods, human well-being and national prosperity
- Develop appropriate training material to inform, education and share information with stakeholders (communities, politicians, practitioners, private sector)
- Capitalise on media coverage and existing institutional structures to integrate message contained within the UN Conventions (i.e. NEEP, Tinkhundla system, NGOs)

Swaziland has specifically identified a number of key areas which the NCSA is aimed at addressing and these provide the context for the following considerations. These include a number of cross cutting issues that are specific to the country, such as community level capacity, traditional structures, institutional management, technical training, sectoral policies and legislation, data information and political will (UNDP/GEF, 2003).

Within this context, the priority areas above have been translated into specific objective driven programmes using a Logical Framework Analysis. This is used to provide the structure for development of specific interventions to address these priorities and key constraints. Based on these priority areas and key weaknesses a number of specific outputs have been identified. These outputs are expected to be achieved through the mobilisation of select strategic interventions. The outputs can also be seen as objectives. Achieving these outputs will ensure the realisation of the purpose of the NCSA, that being to ensure that Swaziland has the capacity to meet its commitments and obligations to global environmental management under the UN Conventions.

Part II – Capacity Development Action Plan (CDAP)

2 THE VISION OF THE CAPACITY DEVELOPMENT ACTION PLAN

The following chapter presents a summarized version of the activities and interventions discussed in the previous chapters. The Logical Framework Analysis (LFA) provided the structure for the development of the action plan to develop and enhance capacity in order to achieve the objectives of the UN Conventions.

Implementing agencies and measurable indicators are proposed. The success of these interventions will rely on the mobilisation of sufficient commitment and financial resources. Through ensuring such support Swaziland will endeavour to meet its commitments and obligations to global environmental management under the UN Conventions.

2.1 Vision of the National Capacity Development Action Plan

In the past Government has tended to focus on sectoral capacity development with little integration of the skills gained into a greater holistic and natural resource management based plan.

However, since the adoption of the Swaziland Environmental Action Plan in 1998 and the enactment of key environment related legislation, the environmental obligations now incumbent upon the country are clear. This changed view is also reflected by the wider global community on sustainable development and the importance of the environment to our socio-economic development. Without the individual and institutional capacity to implement and monitor sustainable development, the country is at risk of environmental and social meltdown.

All action plans in Swaziland should be relevant to the Mission of the Government of the Kingdom of Swaziland. The current mission statement is *“to provide a climate and infrastructure that will progressively maximise the quality and security of life of the people of Swaziland and make the best use of the country’s natural and human resources”*.

The vision of the CDAP should also be contributory to the vision of the National Development Strategy (NDS). The NDS vision is that *“by the year 2022, the Kingdom of Swaziland will be in the top 10% of the medium human development group of countries founded on sustainable economic development, social justice and political stability”*.

The vision of the CDAP is *“to meet the priority needs, and implement a plan of action, for developing Swaziland’s capacity to meet its commitments to global environmental management, as a signatory of Global Environmental Conventions (CBD, FCC, CCD)”*.

2.2 Mission statement and mandate

The mission and mandate of the institution responsible for managing the implementation of the CDAP falls under the Swaziland Environment Authority. The mission statement of the SEA is as follows:

Ensure that Swaziland’s development is environmentally, economically and socially sustainable, by means of promoting sound environmental policies, practices and development which meets appropriate national and international standards.

The mandate of the SEA is to provide the following functions:

- 1) policy development and research
- 2) environmental assessment and monitoring
- 3) regulation and compliance
- 4) education and information

2.3 CDAP Objectives

The key objectives of the CDAP are the following:

1. Increase levels of awareness at all levels in relation to the national obligations and commitments under the UN Conventions
2. Improve inter-sectoral harmonisation and synchronisation among policies and legislation
3. Increase knowledge transfer among national, regional and local frameworks
4. Clearly define mandates and responsibilities
5. Resolve ambiguities and contradictions within institutional mandates
6. Strengthen policy linkages with institutions in order to create effective, support networks
7. Standardise and streamline reporting mechanisms with greater frequency of smaller reporting through focal points
8. Develop an integrated information management systems to track project, policy and skills base and facilitate ease of reporting
9. Improve collation and feedback mechanisms with respect to learning from prior successes and failures
10. Improve availability and access to limited funding, and diversify funding sources
11. Utilize funding to promote project continuity and institutional knowledge
12. Mobilize, enhance and engage existing capacity more effectively (systematic, organizational and individual) with view to strengthening motivation, improving management functionality and increasing understanding of the value and significance of the UN Conventions
13. Enhance coordination, management and efficacy of research organisations
14. Develop structured approach and strategy to prioritise research needs
15. Integrate projects and focal points, promote coordination and communication
16. Increase awareness and participation among local communities and demonstrate the relevance of UN Conventions to livelihoods, human well-being and national prosperity
17. Improve financial instruments for environmental sustainability
18. Strengthen institutional memory
19. Develop appropriate training material to inform, education and share information with stakeholders (communities, politicians, practioners, private sector)
20. Capitalise on media coverage and existing institutional structures to integrate message contained within the UN Conventions (i.e. NEEP, Tinkhundla system, NGOs)
21. Develop and strengthen existing youth programmes and curricula at school.

2.4 Guiding Principles

The NCSA CDAP is based upon a number of principles. The following principles are distinguished:

- The CDAP should be nationally owned and nationally led. Likewise, it should use national experts where possible, and regional experts if necessary;
- The CDAP should draw on existing structures and mechanisms for coordination, this could include teams involved in other GEF enabling activities (EA);
- The CDAP should pay due attention to the provisions and decisions of the three Conventions;
- Within the CDAP, participation, consultation and decision-making should be multi-stakeholder. This requires appropriately inclusive institutional arrangements;
- The CDAP should build on existing and related work. This includes assessment - related work undertaken through GEF-supported enabling activities and in national reports to the Conventions. This also includes previous capacity assessments not necessarily related to the Conventions.

- The CDAP should contribute to the long term aim of developing an holistic approach to capacity development that addresses capacity needs at the systemic, institutional and individual levels;
- The CDAP should be firmly mainstreamed into the broader context of sustainable development in-country, should be closely related to goals such as poverty alleviation, achieving the Millennium Development Goals (MDG) and economic transition.

Building on the above GEF principles, UNDP emphasizes the following principles:

- Where appropriate, the CDAP should focus on issues that cut across the three Conventions. There are many other GEF and internationally supported activities focus sing on issues specific to one convention. A comparative advantage of the NCSA is to focus on cross -cutting issues. A long term aim is to strengthen synergies across the Conventions;
- Where appropriate, the CDAP should pay particular attention to assessing capacity needs at the systemic level. Many development projects focus on capacity at the individual and institutional levels, while neglecting important systemic issues.

The above Principles determined the approach in undertaking all the NCSA activities.

3 THE CAPACITY DEVELOPMENT ACTION PLAN (CDAP)

The following table (action plan) represents the activities assessed to be of great importance to meet the overall objectives of the NCSA process. The action plan identifies six broad focal areas for intervention and recommends a variety of activities, most coming directly from stakeholders, that would, if implemented, improve capacity development at all levels and advance Swaziland's ability to manage her environmental resources.

Institutions are identified that would oversee the implementation of each activity. Time-frames are given within which period the activity should start. The time-frame terms represent following approximate periods; short-term (ST): 1-3 years, medium-term (MT): 2-5 years, long-term (LT): 5-10 years.

Estimated funding requirements, the critical constraint to the successful implementation of this action plan, are suggested. Detailed financial requirements would be determined during project formulation. Sources of funding will depend on the scope of the activity so is almost exclusively either GOS, unidentified international partners or both.

Despite the fact that all activities identified are considered priorities by stakeholders, it is necessary to rank the activities to both spread the activity load as well as to initiate certain activities that would influence later activities. The priority indicates the perceived need in terms of both fulfilling the UN Conventions obligations as well as the country's own priorities in environmental management. The lower the number the higher the priority.

Part III - The Capacity Development Action Plan

Priority actions	Responsible institution	Implementation Time frame	Funding	Source	Activity Duration
1. Institutional strengthening to facilitate commitments and obligations under the three UN Conventions					
(a) Establishment of an Environmental Conventions Coordinating Unit (ECCU) to promote synergistic coordination and implementation of the Conventions.	SEA	ST	US\$50 000 p.a.	GOS	Continuous
(b) Establishment of a Clearing House Mechanism for the collation and dissemination of Conventions related information. This should be developed in line with existing structures, capacitating them as required to ensure their operational efficiency.	ECCU	ST	US\$50 000 p.a.	GOS	Continuous
(c) Mobilisation and support of the CDAP/ECCU/SEAP Steering Committees	ECCU	ST	US\$20 000 p.a.	GOS	Continuous
(d) Review of SEA and stakeholder institutional mandates, mission statements, responsibilities etc. and update/review annually	Mandated institutions	ST	US\$30 000	GOS	6 mths
(e) Support for a Technical Advisory Group (SEAP Committees, Climate Change committee and SEA Board) to support the ECCU, Focal Points and Steering Committees	ECCU	ST	US\$30 000 p.a.	GOS	Continuous
2. Policy and legislative strengthening to support and realize the objectives of the UN Conventions					
(a) Review and strengthening of legislation, policies, action plans and development plans to improve the integration and mainstreaming of CBD, FCCC, CCD throughout national development strategies, plans and programmes	GOS / SEA / MJCA / Consultants	MT	US\$60 000	GOS/ Partner	1 yr
(b) Development of guidelines, manuals and case studies for the implementation of Strategic Environmental Assessments	ECCU / SEA / Consultants	ST	US\$80 000	GOS/ Partner	3 mths
(c) Development and dissemination of guidelines on environmental restoration, amelioration, and reclamation of degraded areas for rural communities.	ECCU / SEA / Consultants	ST	US\$50 000	GOS/ Partner	6 mths
(d) Development of an Indigenous Knowledge Strategy and Action Plan	ECCU / SEA / Consultants	ST	US\$50 000	GOS/ Partner	6 mths
(e) Development of Natural Resource Management Plans for Tinkhundla and other specific areas	ECCU / SEA / MOAC / DPM	ST	US\$150 000	GOS/ Partner	6 mths
(f) Development of a Climate Change Adaptation Strategy	ECCU / SEA / NMS	ST	US\$50 000	GOS/ Partner	6 mths
(g) Development of Regional Environmental Development Plans	ECCU/ SEA / DPM	ST	US\$150 000	GOS/ Partner	2 yrs
3. Research, development and monitoring to support and realize the objectives of the UN Conventions					
(a) Development of a National Research Strategy and Action Plan	UNISWA	ST	US\$50 000	GOS/ Partner	1 yr

