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

Kingdom of Swaziland

National Capacity Self-Assessment

NCSA/UNDP/SEA/CC/01

SWAZILAND ENVIRONMENT AUTHORITY	GLOBAL ENVIRONMENT FACILITY	UNITED NATIONS DEVELOPMENT PROGRAMME

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Executive Summary

At the UN Convention on Environment and Development held in Rio 1992, the international community agreed on a programme 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 among member states. In response, the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP) have developed the National Capacity Self-Assessments (NCSA) projects. Acknowledging capacity constraints as one of the primary limitations in successfully meeting the challenges and provisions of the Conventions the Swaziland Environment Authority has commissioned a **National Capacity Self-Assessment Report on National Capacity Needs, 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 (UNCBD), the United Nations Framework Convention on Climate Change (UNFCCC), and the United Nations Convention to Combat Desertification (UNCCD). As a Contracting Party to the UN Conventions, the Kingdom of Swaziland has committed itself fully to the provisions contained therein. A review of these provisions identified the following keys areas within which Parties to the Convention have agreed to specific commitments and obligations.

- Reporting
- Policy measures
- Research and monitoring
- Training and education
- Public awareness and exchange of information
- Financial mechanisms
- Capacity

The NCSA examined capacity issues at three levels - systemic, institutional and individual. While institutional and individual capacity issues are relatively well defined, systemic capacity describes the policy and legislation framework in relation to the UN Conventions. The approach was based on participatory self-assessment supported by desktop reviews, questionnaires and interviews with key stakeholders. A workshop with all key stakeholders assisted in identifying priority areas, Swaziland's response along with defining the key capacity constraints, opportunities and challenges in relation to the UN Conventions. This document serves as the final step in this process and draws upon the findings of the stock-take report, thematic profiles and cross-cutting analysis. The aim is to provide information in support of the PMG in developing the Capacity Development Action Plan (CDAP).

Summary of Overlapping Obligations within the three UN 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)(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

The Swaziland NCSA specifically aims to address a number of cross cutting issues that have been identified for the country e.g. community level capacity, traditional structures, institutional management, technical training, sectoral policies and legislation, data information and political will.

While there is a generally high level of awareness relating to issues of environmental awareness, detailed analysis reveals low levels of awareness specifically around the UN Conventions. This analysis also reveals a lack of awareness and clarity around the institutional arrangements for implementation of the UN Conventions and responsibilities for environmental management issues. Understanding of the environment is typically associated with applied agricultural issues, translating into a high level of recognition of the MOAC.

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 themselves. Where the UN Conventions clearly articulate the requirements Swaziland has largely met its obligations. The example is in terms of reporting where the UN Conventions all clearly articulate the expectations in terms of report content and format. Financial support is also made available to facilitate reporting which has been used successfully to engage consultants. 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 financial resources, limited human resources and a shortage of available time. These have been addressed in the development of the

Logical Framework Analysis. This provides a number of key performance areas, clearly defined in relation to the commitments and obligations under the UN Conventions. Specific activities and actions are identified to facilitate the PMG in developing the CDAP.

The relatively small size of Swaziland presents an additional dimension to many of these common capacity constraints. The small size of the country limits the 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.

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. Swaziland has developed a comprehensive legal framework of individual policies and regulations. While the National Development Strategy represents more recent efforts toward integration there is still a need to undertake specific integrative studies. This will strengthen the co-ordination and integration of policy formulation and ensure realization of the intentions behind the UN Conventions toward an holistic and integrated approach to environmental management.

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. 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 approached. The relatively small size of Swaziland serves such centralisation and would help over-come 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. 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 duties and responsibilities. There is a need to ensure that those with national responsibilities under the UN Conventions are properly mandated with these responsibilities. This should translate into the allocation of appropriate resources to achieve these mandates.

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.

Capacity within individuals and institutions needs to 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 practioners 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.

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 are resources often acknowledged as the biggest capacity constraint. 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 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 practioners 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 to two individuals. 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 crosscutting issues has been translated into a program for action using a Logical Framework Analyses (LFA). This has been proposed with the intention of allowing these weaknesses to be addressed through specific interventions. The LFA is structured in a way that will assist the NCSA Project Management Group in formulating an appropriate CDAP to 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 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.