Priority actions	Responsible institution	Implementation Time frame	Funding	Source	Activity Duration
with a focus on sustainable utilisation of natural resources.					
(b) Provision of training in adaptive community-based research with a focus on sustainable utilisation of natural resources.	UNISWA	ST	US\$500 000 p.a.	GOS/ Partner	Continuous
(c) Strengthening the formal and informal systems for monitoring the application of sustainable environmental management.	UNISWA	ST	US\$50 000	GOS/ Partner	2 yrs
(d) Identification of research needs for sustainable environmental management.	UNISWA	ST	US\$50 000	GOS/ Partner	10 mths
(e) Development of mechanisms and incentives (financial and non-financial) to promote locally driven research and joint government/ non-government research, including access to labs and equipment.	UNISWA	MT	US\$80 000	GOS/ Partner	10 mths
(f) Identification of components of biological diversity that are important for its conservation and sustainable use (UN CBD Article 7a) and management plans.	SNTC / MOAC	ST	US\$50 000	GOS/ Partner	6 mths
(g) Identification of incentive measures (financial and other) for the conservation and sustainable use of biological diversity.	SNTC / MOAC	ST	US\$50 000	GOS/ Partner	6 mths
(h) Establishment and operationalisation of a National Biodiversity Database Unit (NBDU) to be responsible for the curation and storage of all biodiversity information related to Swaziland.	SEA / UNISWA	ST	US\$80 000 p.a.	GOS/ Partner	Continuous
(i) Establishment and operationalisation of a National Land Management Resource Centre to produce a coherent land management structure and policy through the co-ordination of government ministries, NGOs and traditional community leadership and by establishing a national land resource centre providing a service in the collection of baseline socio-economic data on communal land use management and in practical supervision of land development implementation projects.	SEA / MOAC	ST	US\$80 000 p.a.	GOS/ Partner	Continuous
4. Awareness raising to support and realize the objectives of the UN Conventions					
(a) Develop comprehensive public solutions-based awareness campaigns on a select number of cross-cutting issues including the role and importance of forests, sustainable land use practices, and the role of local communities in global environmental stewardship.	SEA / SNTC / ME / Consultants / NGOs	ST	US\$150 000	GOS/ Partner	2 yrs
(b) Development of educational programmes and solutions-based awareness activities focused on rural communities related to the methods and techniques for the sustainable use of natural	SEA / DPM / NGOs	MT	US\$100 000	GOS/ Partner	2 yrs

Priority actions	Responsible institution	Implementation Time frame	Funding	Source	Activity Duration
resources.					
(c) Strengthening school curricula, tertiary institutions and adult education programmes on environmental management emphasising the cross-cutting synergies of environmental management.	SEA / SNTC / ME / Consultants	ST	US\$100 000	GOS/ Partner	1 yr
(d) Strengthening school curricula, tertiary institutions and adult education programmes on indigenous knowledge.	SEA / SNTC / ME / Consultants	ST	US\$50 000	GOS/ Partner	2 yr
5. Financial sustainability strengthening to support and realize the objectives of the UN Conventions					
(a) Motivation for specific budget lines for Ministries with obligations under the UN Conventions for administrative functions performed by the Focal Point.	SEA / MF / MEPD	ST	-	GOS	3 mths
(b) Preparation of a compendium of financing and funding instruments to assist stakeholders in accessing financial mechanisms in support of activities related to UN Conventions.	SEA / MEPD External Assistance Unit / Consultants	ST	US\$30 000	GOS	6 mths
(c) Develop innovative financial mechanisms and instruments to support implementation of the conventions including user fee systems, low-interest loans, private sector sponsorship, and environmental trust funds.	SEA / MF / MEPD External Assistance Unit / Consultants	MT	US\$60 000	GOS/ Partner	1 yr
(d) Development of guidelines on the use of funds under NEF to support activities of the UN Conventions.	SEA / MF	ST	US\$30 000	GOS	6 mths
(e) Training of planning officers and stakeholders on identification of financial resources, proposal writing and project management.	SEA / NMS / SNTC / MEPD External Assistance Unit	MT	US\$80 000	GOS/ Partner	6 mths
(f) Capacity building in the application of economic valuation of environmental services.	SEA / MEPD External Assistance Unit	MT	US\$80 000	GOS/ Partner	6 mths
(g) Seek internal and external financial commitment from GOS, international partners and others for the implementation of cross-cutting capacity related projects	SEA / MEPD / MF	ST	US\$20 000 p.a.	GOS	Continuous
(h) Establishment of a financial clearing house to source and disburse required funds from a wide variety of sources	SEA / MF / MEPD External Assistance Unit	ST	US\$60 000 p.a.	GOS/ Partner	Continuous
6. Stakeholder capacity strengthening to support and realize the objectives of the UN Conventions					
(a) Implementation of a Human Resource Needs Assessment for determining public and private sector human resources needs and professional development requirements related to effective implementation of the Conventions that includes needs assessments, staff re-profiling, and short-term training	SEA / MEPD / MF	MT	US\$100 000	GOS/ Partner	2 yrs

Priority actions	Responsible institution	Implementation Time frame	Funding	Source	Activity Duration
(b) Establishment and strengthening of partnerships between ECCU and stakeholders (information sharing, modalities for participation, workshop training)	ECCU / SEA	ST	US\$30 000	GOS	1 yr
(c) Development and delivery of training materials in negotiating skills to better equip national representatives at international meetings of the Conventions	SEA / MEPD / MFAT	MT	US\$80 000	GOS/ Partner	1 yr
(d) Implementation of short course / distance learning training of planning and extension officers in environmental management	SEA / MEPD / ME / UNISWA	MT	US\$100 000 p.a.	GOS/ Partner	Continuous
(e) Empowerment and training of community based organisations to enhance co-management of natural resources (natural resource management committees)	MOAC / DPM / NGOs	MT	US\$100 000 p.a.	GOS/ Partner	Continuous

Part IV - The Implementation of the CDAP

4 IMPLEMENTATION OF THE NCSA CAPACITY DEVELOPMENT ACTION PLAN

4.1 Implementation Arrangements

Implementation of this CDAP rests ultimately with the SEA and the still to be formed Environmental Conventions Coordinating Unit (ECCU) supported by a competent advisory body (see section 1.9).

4.2 Timetable

The implementation of this CDAP has to be seen as a critical activity. However, due to competing priorities somewhat outside the ambit of environmental management, the full implementation of this CDAP may get delayed or staggered over time.

Experience from the gradual implementation of the SEAP demonstrates that implementing actions plans for which resources have to be first sought is a lengthy process. However, with a coordinated and managed implementation plan, critical activities can start within months of approval of this CDAP as a national action plan.

Critical training programmes in sourcing finances, preparing proposals and managing projects will have to be initiated as soon as is practical.

The time-frames provided for in the action plan are considered generous to allow time for projects to be designed, resources to be sourced and commitments obtained from Government and other key implementers.

4.3 Major Stakeholders

The biggest stakeholder for the successful implementation of the CDAP is every Swazi citizen. However, the logistical maze that would be required to gather and obtain consensus and agreement on the implementation of the various activities would cripple the process. It is thus necessary to identify key stakeholders who would represent the average Swazi citizen in decision-making and planning.

After the average Swazi citizen, the next most important stakeholder is the Swaziland Government in whose hands the responsibility for sustainable development, planning and financial management ultimately rests. Key ministries are identified in the action plan as implementers or co-implementers and it is these ministries (along with their departments, sections and units) that will discuss and plan how each activity is best implemented utilising whatever resources it is able to acquire.

Working alongside the Government are the equally important members of the non-governmental organisations that tirelessly implement projects to improve the socio-economic status of many Swazis whilst at the same time attempt to reverse the degradation of the physical environment.

Together with the Government and NGOs are the critical development partners in the private sector and donor community. Both groups have a critical role to play in implementing this action plan. Sustainable development comes with a capacitated and motivated populace.

Annex 1 presents stakeholders consulted during the NCSA process and form the core group of institutions and individuals for the implementation of the CDAP.

4.4 Funding the CDAP

Identifying and obtaining appropriate funding will be crucial to the implementation of CDAP.

One of the main objectives of the NCSA process was to facilitate the development of concrete project proposals for further consideration by GEF and other interested donors. For cross-cutting and synergetic projects, in particular, the boundaries between global and national environmental management are difficult to determine. Swaziland must now consider developing detailed project proposals which strengthen the overall capacities both for national and global environmental management, with part of the funding originating from GEF and other parts originating from national and other external donors sources.

Three potential sources of funding are summarised below.

4.4.1 External sources

Funding from foreign donors needs to be explored. The Global Environment Facility (GEF), which funded the development of the NCSA, funds projects related to biodiversity, climate change and land degradation particularly projects which are transboundary in nature and of global significance. With the CDAP approved GEF will consider more favourably proposals emanating from Swaziland particularly those projects that strengthen capacity at all levels.

Other external sources could include bilateral grants from “developed” countries or loans from the international development banks and financing institutions.

Other potential sources also include Trust Funds, Debt-for-nature swaps, micro-credit systems, carbon offset projects (under the Kyoto Protocol), revenue from access to genetic resources, bio-prospecting and benefit sharing, user fees and tax incentives, private sector partnerships and eco-enterprise funds to name a few.

4.4.2 National sources

Various potential sources of funding exist from national sources including the Government of Swaziland, the private sector and the NGO community. Indeed, funding from the GOS is essential as this would indicate commitment on the part of the government.

4.4.3 National Environment Fund

A National Environment Fund (NEF) for Swaziland has been established and capitalised. The purpose of this fund would be to support environmental protection initiatives in the country. The donor community has indicated its willingness to support this fund on the basis that the GOS makes the initial contribution. Most CDAP activities would almost certainly be eligible for funding from the NEF once the modalities for utilising the fund are determined.

4.5 Monitoring Arrangements

Monitoring progress is vital to the success of the CDAP.

An important aspect of implementing the CDAP involves continuously monitoring the progress in implementing activities (e.g. against the planned schedule or budget). Monitoring the implementation of activities can be based on three fundamental steps: measuring progress (in implementing activities); analysing the situation (to determine the cause of any positive or negative deviations from the plan); and determining necessary action (to remedy the situation where necessary).

Evaluating the impact of the strategy, i.e. ascertaining the degree of success in achieving the goal and objectives of the strategy, is also important. Evaluation can provide insight into what lessons can be learned to guide future efforts. Three simple questions can guide the evaluation process: to what degree were the agreed-to activities implemented? (see paragraph above); did these activities actually achieve the agreed-to goals and objectives?; and, if not, what further action is required?

The SEAP and BSAP outlines relevant indicators and monitoring systems for that process. These will not be repeated again here. Presented below are steps for monitoring the CDAP processes only. However, since the CDAP and SEAP processes are interconnected, the monitoring outlined below should be seen as part of the overall SEAP monitoring process and not in isolation.

There are two separate issues that require monitoring. The first is the CDAP implementation process itself. In other words, is CDAP being implemented according to the plan? The second is the state of Swaziland's environment and capacity development. In other words, is the implementation of CDAP improving the management of environmental resources and upholding its obligations under each of the UN environment conventions? The distinction is important. By way of example, the CDAP implementation process may be proceeding according to plan, but the threats and constraints on existing capacity (at all levels) to implement could still be increasing.

4.5.1 Monitoring the CDAP process

Monitoring the progress of CDAP should be a relatively simple process given the numerous models available. The priority actions identified by CDAP have been defined as clearly as possible (including the provision of a

time-frame) so as to allow easy assessment of progress. The Environmental Conventions Coordinating Unit should review the progress of CDAP on a regular basis. The responsibility of actual monitoring would fall on the SEA and the mandated Focal Points.

Part V - The NCSA Process

5 DESCRIPTION OF THE NCSA PROCESS

5.1 An overview of achievements with regards to each of the GEF and UNDP Principles for the NCSA

The following table presents how well the GEF and UNDP Principles for the NCSA were incorporated in the process and product.

The principles are:

- The NCSA should be nationally owned and nationally led;
- The NCSA should draw on existing structures and mechanisms for coordination;
- Pay due attention to the provisions and decisions of the three Conventions;
- Consultation and decision-making should be multi-stakeholder;
- The NCSA should build on existing related work;
- The NCSA should contribute to developing an holistic approach to capacity development addressing capacity needs at the systemic, institutional and individual levels;
- The NCSA should be firmly mainstreamed into broader context of sustainable development in-country, closely related to goals such as poverty alleviation, achieving MDGs and economic transition;
- Where appropriate, the NCSA should focus on issues that cut across the three Conventions; and
- Where appropriate, the NCSA should pay particular attention to assessing capacity needs at the systemic level.

Ranks are given between 1 to 5 with 1 being excellent, 2 very good, 3 good, 4 adequate, 4 poor and 5 very poor

Principle	Ranking	Justification
Nationally owned and driven	3	The preparation of the NCSA CDAP was carried out with wide participation of key stakeholders. The commitment to the process by these stakeholders declined over the duration of the project due to the lengthy process and perceived limited deliverables and actions. It was seen as another 'development study' with no implementation component. Three workshops were held but supported with many one to one meetings with stakeholders.
Implementation based on existing structures and mechanisms and working teams	2	The SEA, established in 1992, have a long history of project implementation and have established contacts and focal points in all ministries. Previous experiences in developing the biodiversity strategy and action plan, the national environment action plan, the national action plan to combat desertification and the first national communication to the UN FCCC have all instilled a common understanding or and appreciation for sustainable management. Stakeholder participation in the preparation of the above is expected.
Paying due attention to the provisions and decisions of the three Conventions	2	The three Conventions are widely available to key stakeholders. The provisions within each convention remain relatively little understood by some stakeholders including some in the ministries mandated with responsibilities under the conventions. However, the availability of standardised reporting formats (Stock-take, Thematic Assessments, Cross-

Principle	Ranking	Justification
		Cutting Assessment and Action Plan) greatly assisted both the preparation of those reports as well as the dissemination and understanding of the obligations and status.
Multi-stakeholder participation, consultation and decision-making	2	The NCSA development process was broad, inclusive and enjoyed representative consultation and participation during the process.
Build on existing related work	2	The NCSA review of the status of implementing the Conventions has greatly assisted the nation in appreciating how well, given the local conditions, the country has fared in meeting its obligations. The Stock-Take report revealed that all is not lost or hopeless and this was further confirmed in the thematic assessments.
Contributes to holistic approach incorporating systemic, institutional and individual levels of capacity	3	Despite the NCSA process being broad, inclusive and representative, there still remains obstacles in seeing the action plan implemented. National development priorities (enshrined in the Poverty Reduction Strategy) are considered separate from sustainable environmental development. Capacity development priority is given to the more technical aspects of governance (economics, engineering, project management) with limited appreciation for the integrated needs with the environment and development. The NCSA CDAP recommends further capacity development and awareness raising within line ministries and stakeholders that will link the technical bureaucrats with the practical and urgent needs on the ground.
Mainstreamed into sustainable development in-country	4	The success of mainstreaming an action plan can only be judged after implementation.
Where appropriate, focus on issues that cut across the three Conventions	1	Identifying the cross-cutting issues amongst the three conventions and applying those cross-cutting actions was viewed by the NCSA team as the most useful emphasis the CDAP could have. Limited national resources directed to the implementation of one sectoral convention was considered excessive so cross-cutting issues have been emphasised. Therefore the focus of the Action Plan is mainly on issues or constraints that are common to or cut-across all three Conventions.
Where appropriate, pay particular attention to the systemic level of capacity	1	The overall policy framework in which individuals and organisations operate and interact with the external environment, as well as the formal and informal relationships of institution is considered adequate. The country has a plethora of policies and frameworks which, though generally under utilised, do provide a supportive policy environment for a range of activities.

Part VI - The NCSA Outputs

6 OVERVIEW OF THE NCSA PRODUCTS

6.1 Stock-take Report

The Stock-take Report rapidly reviewed the conventions to identify the key obligations and the institutions mandated to implement them. With the obligations broadly established, a review of the cross cutting issues across the three Conventions identified the following common capacity needs.

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

These common capacity issues provided the framework for guiding the assessment of needs in Swaziland. It should be noted that the approach was tailored to address the local needs and context. While a number of capacity building initiatives exist, and some of this information has been distilled to highlight common needs among the Conventions. The objective of the stock-take was is to assess the capacity needs of the country, not to look at capacity building initiatives.

The NCSA used a participatory process of *Self Assessment*. It was envisaged that this would provide for and develop capacity through a process of experiential learning. This in turn would ensure sustainability of the process, inculcating amongst the participants and institutions a philosophy and recognition of the need for continual re-assessment.

The stock-take approach focused on six key activities:

1. Collation and review of relevant documentation
2. Review and evaluate relevant strategies, action plans, government policies and thematic assessment reports, where they exist
3. Identify and describe key capacity requirements or implications of Conventions
4. Identify key stakeholders that have capacity obligations to implement the Conventions
5. Develop a programme of work to identify capacity constraints and priority issues in implementing the Conventions
6. Undertake stock-take and gap analysis of existing capacity (systemic, institutional, individual) of key stakeholders to implement Conventions

Guiding questions facilitating the assessment of capacity in relation to the UN Conventions on Climate Change, Biodiversity and Desertification were developed. The table below reflects the range of questions:

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

6.2 Thematic Assessments

While it is important to acknowledge the strengths of Swaziland's capacity to implement and manage UN Convention commitments, the aim of this document is to specifically to focus on *capacity constraints and priorities* in meeting the binding commitments under the UN Conventions. For this reason, the Thematic Assessments were structured to primarily addresses the weaknesses of Swaziland's capacity to implement and manage the UN Convention commitments, interpreted as capacity constraints for which priority interventions are needed if the intention of the UN Convention is to be realised.