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CHAPTER 1 INTRODUCTION

1.1   The UN Conventions

Increased recognition of anthropogenic changes in the natural environment as a result of human interference resulted in the international community agreeing on a number of multi-lateral environmental agreements. These were initially proposed at the United Nations Conference on Environment and Development (UNCED), held in June 1992, in Rio de Janeiro, Brazil. Known as the Earth Summit, these agreements provide a set of principles and obligations related to the protection of Earth and to the improvement of life quality of its inhabitants through sustainable development. They were compiled and recorded into a global action plan, *Agenda 21*.

Six international agreements emerged from this framework. They call upon governments to make specific commitments to ensure sustainable development and translation of the ideals contained within the Rio Principles and Agenda 21. These commitments were defined in the multi-lateral agreements covering the following:

- Biodiversity

- Climate Change

- Desertification

- Persistent Organic Pollutants (POPs)

- Prior Informed Consent (PIC)

- Straddling and Migratory Fish Stocks

Central to the objectives of each of these Conventions is recognition of the potential that such anthropogenic changes have to undermine the sustainability and development of livelihoods and the global diversity upon which all of these system processes rely. Two of these, the conventions on Biodiversity and Climate Change, were opened for signing at the Earth Summit in Rio de Janeiro while the other four were developed in subsequent years. The Conventions on Biodiversity (UN CBD), Desertification (UN CCD), Climate Change (UN FCCC) and Fish Stocks have all come into force with the conventions on Biodiversity and Climate Change having been expanded to include new legal mechanisms - the Biosafety and Kyoto Protocols. The Kyoto Protocol, under the UN FCCC, came into force on February 16, 2005.

The UN Conventions provide a framework for countries to ensure sustainable development and include specific commitments to mitigate and manage the effects of human development on the natural environment. 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.

1.2 Background to the NCSA

In order to address the issues covered by the UN Conventions and guarantee the success of national initiatives, countries need to ensure they have sufficient capacity to respond to the provisions of the Conventions and changes in the natural, political, economic and social environments. In facilitating this, the Conventions provide a number of tools and instruments to assist signatories meet their obligations under the provisions of the Conventions. However, in the ensuing decade since the international community agreed on the Rio Principles and Agenda 21 it has been acknowledged that one of the biggest challenges in meeting the commitments and obligations assumed within the various conventions continues to be a lack of capacity.

In response, the Global Environment Facility (GEF) and the United Nations Development Programme (UNDP) instigated the Capacity Development Initiative (CDI) in January of 2000. The aim of this initiative was to establish a more comprehensive and informed approach to issues around capacity needs and priorities, along with a strategy for developing capacity among developing countries to meet their global environmental commitments under the UN Conventions.

In this spirit and acknowledging capacity constraints as one of the primary limitations in successfully meeting the challenges and provisions of the Conventions the Swaziland Environment Authority has commissioned a **National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions.**

The National Capacity Self-Assessment is aimed at determining national capacity requirements and defining national capacity needs and priorities. 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 (UNDP/GEF, 2003).

1.2.1 Definition

Central to the successful identification of capacity constraints and the development of appropriate strategies to address these is a common understanding of the definition of Capacity. The GEF (2001; CDI, 2000) has adopted a commonly accepted definition of capacity which is used herein. Capacity is defined as "*the actions needed to enhance the ability of individuals, institutions and systems to make and implement decisions and perform functions in an effective, efficient and sustainable manner.*" Broader interpretation of this definition is included in the ToR;

> Capacity assessment and development at the **Systemic level** emphasises 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 institutions.

> Capacity assessment and development at the **Institutional level** focuses on the overall organisational performance and functioning capabilities, as well as the

ability of an organisation to adapt to change. It aims to develop the institution as a total system, including individuals, groups and the organisation itself.

Capacity assessment and development at the **Individual level** refers to the process of changing attitudes and behaviours - imparting knowledge and developing skills while maximising the benefits of participation, knowledge exchange and ownership.

1.3   Objectives of the Study

The Swaziland Environment Authority, with support from the UNDP and the GEF, has established an NCSA Project Management Group (PMG) to facilitate the National Capacity Self-Assessment.

According to the Terms of Reference (ToR), the objective of this project is to identify national capacity constraints and priorities to meet binding commitments contained in the three Rio Conventions on biodiversity, climate change and desertification.