In general, it was found that there is a significant need to increase national capacity in most of the evaluative categories (reporting, policy and legislation, research and monitoring, training and education, public awareness and exchange of information, and financial mechanisms). Reporting requirements have been relatively well addressed at a national scale, whereas the remaining categories have received less attention in terms of the national response. The obligations to report to the various COP are usually met through discrete projects, funded nationally or through donor support, and a review of the information prepared thus far for the COP indicates sufficient national capacity to address most of the reporting requirements; these are facilitated by the clearly articulated requirements and facilities under the provisions of the Conventions. The remaining categories often require more subtle interventions, activities or programmes that are more diffuse and difficult to identify and evaluate. These remaining categories will require significant forms of capacity building in order to meet the obligations of the UN Conventions.

Each Thematic Assessment underwent a SWOT analysis to facilitate examination of some of the systemic, institutional and individual capacity requirements considered necessary to fulfil the commitments contained in each UN Convention. These are defined as:

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

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

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

6.2.1 Thematic Assessment of the UN CBD

The Thematic Assessment of the UN CBD identified, amongst several issues, key constraints, opportunities and threats in implementing key obligations under the UN CBD. These are summarised under the three capacity requirements considered necessary to fulfil the commitments contained in the UN CBD.

6.2.1.1 Systemic Capacity

With regard to the UN CBD, Swaziland's capacity needs at the systemic level are in many ways similar to those required under the other two UN Conventions. The recognised need for political awareness to engender a political commitment and will to ensure implementation at the national level is central to successful realisation of the objectives of the Convention. This political commitment needs to be translated into national interventions that address the overall economic, policy, legislative, political and national infrastructure. Historically, the UN CBD has received more support than the remaining two Conventions. This is likely associated with improved public awareness relating to biodiversity conservation around the world. Biodiversity is a key component of the tourism industry in Swaziland, which is also likely to contribute to the greater awareness and subsequent response. Swaziland's biophysical and cultural heritage provides key commercial components that differentiate it within the southern African region, and there is therefore greater awareness and prioritization of biodiversity conservation than there is of concern over land degradation/desertification or climate change.

Analysis of the commitments and obligations assumed by Swaziland as a signatory to the UN CBD reveals that Swaziland is currently meeting its obligations. The country has a long history of developing legislation and

policy related to the conservation of biological diversity, which has resulted in an extensive body of legal instruments and laws governing biodiversity issues (see, among others, Importation of Bees Act 16/1910, Forest Preservation Act 14/1910, Wild Birds Protection Act 45/1914, Noxious Weeds Act 19/1929, Protection of Freshwater Fish Act 75/1937, Flora Protection Act 45/1952/2000, Game Act 1953/1990/1991, Variation of Close Season 21/1953, Hides and Skins Act 65/1955, Plant Protection Act 10/1958, Wattle Bark Control Act 38/1960, Wild Mushroom Control Order 31/1973, Swaziland Environmental Action Plan 1997, draft Water Pollution Control Regulations 1999, Swaziland National Biodiversity Strategy and Action Plan 2000, draft National Environmental Policy 2000, Waste Regulations 2000, National Solid Waste Strategy for Swaziland 2002, National Energy Policy 2002, Forest Policy 2002, Environmental Management Act 2002, Water Act 2003).

The Convention clearly articulates specific provisions for utilizing biological diversity in a sustainable manner under Articles 6 to 21 (see Convention on Biological Diversity at <http://www.biodiv.org/>). The implementation and enforcement of these instruments and the development of capacity to address more recent developments around economic instruments and biotechnological issues presents the next challenge toward which the country needs to develop appropriate capacity and response mechanisms.

Historically there has been a bias toward inventory (or conservation) of large mammals and species of commercial value, but this interpretation is expanding, and the country is pursuing a broader interpretation of biodiversity and more detailed inventories are emerging. The current challenge is to ensure that this biodiversity is used sustainably through the development and enactment of appropriate and effective legislation. These measures need to be supported through the implementation of economic instruments, such as tax incentives for the private sector for use and implementation of conservation measures and alternative technologies, community management and quotas through community based systems - such as the campfire projects in Zimbabwe. All of these help to engender a greater sense of ownership, through economic interest, and ensure development of appropriate sustainable management. The legislative and policy measures in place need to be continually revised to incorporate these economic instruments and respond to market changes.

The comprehensive body of legislation and the existing policies also need to be reviewed to ensure harmonisation. The legislative framework currently assigns responsibilities for the conservation of biodiversity among numerous institutions. Often these have overlapping, and at times conflicting, mandates and jurisdiction. These need to be acknowledged and rationalised to provide clearly defined responsibilities that will facilitate objective assessment.

The implementation of appropriate economic instruments can help alleviate some of the financial constraints, acknowledged as the biggest challenge facing implementation of any measures under the UN Conventions. Still, such revenue will not be sufficient to provide and support the enabling environment required. There is an increasing trend toward financial sustainability and autonomy of conservation areas; however, in a country the size of Swaziland, this is perhaps an unrealistic expectation. The expectation also relies on the public perception and support of what constitutes important components of biodiversity. As such, there needs to be a sustainable financial framework to support biodiversity initiatives. The National Environmental Fund may provide a partial framework, although demands on the fund could be high as the UN CCD is likely to request access to the fund as well. A more comprehensive financial framework is therefore required to support biodiversity initiatives. In order to manage such a fund and ensure that it continues to receive the contributions required to make it sustainable, increased capacity is required in financial and business management, marketing, and grant sourcing.

The realisation of the objectives under the Convention requires peace and political stability, the development of an enabling economic environment and widespread recognition of the economic value of biodiversity protection in Swaziland. Poverty and its attendant problems is one of the greatest factors undermining the realisation of sustainable use of biodiversity. Again, economic prosperity and broader national policies are required over the long term to ensure realisation of the Convention's ultimate objectives. These often fall outside the sphere of project cycles and monitoring and evaluation criteria. Longer time frames are required to evaluate progress, which in turn, requires a long term commitment and the political will to ensure continued support.

6.2.1.2 *Organisational Capacity*

According to the comprehensive framework for biodiversity protection and management capacity under the provisions of the Convention, improved institutional frameworks, linkages, and communication among all stakeholders are required. As mentioned previously, there are a number of organisations responsible for the conservation and sustainable use of biodiversity.

Central to successful realisation of the objectives of the UN CBD is the articulation of clearly defined mandates and organisational autonomy. The process of institutional development and reform is necessarily slow, and the

SEA is currently pursuing a process of institutional re-organisation. This will provide the framework and a clear mandate for the development and implementation of measures that will complement the obligations of the Convention. This process needs to be contextualised within the broader framework of biodiversity management in Swaziland and the various needs and capacities of conservation stakeholders. The role of the SNTC is of particular importance due to its wide-ranging interests, powers and responsibilities. Disorganization or structural instability could have long-term implications on progress toward meeting conservation obligations required by the UN CBD. Facilitating harmony and stability within institutions and among stakeholders will help catalyse beneficial conservation activities according to the UN CBD.

Sufficient equipment and infrastructure to facilitate day to day activities, as well as longer term monitoring, data management and evaluation are key capacity requirements of any organisation in meeting the commitments contained within the Convention.

The integration of organisational stakeholders through an appropriate information management system would assist in streamlining and harmonising the efforts of different organisations. Such a system would also provide a framework for articulating and monitoring a clearly defined vision and approach for managing biodiversity. A large number of projects and activities go un-reported or un-recognised, and their use is therefore restricted. The establishment of mandatory and standardized reporting procedures would increase the resources available to all organizations and projects contributing toward Swaziland's overall capacity to meet UN CBD obligations.

Organisations are typically under-staffed in comparison with optimal levels. Various reasons exist for this; however, a lack of financial resources is a primary contributing factor. The sustainability of funding and the methods for accessing resources are also major obstacles. Simultaneously, there is a large financial will among the regional and international community that can be harnessed if organizational constraints are reduced/removed. Currently, there is no centralised organisational structure that is facilitating access to sources of funding. When obtained, these sources are typically structured around specific projects and are not integrated with other national priorities. This results in the development of isolated projects that do not contribute toward, or account for, the evolving state of the country. Government funding is limited and not sufficient to guarantee large staff compliments. There is also a need to establish specific project officers responsible for sourcing funds, procurement, and management of projects across all Conventions.

Organisational reforms also need to address the issue of staff retention. The appeal of lucrative opportunities in neighbouring countries drains the resource base in Swaziland. There is also a lack of institutional knowledge in many organizations and a discontinuity of staff, owing in large part, to the HIV/AIDS epidemic and poor working conditions. As a result, further integration of project-specific foci and organizational structures would contribute positively toward reform.

At an organizational level, internalization of biodiversity conservation issues is also a weakness. Mandates and concepts found within the UN CBD and COP decisions often remain abstract and disconnected from localized agendas and activities. Workshops, training and education efforts are required to make concepts tangible and applicable to the local context and conditions.

Historically, infrastructural and technological capacities are also limited by the provision of financial capacity. As a result there is a continued need for the procurement and modernization of information technologies, hardware and software, supported by appropriate training and skills development. This requires comprehensive management methods and financial responsibility and accountability.

A large number of reports, documents and data have been produced over the last several decades; however, their availability and functionality are limited by organizational constraints. These items are currently dispersed among those institutions variously responsible for the conservation and sustainable use of biodiversity. In addition to data isolation, collection methods are largely un-standardized, leading to data incompatibilities and reduced applicability and use. There is a need to develop a central collation, storage and dissemination mechanism, with recommended data collection and reporting procedures, which is ideally accessible via the internet or, minimally, a restricted biodiversity intranet.

6.2.1.3 Individual Capacity

Swaziland's history of conservation and wildlife management is widely influenced by individual capacity and includes traditional proclamation of sacred, royal and hunting lands, private sector activities, and formally declared nature reserves, which were first established in the early 1900s. In an evolving socio-political environment, land under formal conservation status has fluctuated significantly over the past century, and conservation and wildlife management activities are currently developing with a renewed investment in capacity and technology at all levels. However, there is a significant need for a national strategy that can coordinate individual and organizational efforts and facilitate the development of capacity appropriate to national needs.

Responding to global changes in biodiversity conservation concepts and management practices, Swaziland will need to strengthen its individual capacity, specifically with regard to environmental economics and biotechnology. There is also an acknowledged need to invest further in capacity relating to trade policy and legal mechanisms, data / information management and skills relating to negotiations around issues covered under the Conventions. The SEA has been mandated with responsibilities of the UN Conventions, although the staff allocations appear to be insufficient given the time required for reporting, collation of information and day-to-day management. To meet these requirements in a timely and effective manner requires a significant investment in increasing individual capacity (quantity and quality) and/or the generation of additional organizations/structures to account for these limitations.

The development of these individual capacities must be developed in tandem with systematic and organizational capacities. Many of the issues previously addressed (security of tenure, continued training and career development along with financial incentives) are all instruments that need to be developed to ensure that such capacity is developed and retained within the national context.

6.2.2 Thematic Assessment of the UN FCCC

6.2.2.1 Systemic Capacity

One of the biggest challenges facing realisation of the objectives behind the UN FCCC is related to awareness. The time over which the effects of climate change are likely to be felt along with the lack of certainty around how these effects will manifest reduces the perceived importance in many developing countries faced with what are considered more pressing issues. There is an additional lack of recognition of the socio-economic gains that can be derived from implementation of the UN FCCC. This arises from a general lack of awareness and understanding among stakeholders, particularly those in the private sector of what the national commitments are under the Convention and how they, as private sector, may contribute to the emission of green house gases or mitigation thereof.

The lack of awareness also relates in part to a lack of political will, understanding and commitment at government level to implement the provisions contained within the Convention. The issues and implications as a result of climate change are long-term changes. The development of an enabling environment for engaging the UN FCCC requires political support that extends beyond the initial signing and ratification of the Convention. The effects of climate change also extend far beyond those of politicians. This influences many of the systemic capacity needs that are described below.

Awareness among decision or policy makers, with the requisite political will and commitment is needed for a legislative framework that can accommodate and facilitate financial allocations from government budgets. Without an appropriate legislative or strategic framework to ensure the provisions of the Convention are translated into action at a national level governments are unable to allocate funds. In the absence of such recognition any Climate Change programmes will typically be supported only through sources of funding external to the national budget. Sourcing this funding, (GEF, CDM etc.) requires specialised expertise, appropriate contacts and time to dedicate to the preparation of proposals.

Time is considered one of the most limiting factors. The collation of information needed to inform the determination and monitoring of climate change is exhaustive. This information is currently scattered among numerous government departments, nationally as well as at smaller administrative levels and within the private sector. Contributions from the private sector also need to be included in all determinations, requiring strong collaborative mechanisms. These are needed to facilitate the sharing of information and facilitating partnerships between government and industry.

There is a clearly recognised need to establish and provide support for a dedicated unit common to all conventions which can create awareness around and promote issues and projects pertaining to Swaziland's priorities in relation to Climate Change. Such an institution would also facilitate the development of an enabling environment by increasing awareness and linkages between government and the private sector. This would help to overcome the legal, institutional and individual challenges in accessing funding and strengthen support in negotiations with other Parties to the Convention.

6.2.2.2 Organisational Capacity

At the organisational level there is a need to ensure sufficient financial resources to fund activities inherent to the UN FCCC. This should include supporting delegations to attend meetings of the COP rather than a single individual. This would assist in strengthening the institutional memory and increase organisational redundancy.

A fund, or budget line, would also enable opportunities to facilitate research directed at national issues and meet obligations under Article 5 of the Convention.

Technical capacity to evaluate and implement climate change policies and measures to advise and inform provisions of Convention needs to be supported and strengthened through appropriate training measures as governed by Article 6 of the Convention. Analytical tools for climate change, such as model and emission factors need to be determined or extrapolated from neighbouring countries. This process should be supported through research driven by a central, coordinated body. This would provide direction and strategic focus to research initiatives. The development of such capacity will in turn support negotiating skills within regional and international fora.

To be effective, individual institutions need clearly defined lines of responsibilities, mandates, mission statements and organisational visions. These need to be linked with corresponding levels and acknowledged accountability. The current position of the Focal Point, within the NMS, is isolating. The Ministry is not mandated with environmental management measures and has other core focus in the national framework. The position also makes it more difficult to engage with other key ministries and departments through official channels.

Given the impending opportunities afforded to developing countries under the provisions of the UN FCCC financing mechanisms (GEF, CDM etc.), there is an urgent need to position the country strategically to take advantage of these. The implications of climate change on Swaziland are broad, encompassing numerous environmental considerations and touching most facets of the fabric of society. The NMS represents the logical location for the Focal Point, and it has proven it has the capacity to manage the national commitments under the convention. There is a need to strengthen the position of the NMS with respect to integration and interaction with other departments and ministries, particularly where the impact of climate change impacts directly on these institutions to fulfil their national mandates. The UN FCCC includes provisions for the development and implementation of action plans and mitigation strategies with respect to sectoral response to the impacts of climate change. The NMS should be given the resources and mandate to coordinate and champion such an initiative.

The breadth of involvement in monitoring the effects of climate change and the measures needed to mitigate requires a comprehensive and inclusive mechanism that encompasses all sectors of society. In order to encourage mitigation measures and move toward the reduction of emissions, there needs to be organisational investment and support for the development and implementation of cleaner technologies. These need to be tried, tested and subsequently promoted through the development of appropriate policy and incentive mechanisms. This can only be achieved if there is a single champion with access to the right information and the key decisions makers.

6.2.2.3 Individual Capacity

Individual capacity is central to successful realisation of the provisions of the Convention. Capacity requirements therefore need to address career progression and security of employment tenure, providing opportunities for accessing training, networking opportunities and ensuring career progression. Security of tenure applies to government, academics, local consultants and practitioners. Given the specialised nature of skills required to address issues of climate change, and the limited availability of these within the country, there is a high probability of losing staff to the private sector or neighbouring countries. Measures are needed to ensure that such staff are retained.

This will be achieved through the introduction of incentive mechanisms (such as allowances). Skills refreshment programmes can ensure that staff motivation is maintained, facilitating career progression, that personal are retained and institutional memory is preserved.

There is a need to increased public awareness and inculcate individual awareness among learners from early age. Therefore, there is a need to include climate change issues in the curriculum of primary school, high school and at tertiary institutions. This is required under the provisions for training and education Article 6 of the Convention along with Article 12 which requires information to be communicated.

The enhancement and development of individual capacity, in terms of realising the objectives of the Convention can be achieved through relatively simple steps. These initial measures should include development of clearly defined mandates and job descriptions with associated responsibilities for incumbents. This will afford a sense of empowerment and ownership and engender greater responsibility.

6.2.3 Thematic Assessment of the UN CCD

6.2.3.1 Systemic Capacity

Many of the provisions under the UN CCD require broad interventions at the systemic level. It needs to be acknowledged from the outset that the realisation of these often require long time frames and involve the successful implementation of national policies that address broader issues, such as the overall performance of the national economy poverty alleviation improved land management.

Swaziland has demonstrated its commitment to the principles of sustainable development as envisaged under the UN Conventions. This commitment has been translated into a strong and comprehensive legislative framework. Much of this has been developed prior to ratification of the UN Conventions. Despite the progress towards an integrated and holistic approach to environmentally sustainable development there still remains a need to ensure harmonisation and integration of this body of legislation. Such harmonisation is needed to ensure that the intentions behind the legislation is realised.

The lack of synchronization of national policy, legal and regulatory frame-works leads to confusion between sectors and between national, regional and local levels. In order to achieve a level of harmonisation there needs to be an iterative process of implementation and access to policy making structures to ensure appropriate revisions following the review and evaluation of project subsequent to completion.

The development of a political understanding the objectives of the Convention and how such broad policies inform the obligations contained therein will assist in creating an enabling environment. This process requires sensitisation of appropriate institutions and individuals. Once this has been accomplished there is a need to ensure that this information, awareness and understanding is retained within the systemic infrastructure.

Once engendered with a sense of the Conventions obligations and the Kingdoms response with respect to realisation of the goals of sustainable development, there must be a political will to ensure that information is acquired and utilised. This will overcome any of the existing capacity constraints, for example those associated with a lack of monitoring equipment, and will engender a need for experts trained in their use, providing operational mechanisms to facilitate monitoring and evaluation.

The political environment in Swaziland, as with many developing countries, is facing a myriad challenges. Issues of land degradation and specifically the commitments of the UN CCD are but one and must “compete” with other pressing issues, such as those of HIV/AIDS and poverty alleviation. Although inter-related the political mechanisms typically do not appreciate the linkages, which are to integrate into policy and legislative measures.