The results of the NCSA should contribute to strengthening existing national programmes and lead to the development of a targeted action plan and implementation. This will be both within and across the thematic areas of biodiversity, climate change and desertification/land degradation. The information gained through this process is to be used by the PMG to *determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan.*

The NCSA is a global process. It will help to identify linkages between global and national environmental management issues and capacity building efforts. The strategy and action plan emanating from this process will afford countries the opportunity to access funds to facilitate the development of concrete project proposals for further consideration by GEF and other interested donors

Representing the culmination of an exhaustive consultative process of self-assessment, this integrated National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions Report presents a synthesis of findings and recommendations from the NCSA Projects activities. The findings from these activities are presented in a series of thematic and crosscutting reports (SEA, 2004a, b, c, d, 2005) that report on activities as detailed in the ToR (see Annex 3).

This report represents that last in this series. It is intentionally intended to be brief, providing a concise summary and synthesis of the findings and recommendations for national decision-makers as well as external funding agencies relating to Swaziland's capacity needs to meet its obligations to global environmental management as envisaged under the UN Conventions.

1.4   Overview of Participation and Preparation Process

The NCSA process is coordinated by the National Coordinator (NC) and guided through a multi-disciplinary Project Management Group (PMG). A key aspect of the NCSA project is the focus on *process* as well as *product.* This assignment is part of a

broader process being carried out by the PMG in the development of a National Capacity Development Action Plan (CDAP). This CDAP is aimed at enhancing capacity within the environmental management sector together with strengthening of capacity to implement decisions and obligations emanating from the UN Conventions. The reports prepared under this assignment provide one tool for examining the effectiveness of this process while the CDAP report of the PMG will aid in capturing and communicating the quality of the overall NCSA process.

The process of undertaking the NCSA is guided by the following principles:

- National ownership and leadership;
- Draws on existing structures and mechanisms for coordination;
- Multi-stakeholder consultation and decision-making;
- Capacity building efforts based on self-needs assessment;
- Adoption of a holistic approach to capacity building;
- Builds on existing and related initiatives;
- Integrates capacity building in wider sustainable development efforts;
- Promotes partnerships;
- Accommodates the dynamic nature of capacity building;
- Adopts a learning-by-doing approach;
- Combines programmatic and project-based approaches;
- Combines process as well as product-based approaches; and
- Promotes regional approaches.

Stakeholders

In order to ensure broad representation and participation, the process of self-assessment began with a detailed review of the existing condition with respect to the obligations and commitments of Parties to the UN Conventions. Through this process a detailed stakeholder analysis was carried out. This was used to identify institutions and individuals with responsibilities under the UN Conventions. Key stakeholders involved in the NCSA process are presented in Annex 2.

Questionnaire

The process of self-assessment was facilitated through structured and unstructured interviews, telephonic communication, email, review of reports and site visits, culminating in a stakeholder workshop.

Questionnaires (see Annex 4) were sent to 289 key stakeholders in government, non-government and private sector organisations. The aim of the questionnaire was to determine capacity constraints and opportunities in relation to the UN Conventions. Of these 181 were received. These responses were used to identify key issues of stakeholder and guide the presentation and discussion at the workshop.

Workshop

Of the identified stakeholders 82 were invited to participate in a Self-Assessment Workshop in which each of the UN Conventions themes was examined through focus groups. The aim of these focus groups was to bring together those responsible for and those with an interest in the Kingdoms obligations and commitments under each of the Conventions. The workshops were limited in number to those identified as having key role to play in realising the Kingdoms obligations under the

Conventions. In order to ensure representation of key stakeholders to facilitate the process of self-assessment invitations were followed up to confirm, with forty-six stakeholders verbally confirming their participation.

Of those stakeholders invited 32 attended and participated in the workshop. This included ten Government representatives, two NGO representatives, six from industry, one from the FAO, and four from parastatals, three from the University of Swaziland and six consultants. Of these consultants two were from the university.

Participants were guided through the commitments and obligations of the UN Conventions through an interactive process that helped to determine existing levels of awareness around the provisions of the UN Conventions. Findings from the stock-take analysis were presented and a SWOT analysis performed. Participants broke away into focus groups to analyse perceived strengths and weakness in relation to Swaziland's response to the UN Conventions. This information was captured and collectively summarised through plenary sessions. From this emerged a number of areas where Swaziland had demonstrated strengths in relation to the UN Conventions along with a number of key problem areas. These were perceived to be weaknesses in relation to the UN Conventions and representing key capacity needs.