While a comprehensive policy framework is beginning to provide an appropriate environment for engaging issues of sustainable development there is a noticeable lack of policy relating to development and implementation of incentive systems and market instruments to ensure the use of appropriate land use and technology, the constitution however emphasises appropriate land use.

The institutional and policy framework highlights the need to create a stronger enabling environment to support the devolution of responsibilities outlined under the Convention to regional and community level structures. This would fulfil obligations under the Convention for a participatory approach and involvement of local communities, recognising that the only way to ensure success will be to implement and effect locally based interventions. There are a number of acknowledged shortcomings among the NGOs such as working in isolation with specific goals and objectives often with out understanding the bigger picture.

Awareness among decisions and policy makers, with the requisite political will and commitment is needed for a legislative framework that can accommodate and facilitate financial allocations from government budgets. Without an appropriate legislative or strategic framework to ensure the provisions of the Convention are translated into action at a national level governments are unable allocate funds. In the absence of such recognition any rehabilitation and mitigation programmes will typically be supported only through sources of funding external to the national budget. Sourcing this funding requires specialised expertise, appropriate contacts and time to dedicate to the preparation of proposals

There are a number of institutions with responsibilities for and currently undertaking numerous research and monitoring programmes. These include government departments, NGOs and academic structures as well as private industry. There is no coordinated mechanism to ensure these are integrated with a common purpose. As a result there is also no effective mechanism for evaluating the success of such initiatives and ensuring that lessons learnt are incorporated into the institutional memory. With no effective collating and dissemination of the results from such projects the results are not effectively mobilized in support of policy and decision-making.

Many projects are too technical in design while many “re-invent the wheel” unaware of or simply ignoring the results of previous initiatives

Typically there is a need to ensure greater planning prior to implementation of projects. There needs to be a mechanism to ensure that specific action plans are defined, clarifying relationships between project and the broader problems of desertification and land degradation. Project proposals are often generally formulated and do not integrate with other ongoing activities in Swaziland. There is a need to ensure that lessons are learnt, and critical areas identified.

Financing for activities under the UN CCD is currently facilitated through national government structures. Funding is limited and most compete in the national allocation. Another recurring and commonly acknowledged constraint is the bureaucracy associated with national procurement processes

Proclamation of the SEA as a separate corporate entity may alleviate some of these problems. As a separate corporate entity the SEA, as the coordinator for the UN Conventions, will have autonomy and control its own budget allocations and develop its own procurement processes. In addition, the government has established the National Environment Fund. While the Cabinet has proclaimed the fund it has yet to come into effect. In addition to government sources of funding there needs to be a legal, institutional and individual ability along with appropriate mechanisms by which funding can be accessed to provide support in respect to the Convention.

6.2.3.2 Organisational Capacity

The organisational responsibilities for the UN CCD in Swaziland are well defined. The Focal Point under the MOAC LUPS is in a strong position to incorporate the provisions of the Convention into the implementation of existing land care and management initiatives. This is acknowledged by the Focal Point who sees the Ministry’s activities as being inline with those envisaged under the UN CCD.

The commitment of the Focal Point, and the MOAC in general, is undermined by a lack of financial resources, sufficient staff and time. Although nominated and accepting the role and responsibilities of Focal Point under the UN CCD the existing organisational framework does not make provisions for the additional responsibilities therein, and therefore rely on external consults and funding.

The National Steering Committee for Desertification consists of one part time individual who is wholly responsible for steering the NAP implementation and representatives from several ministries and NGOs. Up to now, the National Steering Committee for Desertification has received financial support from UNSO with very little effort required to source and secure that funding (some US\$250 000). Implementation of the NAP will require a larger staff compliment to administer and coordinate the various facets of the process. Shifts in availability of funding will require necessary capacity to source and obtain alternative funding

The NAP is envisaged under the Convention as an ongoing and dynamic process, and has already under gone one review and revision There is an obvious and apparent need to formalise national bodies responsible for coordination of NAPs and to ensure their continued evaluation of the NAPs implementation. According to its members the national steering committee functioned well during the initial phases, but problems have been in maintaining enthusiasm and commitment.

While the NAP considers the national steering committee representative of all stakeholders, it states that it “would be false to hope that their participation in committee deliberations would be sustained over a long time without remunerative incentives”. As such the recommendation of the NAP is the establishment of a remunerative facility, “on the lines of sitting allowances to encourage and sustain the momentum among the NSCD members irrespective of the parent organisation where they are drawn.” Such financial commitment will place additional obligations upon already stretch resources. The implementation of such a proposal should be taken with due consideration.

Activities with relevance to the UN CCD are currently found under a wide range of different ministries and organisations. There is a need for a more clearly defined organisational mandate. Co-ordination, co-operation, integration and partnership between all stakeholders needs to be improved in order to develop the capability for holistic planning and implementation of land degradation rehabilitation and mitigation programmes.

To ensure this is achieved there is a need to commit financial resources and ensure suitably skilled staff are mandated with the appropriate responsibilities. To be effective, individual institutions need clearly defined lines of responsibilities, mandates, mission statements and organisational visions and with corresponding levels and acknowledged accountability. The development of such capacity will in turn support negotiating skills within regional and international fora.

Explicit land use and management policies and incentive measures to facilitate private ownership involvement and participation in national actions are required as it is often difficult to influence control over privately owned land.

The small size of the country is reflected in the structure of its organisations. Organisations, be they government, NGO or industry typically have a limited staff complement and narrow management structures. This results in a lot of responsibility being placed on limited number of individuals. It also means that there is limited institutional memory or redundancy. Few individuals within the organisation capture expertise and experience. Many departments and organisations have little redundancy, with a single expert for a given department. This means that if that person is to leave they take with them all of the acquired knowledge and experience.

There is a need to stimulate and support national research initiatives that will strengthen the national position, enhance capacity and improve public awareness and communication.

This, along with the investment required in infrastructure to support research and monitoring measures is obviously dependent upon financial resources. These in turn are often dependent upon political support and commitment. Although the Maputo Declaration Commits SADC Member to a annual 10% increase in expenditure on Agricultural Development (CAADP/NEPAD)

One of the primary constraints to realisation of the Conventions objective is the lack of access to financial resources to support stakeholders, research, monitoring and increased awareness.

Collaborative mechanisms are needed to facilitate the sharing of information and facilitating partnerships between government and industry. Although the Ministry of Planning and Finance is mandated with keeping a registrar of projects and their progress, the dissemination of this information is not proving effective. There is a need to identify appropriate mechanisms to streamline the reporting mechanisms. A central information management system would also facilitate review of projects and collective integration into the policy and decision-making process.

In addition to these, under the UN CCD there is a need to develop the necessary scientific and technical infrastructure to monitor and detect changes in the baseline condition. This in turn should assist in providing quantitative and qualitative information to be used for informing policy making and implementation of appropriate interventions.

There is a clearly recognised need to establish and provide support for a dedicated unit who can create awareness around and promote issues and projects pertaining to Swaziland's priorities in relation land degradation. Such an institution would also facilitate the development of an enabling environment by increasing awareness and linkages between government and the private sector.

6.2.3.3 Individual Capacity

The relatively small size in terms of Swaziland's neighbours affords the country many advantages such as easy access. However it also imposes a number of constraints. A broad range of expertise is required to address the effects of land degradation. The relatively small size of the Kingdom means that the country can only support a limited number full time employed professionals due to spatial, financial and institutional constraints. As such it is important to identify develop and consolidate a critical mass of scientists and practitioners. There is already an acknowledged need for specialists such as soil chemists, microbiologists, physicists, remote sensing and survey and land use planning. Development of regional linkages and programmes, with concomitant financial support from national structures would assist in enhancing the capacity and commitment as well as developing national research programmes.

With the small size poor remuneration offered in Swaziland there is a need to ensure the retention of staff. The government has supported the development of staff through sponsoring of tertiary studies, often with assistance of external financial support through the institutions themselves or donor programmes. However, staff turnover is considered relatively high with many staff soon leaving to take advantage of the better salaries within the private sector or neighbouring countries.

Swaziland has a strong cultural tradition with well-defined community structures that are well respected by both the authorities and the general population. As such there are clearly defined mechanisms and structures for engaging in national debate and national action. However, low levels of individual awareness and knowledge limit the ability for discussion, decision-making and action.

A JICA funded (September 2003) study provides examples of a lack of willingness among community members and local resource users to participate in the design and implementation of projects. This is often linked to low

levels of awareness relating to project activities compounded by an inability to participate due to lack of training and understanding of the problem and solution. Another identified concern relates to broader social issues within the community. Chieftaincy and land disputes have brought several land management programmes and rehabilitation projects to a standstill. Other issues with a lack of inter-community co-operation and community isolation have been problematic in the implementation of land management and rehabilitation programmes. For example, communities have reportedly cut or removed paddock fences erected to restrict cattle movement in the project areas of their neighbouring community. These issues relate to broader social context associated with national communal land, the lack of recognised and defined title and failure to properly engage communities in the development of projects.

Problems with a lack of awareness of the impact of land degradation and need for enhancement at higher levels, where there is a need to garner political support to ensure the issues are successfully addressed, are sometimes lacking. Often the higher political levels do not have the technical expertise to be able to properly address the issues. Briefing reports from Focal Points and delegates from the COP are subsequently and necessarily non-technical and general in nature. This means that much of the information from these meetings, which is technical in nature, is lost. In turn, this can undermine the efforts of those responsible leading to low morale.

In general, organisations responsible for issues pertaining to land degradation are well staffed. Problems with staff turnover and retention are common to most government organisations in Swaziland. Reasons for this were indicated above. With respect to organisational management, the Focal Point lacks the specific mandate included in their job descriptions covering day-to-day activities. This can lead to time constraints in addressing issues and activities under the Convention. Given the harmony on synergy between the activities of the LUPS and MOAC with those of the UN CCD this is not considered a major problem. Constraints arise from the pressures of additional projects under the auspices of the UN CCD. These place an additional burden and not being included in the job description mean that they are essentially considered additional tasks e.g. reporting or responding to communication with the secretariat.

The consensus seems to be that sufficient capacity exists at the individual level, with respect to the technical skills required to meet the national commitments under the UN CCD. The problem lies in the mobilisation of this capacity, activating and overcoming the problems of dormancy. While general staff training and qualifications are of a high standard, due mainly to substantial donor support and past capacity development programmes, the demands being placed on the departments mean that staffing levels are generally inadequate. As a result most departments report problems with being overstretched. Government employees face frustrations common to many government services, those being bureaucracy, lack of resources and time delays when trying to implement projects. These issues are compounded by typically poor remuneration making it difficult to retain staff within the government. Such problems are reportedly being worsened by the “brain drain” with trained personal opting for higher paying employment in neighbouring countries. Or the private sector for agriculturist and engineers

Examination of the root causes of many of the constraints and issues raised highlight the main constraints as being that of sufficient time. Often staff do not have sufficient time to carry out all of their requisite tasks, let alone the additional tasks required under the national commitments of the UN CCD. This is particularly true of the time required to prepare reports for the COP and CAMMS. As a result national reports are typically prepared by consultants employed on a project basis specifically to facilitate the collection and collation of information pertaining to the activities in fulfilment of the national commitments.

Many institutions experience bottlenecks and constraints due to the lack of clearly defined organisational structures at the lower levels of line ministries. Tasks and responsibilities additional to the normal day-to-day workings, and deployment outside of these, cause bottlenecks and ineffective utilisation of resources. Often managers have no choice, given the limited number of staff, and this can result in de-motivation and lack of accountability. The situation with the LUPS of the MOAC appears to be avoided due to the close relationship between the day-to-day tasks and the objectives of the UN CCD. There remains a need to ensure that all employees are familiar with the mission statement and mandate of the organisational unit within which they operate.

In order to mobilise and capitalise on existing individual capacity there is a need to ensure that sufficient resources are available. Individuals need the requisite institutional framework and support mechanisms. This includes ensuring sufficient equipment and technology to facilitate monitoring as well as engagement of stakeholders.

Training of community members in planning of activities and carrying out of rehabilitation works is essential for any successful implementation. The role that Traditional Authorities can play in the prevention of land degradation using traditional laws and practices must be recognised and supported, this applies to land

management and improvement programs. Considering that the Chiefs and their councils administrate the land tenure arrangements on Swazi Nation Land.

6.3 Cross-cutting Assessment

Implementation efforts by countries have revealed that many common obligations exist under the three UN Conventions. While it is recognised that each convention stands on its own, with its own defined objectives and commitments, there is also an inherent relationship and mutual dependency between all of them. Consequently, there may be considerable importance and value in taking a holistic (i.e. crosscutting) approach to national strategy development and capacity building.

Understanding the synergies among these conventions, and finding ways to co-ordinate and harmonise overlapping activities among them, are increasingly being recognised as one way to help to ensure effective national measures at the country level.

Overlap in terms of the obligations and requirements under the Conventions have prompted the Secretariats of the UN Conventions (FCCC, CBD and CCD) to make several recommendations, conclusions and decisions to increase mutual understanding and coordination. Despite these, there remains a need to develop and enhance synergies between the instruments in terms of their implementation at local, national, regional and global levels.

It should be acknowledged that each of the conventions constitutes a separate agreement, with specific commitments and obligations upon Parties. While there is room for harmonisation and improved synergy with respect to implementation, there are also requirements specific to the individual Conventions. These differences reflect as much about the nature of the Convention as it does the global politics governing its formation.

Given the limited resources within Swaziland, identification of opportunities to exploit and maximise the derived benefit from synergies among the UN Conventions will enhance the efficacy with which the Kingdom responds to the UN Conventions.

Based on findings from the review phase and SWOT analysis a number of common approaches and opportunities emerged, linking the capacity requirements for each of the three UN Conventions. In order to ensure that Swaziland possess the appropriate capacity to meet its obligations and commitments under the UN Conventions a Logical Framework Analysis (LFA) was undertaken. The LFA was structured under the priorities areas identified during the thematic assessment phases. Specific interventions with measurable outputs are proposed to ensure that Swaziland continues to develop and harness capacity within the national context. These outputs are expected to be achieved through the mobilisation of select strategic interventions. The outputs can also be seen as objectives. Achieving these outputs will ensure the realisation of the purpose of the NCSA, ensuring that Swaziland has the capacity to meet its commitments to global environmental management under the UN Conventions.

Annexes

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Annex 2 Subsequent capacity related decisions by the Secretariats and COP

Climate Change

COP-1: (D11) capacity building in the areas of general or managerial training in relation to energy (efficiency and renewable energy), forestry and natural resources; (D4) country studies activities, including development of inventories and databases, (D5) identification of mitigation and adaptation response options and development of strategies and research activities including exchanges and funding of joint projects; (D6) studies of vulnerability assessment and potential impacts, including natural hazards prevention and disaster control, adapting agriculture to the impact of climate change, ecosystem management, coastal zone management, studies of sea-level rise and capacity building of meteorological services; (D 11) institution building initiatives such as assistance for increasing plant safety (nuclear), improvement of technical systems and stiffening of regulatory regimes; capacity building of meteorological services.

COP-4: (D2) Support capacity-building for the assessment of technology needs to fulfill the commitments of developing countries, Country-driven activities and projects to evaluate and manage these projects; Strengthening the capacity to host projects, from project formulation and development to their implementation; (D4) Facilitating national/regional access to the information provided by international centres and networks and for working with those centres for the dissemination of information, information services, and transfer of environmentally-sound technologies and know-how.

COP 5 (D7&8) launched a process to address capacity-building in an integrated manner and establishment of consultative group of experts on national communications for Annex 1 and non-Annex I Parties with the objective of improving the process of preparation of national communications; (D10) addressed capacity-building in developing countries and (D11) Capacity-building in countries with economies in transition; specifying that process should involve an assessment of both existing capacity-building activities and capacity-building needs and priorities, as well as co-ordination with the Capacity Development Initiative (CDI) of the Global Environment Facility.

COP 7 (D2&3) agreement on capacity-building for developing countries and EITs and on additional guidance to the GEF, along with other decisions that include capacity-building components; (D29) Establishment of the Least Developed Countries Expert Group to serve in an advisory capacity to the least developed countries on the preparation, and strategy for implementation, of national adaptation programmes of action (NAPA).

SBSTA/SBI 12 Informal meetings on capacity-building resulted in two "Chairman's papers" on possible elements of a framework for capacity-building in developing countries and in EITs. Parties were invited to submit comments on the Chairman's papers. Compilation and synthesis of information on capacity-building needs and priorities of developing countries.

SBSTA/SBI 13 The secretariat prepared draft elements of a framework for capacity-building in both developing countries and EITs form the basis for discussions which resulted in draft texts on capacity- building in both developing countries and EITs . GEF and UNDP presented the results of the CDI assessment phase, consulted with regional groups, and announced the start of the strategy and action plan development phase of CDI.

SB-INF4 Report on the progress in the review by the Global Environmental Facility of its capacity-building activities in the Country Dialogue Workshops and Capacity Development Initiative.

SB-INF 9 Submissions from relevant intergovernmental organizations on their on-going capacity-building activities.

COP 8(D11) New Delhi Work Program on Article 6 of UNFCCC specifically on education, training, public awareness, public participation, public access to information and international cooperation with the objective of developing institutional and technical capacity to identify gaps and needs for the implementation, assess and linkages of policies and programmes and assessments to determine target audiences and potential partnerships; designate and provide support to identification of areas for possible international cooperation and opportunities for strengthening synergies with other conventions and the coordination in the national communications.

COP 9 will to review, and if necessary revise, the guidelines for the preparation of national adaptation programmes of action based on the experience of least developed country Parties in the preparation of national adaptation programmes of action, and on the outcome of the work of the Least Developed Countries Expert Group.

Biological Diversity

COP-1: (D9) adopted decisions on the medium-term work programme; (D4) designation of the permanent Secretariat; (D 3) establishment of the CHM and (D7) the Subsidiary Body for Scientific, Technical and Technological Advice (SBSTTA); and (D2) designation of the Global Environment Facility (GEF) as the interim financial mechanism.

COP-2: (D13&14) establishment of the Open-ended Ad Hoc Working Group on cooperation between CBD and other international conventions; the programme of work; and marine and coastal biodiversity.

COP-4: capacity-building measures for work programmes, including developing and implementing, assessments, monitoring, information-gathering and dissemination in areas of: (D4) inland water ecosystems; (D5) marine and coastal biodiversity; (D6) agricultural and forest biodiversity; (D2) the CHM's pilot phase; national reports; (D15) cooperation with other agreements, institutions and processes; incentive measures; (D8) Access and Benefit-Sharing; public education and awareness; and (D16) the long-term work programme.