These perceived weaknesses were interrogated further using a root-cause analysis. Through a facilitated process participants were forced to work through the various reasons behind the perceived problems to the underlying, or root, cause. The causal factors identified through this process were used to define the key capacity constraints, from which capacity needs emerged. Capacity needs as identified and defined through this process were discussed with participants in order to examine potential interventions, actions and strategies to over come and realise the objectives of the UN Conventions.

Limitations

The process of self-assessment relies heavily on the involvement of stakeholders. Participation is dependent upon a high level of awareness around the UN Conventions and active engagement. Formal questionnaires were used to investigate levels of awareness and during the workshop participants were required to indicate specific obligations and commitments required under the UN Conventions along with national responses. These revealed a relatively low level of awareness among even key stakeholders.

The process demands time of already over committed individuals. Momentum needs to be sustained throughout the process and a large volume of material reviewed and synthesised. Numerous previous initiatives and demands upon the time of a limited pool of individuals have undermined the enthusiasm and commitment of stakeholders. This was highlighted by the discrepancy between confirmations and attendance of the workshop and in the response to questionnaires.

The absence of formal catalogues or reference facilities often results in previous reporting efforts being relied on for bibliographic purposes. Sourcing and verification of original documents is a laborious and time consuming process and one of the biggest constraints to the process. Institutional knowledge retained by individuals in

specific institutions becomes essential under such constraints, highlighting the findings of the NCSA process.

The relatively small community of environmental practitioners in Swaziland is highly committed but also highly fragmented. Strong partnership need to be forged if a national initiative is going to be successful and capitalise on the national expertise. Government can not achieve the national commitments and obligations of the UN Conventions alone.

CHAPTER 2 NATIONAL APPROACH TO THE UN CONVENTIONS

Detailed review of the three UN Conventions and consultations with key stakeholders during the Stock-Take, Thematic and Crosscutting review processes facilitated the identification of a number of priority requirements and issues. While the provisions outlined within the UN Conventions are not considered legally binding, as signatories the Parties to the Conventions agree to undertake certain obligations and commitments, which can be summarised as the following:

- Reporting Requirements,

- Policy and Legislation,

- Research and Monitoring,

- Training and Education,

- Public Awareness & Exchange of Information,

- Financial Mechanisms,

- Capacity.

Detailed consideration of the commitments and obligations under each of the three UN Conventions is provided in the Thematic and Cross-Cutting Reviews (SEA 2004a, b, c, 2005).

2.1   Institutional Coordination of the UN 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 Conventions (Table 1).

Table 1: Swaziland's signature and ratification of the UN Conventions

UN Convention	Signed	Ratified
CBD	12 June 1992	9 November 1994
FCCC	9 May 1992	7 October 1996
CCD	27 July 1995	7 October 1996

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 has been delegated to the Swaziland Environment Authority (SEA). 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.

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.

National responsibilities under the UN FCCC have been delegated to the National Meteorological Services (NMS) in the Ministry of Public Works and Transport. 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 suitable land allocations along with establishing and implementing criteria for land conditions and grazing capacity and currently houses the UN CCD Focal Point Coordinator.

Detailed review of the institutional frameworks governing the relevant UN Conventions is presented in each of the Thematic Reviews (SEA, 2004a, b, c).

2.2   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 countries legal framework. This is examined in detail in the Stock-Take review and considered in relation to the individual UN Conventions under the Thematic Reviews (SEA 2004a, b, c, d).

The country's policy framework is outlined in the National Development Strategy (NDS). The NDS outlines 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 is the Government of Swaziland's overriding development plan and is supported by the Swaziland Environment Action Plan (SEAP). The NDS outlines Swaziland's developmental goals for the next 25 years and is viewed as the highest-level policy document. 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 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 SEA, 2004a, b, c) 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.

2.3   Organisations Involved in the UN Conventions

The relatively small size of the Kingdom of Swaziland and the cultural affinity with the land increases the importance of issues of sustainability. While government agencies are responsible for the protection and management of the national interest there is generally a high level of perception associated with the natural environment in Swaziland. Given this connection with land all citizens are cognisant of the effects of environmental degradation and the need for sustainable development.