EXCOP: The Cartagena Protocol addressed the safe transfer, handling and use of living modified organisms (LMOs) that may have an adverse effect on biodiversity, by establishing an AIA procedure for imports of LMOs for intentional introduction into the environment. It also incorporates the precautionary principle and mechanisms for risk assessment and management, and establishes a Biosafety Clearing- House (BCH) to facilitate information exchange. The Protocol currently has 108 signatories and 14 ratifications. to address the needs of least developed countries with regard to training in negotiating skills and language through bilateral and other sources of funding.

COP5 Capacity building for work programme on (D23) dry and arid lands, (D6) ecosystem approach, (D26) access to genetic resources, (D8) alien species, (D24) sustainable use, (D25) biodiversity and tourism; (D15) incentive measures, (D12&13) financial resources and mechanism for identification, monitoring and assessment, and indicators; (D18) and impact assessment, liability and redress. Adopted a work plan for the Intergovernmental Committee on the Cartagena Protocol on Biosafety (ICCP), which highlighted capacity building as a key requirement for the early entry into force and for the effective implementation of the Protocol.

SBSTTA-6: SBSTTA focused on invasive alien species, including work on guiding principles, and produced additional recommendations on: ad hoc technical expert groups; marine and coastal biodiversity; inland water ecosystems; scientific assessments; the GTI; biodiversity and climate change; and migratory species.

SBSTTA-7 focused on forest biodiversity and its draft work programme, while also producing recommendations on: agricultural biodiversity, including the International Pollinators Initiative; the GSPC; incentive measures; indicators; and environmental impact assessment (EIA).

INTERGOVERNMENTAL COMMITTEE ON THE CARTAGENA PROTOCOL ON BIOSAFETY (ICCP) 1 & 2 considered and developed recommendations on: information sharing and the BCH; capacity building; a roster of experts; decision-making procedures; handling, transport, packaging and identification; compliance; monitoring and reporting; guidance to the financial mechanism; liability and redress; the Secretariat; Rules of Procedure; and cooperation with the International Plant Protection Convention (IPPC).

WORKING GROUP ON ACCESS AND BENEFIT-SHARING: delegates developed the draft Bonn guidelines on ABS and identified elements for a capacity-building action plan; called for an open-ended workshop on capacity building for ABS; and considered the role of IPR in implementation of ABS arrangements. The second meeting of the Experts' Panel on ABS, which addressed user, provided input into the Working Group and provided experiences in ABS and the involvement of stakeholders in ABS processes.

MEETING ON THE STRATEGIC PLAN, NATIONAL REPORTS AND IMPLEMENTATION: considered the strategic plan, the CBD's implementation and operations, national reports and inputs into the WSSD.

WORKING GROUP ON ARTICLE 8(J): considered: an outline for the composite report on the status and trends of traditional knowledge; draft guidelines/recommendations for the conduct of cultural, environmental and social impact assessments regarding developments proposed on or impacting the lands of indigenous and local communities; participatory mechanisms; and the effectiveness of existing instruments impacting the protection of traditional knowledge, particularly intellectual property rights.

COP6: (D24) adopted detailed guidelines on access to genetic resources and benefit-sharing to improve the way foreign companies, collectors, researchers and other users gain access to valuable genetic resources in return for sharing the benefits with the countries of origin and with local and indigenous communities; (D22) adopted an international work programme on forests to promote the sustainable use of forest biodiversity and improve understanding of ecosystem functioning and the role of biodiversity to enhancing the institutional enabling environment and addressing socio-economic distortions; (D23) and guiding principles in combating alien invasive species

COP-7 will focus on protected areas, mountain ecosystems and technology transfer and cooperation, discussions on the multi-year work programme revealed differences over whether the CBD should engage in new areas, such as island and polar ecosystems, or whether it should concentrate on existing areas.

Desertification

Capacity building and promotion of an enabling environment within the framework of the Regional Action Programmes (RAP)

The AHWG meeting in Bonn (2000) reflected on the need for capacity building in their report

COP-1: (D24) International Fund for Agricultural Development (IFAD) was chosen as the organization to administer the Global Mechanism (GM); (D17) An ad hoc panel was established to oversee the continuation of surveying benchmarks and indicators; (D27) Adopted a proposal that plenary meetings at future COPs be devoted to dialogues with NGO.

COP-2: (D3) Approved arrangements for the institutional linkage between the CCD and the UN Secretariat; (14) An ad hoc panel was established to follow up its discussion on linkages between traditional and modern knowledge.

COP-3: (D6) An ad hoc working group was established to review and analyze in depth the reports on national, subregional and regional action programmes and to draw conclusions and propose concrete recommendations on further steps in the implementation of the CCD. Ad hoc panels on (D12) traditional knowledge and (D14) early warning systems were appointed.

COP-4: (D1) Commencement of work by the ad hoc working group to review CCD implementation, (D17) submission of proposals to improve the work of the CST, (D9) and the adoption of a decision to explore the best options for GEF support to the CCD's implementation.

COP- 5: (D1) Establishment of the Committee on the Review of the Implementation of the convention (CRIC), (D17) identification of modalities to improve the efficiency and effectiveness of the CST, (D9) and in the enhancement of the CCD's financial base following strong support to designate land degradation as another focal area for funding in collaboration with GEF.

CRIC-1: The CRIC was established to regularly review the implementation of the CCD, draw conclusions, and propose concrete recommendations to the COP on further implementation. It addressed seven thematic issues under review: participatory processes involving civil society, NGOs and community-based organizations; legislative and institutional frameworks or arrangements; linkages and synergies with other environmental conventions and with national development strategies; measures for the rehabilitation of degraded land, drought and desertification monitoring and assessment; early warning systems for mitigating the effects of drought; access to appropriate technology, knowledge and know-how; and resource mobilization and coordination.

COP-6 (D1) capacity building, especially in the fields of participatory processes, legislative and institutional frameworks and promotion of synergies; monitoring and assessment, including the improvement of the reporting process; (D6) and designation of the GEF as the CCD's financial mechanism.

COP-7 will review of the implementation of the CCD and its institutional arrangements, of the CST report, and of the relationships with other conventions and organizations.

Annex 3 Indicative reference lists to define substantive context for capacity development under each thematic area

BIODIVERSITY

- 1) Effective National Biodiversity Planning
- 2) Identification and Monitoring of components of biological diversity important for its conservation and sustainable use
- 3) In-situ conservation of biological diversity
- 4) Respect for and preservation of knowledge, innovations and practices of indigenous and local communities
- 5) Ex-situ conservation of components of biological diversity, including for collection of biological resources from natural habitats for ex-situ conservation purposes
- 6) Develop and introduce economically and socially sound measures that act as incentives for the conservation and sustainable use of components of biological diversity.
- 7) Establish and maintain programmes for scientific and technical education and training
- 8) Promote and encourage understanding of the importance of, and the measures required for, the conservation of biological diversity
- 9) Introduce appropriate arrangements to ensure that environmental consequences of relevant programmes and policies are subject of environmental impact assessment and that significant adverse impacts on biological diversity are minimised
- 10) Develop and introduce appropriate measures to ensure safety regulations in handling living modified organisms resulting from biotechnology
- 11) Develop and introduce measures regulating the access to genetic resources and to provide access for and transfer to other Parties of technologies that are relevant to the conservation and sustainable use of biological diversity
- 12) Take legislative, administrative or policy measures, as appropriate, with the aim of sharing in a fair and equitable way the results of research and development and the benefits arising from the commercial and other utilisation of genetic resources
- 13) Establish and operate clearing-house mechanism to promote and facilitate technical and scientific co-operation
- 14) Implement Cartagena Protocol on Biosafety
- 15) Access financial resources provided via the financial mechanism of the Convention and/or via other donors

CLIMATE CHANGE

- 1) Institutional capacity-building, including the strengthening or establishment, as appropriate, of national climate change secretariats or national focal points
- 2) Enhancement and/or creation of an enabling environment
- 3) National communications
- 4) National climate change programmes
- 5) Greenhouse gas inventories, emission database management, and systems for collecting, managing and utilising activity data and emission factors
- 6) Vulnerability and adaptation assessment
- 7) Capacity-building for implementation of adaptation measures
- 8) Assessment for implementation of mitigation options
- 9) Research and systematic observation, including meteorological, hydrological and climatological services
- 10) Development and transfer of technology

- 11) Improved decision-making, including assistance for participation in international negotiations
- 12) Clean development mechanisms
- 13) Needs arising out of the implementation of Article 4.8 and 4.9 of the Convention
- 14) Education, training and public awareness
- 15) Information and networking, including the establishment of databases

DESERTIFICATION/LAND DEGRADATION

- 1) Education and public awareness
- 2) Transfer, acquisition, adaptation and development of environmentally sound, economically viable and socially acceptable technology
- 3) Training and technology regarding the use of alternative, renewable energy sources (aimed particularly at reducing dependence on wood for fuel)
- 4) Promotion of alternative livelihoods, including training in new skills
- 5) Training of decision-makers, managers and personnel responsible for collection and analysis of data for disseminating and using early warning information on drought conditions, water resources and for food production
- 6) Information collection, analysis and exchange (relevant short-term and long-term data and information; particularly to ensure systematic observation of land degradation in affected areas and to better understand and assess the processes and effects of drought and desertification)
- 7) Effective early warning and advance planning for periods of adverse climatic variation (provided in appropriate forms)
- 8) Research and development
- 9) Technical and scientific co-operation in the fields of combating desertification and mitigating the effects of drought through appropriate national, sub-regional and international institutions
- 10) Joint research programmes (also involving public and private sector) for the development of improved, affordable and accessible technologies for sustainable development