In addition to those government institutions already discussed, and the involvement of the general populace, they're a number of organisations with specific responsibilities under the UN Conventions in Swaziland. Those with obligations or opportunities to realise the obligations of the three UN Conventions are listed below.

Swaziland Environment Authority
African Cooperative Action Trust (ACAT)
Swaziland National Trust Commission (MTEC)
Swaziland National Herbarium (MOAC)
Forestry Section (MOAC)
Fisheries Section (MOAC)
Land Use Planning Section (MOAC)
Land Development Section (MOAC)
Transfrontier Conservation Coordinator (SNTC)
Animal Production Division (MOAC)
National Plant Genetic Resources Centre (MOAC)
Water Resources Branch (MNRE)
Community Development Section (MOAC)
Dalcrue Agricultural Holdings (Tibiyo)
Big Game Parks
Yonge Nawe Environmental Action Group
University of Swaziland (UNISWA)
National Biodiversity Database Unit (UNISWA)
Swaziland Teachers Association
Natural History Society
Shewula Trust
Nisela Safaris
Lubombo Conservancy
Big Bend / Mhlosinga Conservancy
Mhlosinga Wildlife Producers Association
Conservation Trust

Swaziland Farmer Development Foundation
Swaziland Institute for Research in Traditional Medicine, Medicinal and Indigenous Food Plants (UNISWA)
Malkerns Research station (MOAC)
Swazi Trails
Ministry of Justice
Sappi Forest Planning Section
Mondi Forest
Royal Swaziland Sugar Cooperation
Meteorology (MPWT)
Micro Projects
Shiselweni Forestry
Food Agriculture Organization FAO)
UNISWA Geography department
United Nations Development Program
UNISWA Land and Mechanisation
Energy Section (MNRE)
Swaziland Electricity Board
Swaziland Water and Agriculture Development Enterprise (formally Swaziland Komati Project Enterprise)
Mbabane City Council
Ministry of Health and Social Welfare
Ubombo (Ilovo Sugar)
Renewable Energy Association of Swaziland

2.4   National Priorities under the UN Conventions

The commitments and obligations placed on signatories to the UN Conventions are aimed at achieving the goals of sustainable development and global environmental management. The UN Conventions articulate a number of common obligations which can be 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

In addition, various documents detail specific issues of concern within Swaziland (Downing & Zuke, 1996; JICA/ECS, 1999; Nkosi, 1997; Swingland & Nkosi, 1997; Nkosi & Vilakati, 1997; GoS, 1997a, b; Ndlovu, 1997; Fakudze & Mlipha, 1998; GOS/NSCD, 1999; GOS/MOAC, 2000). 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).

Issues of environmental management and sustainability in Swaziland, and those associated with the UN Conventions, are further complicated by the problems associated with poverty, health, notably HIV/AIDS and increasing population densities in a relatively small, land-locked country. Increasingly these stem from decoupling of the human reality from its interdependency with the natural environment.

2.5 SWOT Analysis

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 (SEA, 2004d), thematic assessments (SEA, 2004a, b, c), interviews and stakeholder workshop.

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.

2.6 Priority Issues

The SWOT revealed that Swaziland had demonstrated variable success in meeting its obligations and commitments as envisaged and articulated under the UN Conventions. It was noted that this should not be considered static but rather an on-going and iterative process. The variable success in meeting the requirements of the UN Conventions was considered 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:

- Increase **levels of awareness** at all levels in relation to the national obligations and commitments under the UN Conventions

- Improve inter-sectoral **harmonisation** and **synchronisation** among policies and legislation

- Increase **knowledge transfer** among national, regional and local frameworks

- 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 coordination, 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

- Improve **financial instruments** for environmental sustainability

- Strengthen **institutional memory**

- Develop appropriate **training material** to inform, education and share information with stakeholders (communities, politicians, practioners, private sector)

- **Capitalise on media** coverage and existing institutional structures to integrate message contained within the UN Conventions (ie NEEP, Tinkhundla representatives, NGOs)

- **Youth programmes at school and inkhundla level** due to high level of access to the sector of the population through formal education routes allows a structured and consistent message delivery covering all three conventions.

Within this context, the priority areas above have been translated into specific objective driven programmes using a Logical Framework Analysis (LFA). 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 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.

These outputs, and the activities and interventions discussed below are presented here in such a way that they will assist the NCSA Project Management Group in formulating and finalising the Capacity Development Action Plan (CDAP). These are elaborated in more detail below and summarised in the following section (see Section 4).

2.7   The UN Conventions

In order to examine the efficacy with which Swaziland has met its responsibilities under the UN Conventions, due consideration needs to be afforded to the commitments and obligations themselves. In those instances where the respective UN Convention has clearly articulated its requirements Swaziland has largely demonstrated its commitment in meeting these.

The SWOT revealed that the primary constraints are often perceived as relating to finances and human resource issues, primarily the issue of available time. Where the UN Convention clearly articulates its requirements it provides focus such that limited human resources can be used to maximum efficiency. More importantly it provides a structured, objective driven motivation for sourcing and securing financial resources, be these from national or international sources.

A primary example of this is the reporting requirements. The UN Conventions clearly articulate their requirements in terms of reporting to the COP. This is accompanied by specific content that is provided within the text of the respective UN Convention. Often financial resources are made available to facilitate the preparation of such reports. Where dedicated funding is not available the deliverable lends itself to preparation of specific funding applications from external sources. Swaziland has demonstrated its ability to meet its reporting requirements through the local and regional pool of expertise and by sourcing appropriate funding to support such activities.

In comparison, more generic and less specific requirements, such as those relating to public awareness, are more difficult to ascertain. Various interventions and mechanisms are in place throughout Swaziland to improve levels of awareness. These have had varying degrees of success, and the reasons are considered under the individual Thematic Reports. However, with respect to the requirements under the UN Conventions the lack of clarity regarding the specific requirements or a standardised reporting framework makes it difficult to decipher and determine the appropriate response on a national level.

CHAPTER 3 INSTITUTIONAL ARRANGEMENTS

3.1 Institutional Arrangements - Output 1

Meeting the national commitments under the UN Conventions requires strong and skilled management and multi-disciplinary and multi-scale knowledge of the issues, constraints and opportunities involved in effective and sustainable development. An effective integrated approach requires strong systematic, organizational and individual capacity to maintain the focus of the UN Conventions in the forefront of the national commitment.

Central to realising this is the need to improve **collaboration and cooperation** at the national level among focal points. The need for collaboration among national focal points is acknowledged as a recurring theme among the COPs for the respective UN Conventions. This was specifically articulated during UNFCCC SBSTA 19 conclusions (FCCC/SBSTA/2003/15, paragraph 44 (d)) and there again during the eighth meeting of the SBSTTA of the UN CBD in December 2004, wherein it states;

> *"Cooperation among the national focal points to the three conventions has been identified as key to fostering collaboration at the national level."*

In order to fulfill their role as Focal Points individuals must be **properly mandated**. Organizational mission statements and individual mandates encompassed in job descriptions outline and guide individual and institutional functions and responsibilities. Several organizations and individuals were found to be lacking specific mandates with respect to the UN Conventions. These first need to be developed and then reviewed on a regular basis to ensure institutions and individuals are properly tasked to carry out their responsibilities under the UN Conventions. This enables progress and quality to be monitored to identify specific strengths and weaknesses.

Ensuring appropriate mandates for individuals and institutions will assist in clearly **identifying responsibilities** in respect of the UN Conventions. A resource point, be it a list or a document of sorts, clearly identifying those with such responsibilities and clearly articulating responsibilities of these organisations and individuals under the UN Conventions would clarify individual roles, help to motivate and provide a framework for accountability. Such a resource should be developed by the SEA and made accessible through a web based clearing house mechanism.

The SEA has been mandated with national responsibilities in relation to the UN Conventions. Delegation of individual Focal Points in different ministries reflects appropriate technical delegation but has undermined the efficacy with which the synergies and crosscutting issues are capitalised upon. An **Environmental Conventions Coordinating Unit** is proposed as one mechanism to improve efficiency, coordination and cooperation in relation to the UN conventions.

An **Environmental Conventions Coordinating Unit** would provide an appropriate institutional structure for regular interaction of the separate Focal Points. Supported by an officer from the SEA such a CCU would allow for the collection, collation and dissemination of information among Focal Points. The officer should be mandated with responsibility for assisting the Focal Points in UN Convention related activities.

This would alleviate existing time constraints, currently preventing Focal Points from adequately reviewing or responding to official documentation from the respective UN Convention Secretariats. The mandate of any such structure would need to be articulated in further detail to ensure efficiency.

3.2   Reporting Requirements - Output 2

Reporting to the COP of the respective UN Convention is an integral part of the feedback mechanisms and an opportunity not only for signatories to demonstrate their activities under the UN Conventions but also to exchange information and learn from other national experiences. As such, reporting can in itself constitute a valuable link in the experiential development of capacity.

Swaziland has largely demonstrated its ability to fulfill its requirements in terms of reporting. To date, this has largely been supported through donors, notably the local office of the UNDP, and primarily implemented by a network of locally based consultants. There is a need to enhance the existing national capacity around reporting to the COPs of the UN Conventions to ensure **greater autonomy and sustainability** of reporting measures.

The preparation of reports involving the review and collation of existing documentation and information is one of the biggest constraints faced by Focal Points. This is hampered by the lack of a comprehensive information management system and cross-sectoral reference facilities. Interventions are required to assist in streamlining organizational responsibilities. The Coordinating Unit for Focal Points would provide an appropriate framework for the development of **standardised, interim-reporting frameworks**. The UN Conventions provide a format for reporting, the frequency with which these are prepared results in them being arduous, costly and time consuming. More frequent, regular reporting on activities relating to the UN Conventions would alleviate this burden and increase efficiency. This would enable smaller, progress style reports to be submitted more regularly. The intention is to alleviate time constraints, not to impose additional bureaucratic constraints. Judicious development of streamlined reporting would enable ready preparation of submissions to the COP.

The Environmental Conventions Coordinating Unit would also provide for a centralised **clearing house mechanism** supporting the dissemination and collation of information relevant to the UN Conventions, as well as providing logistical support to the Focal Points. Such a Unit should be incorporated into the existing responsibilities of the SEA. The emphasis must be toward providing a supporting role and not the creation of additional bureaucratic burdens. As such, the Coordinating Unit could exist as a "virtual" entity, linked through appropriate technologies and operating largely through electronic media such email and dedicated web sites.

Improved autonomy and efficacy with respect to reporting will be achieved through improved **information management**. Development of a centralized system of data and information capture is required that will enable monitoring of projects with relevance to the UN Conventions, a centralized point for storage and dissemination of information from which best practices can be extracted and synthesized.

3.3   Policy and Legislative Framework - Output 3

At the systemic level, the policy and legislative framework represents an iterative and continually evolving body of legislation, policies and laws. Effective measures need to be put in place to ensure **greater coordination** in policy formulation and legislative development. The extensive existing body of legislation reflects the countries historical focus and fails to encompass the holistic conceptualization of sustainable development. As such there is a need for **greater cross-sectoral involvement** to achieve greater coordination in implementation and enforcement measures. These need to be continually revised and updated.

While many of the legislative and policy initiatives reviewed, such as the NDS, the SEAP or more specific Acts of Parliament such as that for water or plant protection broadly address some of the commitments and obligations contained within the UN Conventions, few if any have taken direct instruction. Development of **appropriate instruments for referral** during the process of policy and/or legislative development and change, such as providing a simple, easy to use check-list for key decision makers and politicians would ensure that key cross-sectoral issues are identified and considered. The Environmental Management Act requires all new Bills, that could have an adverse effect on the protection, conservation or enhancement of the environment or on the sustainable management of natural resources, to be subjected to a Strategic Environmental Assessment. Such frameworks would assist in this regard and make the process of Strategic Environmental Assessment more accessible to decision makers.

Focal Points need formalized and institutional mechanisms to keep track of changes in the legislative environment that may be of specific relevance to the UN Conventions and reported through the COP. The implementation of an effective **information and data management system** would assist in this regard.

Legislative revisions need to be better informed by the outcomes of projects relating to the UN Conventions. For example, lessons learnt through the various land management projects should be incorporated into legislative and policy considerations. In order to achieve this, there needs to be appropriate feedback and monitoring mechanisms that feed into the decision making process. A properly supported and mandated coordinating unit should have such abilities.

There is a specific need to develop and incorporate economic instruments into the legislative framework to promote sustainable development and appropriate environmental management measures. **Economic instruments**, such as incentives and rebates, provides a powerful tool with which to focus and direct economic investments and development. For example, these can be used to enhance the development and utilization of more appropriate and sustainable fuel sources while more realistic pricing of water can improve demand measures. Specifically apportioned tax measures can be used to generate funds in support of environmental management measures and projects.

3.4   Research and Monitoring - Output 4

Research is central to understanding issues of environmental management and developing effective measures to ensure sustainable development. This is variously

addressed under each of the UN Conventions, through provisions for inventories, identification and monitoring (UNCBD - Article 7; UN FCCC- Article 4.1a; UN CCD – Article 16) as well as specific considerations given to research (UNCBD - Article 12b; UN FCCC- Article 5; UN CCD – Article 17, 19b).

The relatively small size of Swaziland affords a unique opportunity in that it should lend itself to a comprehensive, nation wide research and monitoring program. While individual efforts are dependent upon sufficient resources, the existing situation fails to capitalize on synergies among different institutions. Data is separately housed under different institutional mandates and in different formats with different institutions exercising different access rights. A national focus is required that is guided by an effective organizational structure with the appropriate mandate and financial resources to **coordinate monitoring** at the national level.

Structures currently exist for the facilitation and coordination of research in Swaziland, such as the Royal Swaziland Research Council. Such organisations need to be capacitated and resourced 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.

A **national research strategy** should be developed that prioritizes and coordinates research and monitoring. This should involved academic organizations, as well as those government institutions and private organizations responsible for monitoring activities. Appropriate audits of the countries research and monitoring facilities should be undertaken and these harmonized and integrated into a system of nationally linked data management systems. Following a similar process to the NCSA itself, an analysis of the gaps and identification of the national priorities, will provide measurable, objective driven interventions for which individuals and organizations can be held accountable.

Accurate and appropriate data is central to determining the success of any environmental management and sustainable development measures. Swaziland's relatively small size has enabled it to develop inventories of its biota relatively effectively over relatively short time frames (for example see Kunene & Nkosi, 1997; Monadjem & Nkosi, 1997). An effective mechanism **monitoring program** of this biota is required to determine sustainability and efficacy of environmental management measures. Greater use could be made of regional data sets and satellite data is assist in environmental monitoring.

3.5   Public Awareness - Output 5

Issues of awareness around the UN Conventions are a central theme among the UN CBD, UN FCCC and the UN CCD. However, while the UN Conventions provide examples and guidelines on how to increase and engage in awareness raising there are no explicit mechanisms to measure levels of success or report to the COP.

Swaziland has developed and implemented numerous initiatives directed toward increasing levels of public awareness. These include various environmental education initiatives; the use of radio broadcasts and dissemination of information

and that the SEA has a dedicated information officer. Efforts to date are reported as having had varying degrees of success.

Many initiatives have failed due a lack of **sustained momentum**. Without measurable indicators it is difficult to determine the success of any initiatives. Such initiatives are often specific to individual projects and thus not sustained over the long term. Formal measures need to be implemented within the existing structures to introduce and inculcate an understanding of the issues around the environment and also to national responsibilities under the UN Conventions.

Quantitative **benchmarks** need to be established to determine the existing levels of awareness around the UN Conventions themselves and general perceptions relating to the environment. Previous initiatives, such as the utilisation of national media, need to be **re-vitalised**. More effective use needs to be made of technological developments that appeal to the youth and introduce experiential learning. For example, awareness campaigns could be linked with provision of computers and internet based training models that specifically focus on the UN Conventions and the issues covered therein.

Diversifying the educational benefits from such initiatives increases options for funding. A linked initiative could source funding through UN linked organisations under the banner of the UN Conventions, such as the GEF, or through educational and technological initiatives, such as corporate sponsorship and other World Bank organs. Information dissemination is a passive approach to increasing awareness, and one that could be enhanced through initiatives that introduce various linked activities, such as competitions, national features, specific excursions that highlight issues pertaining to the UN Conventions. Such interventions lend themselves to create financing mechanisms and should be driven through **coordinated efforts** between the Environmental Conventions Coordinating Unit and relevant line ministries and departments in collaboration with NGOs.

All such interventions and initiatives should be viewed as long term investments and supported through appropriate financial instruments. Limited seed funding should be provided through the educational budget and the NEF. Dedicated funding allocations should be established for successful programs with sufficient support to ensure autonomy and sustainability.

3.6   Finances - Output 6

Financial capacity is often cited as the single biggest impediment to successful realization of the national commitments and obligations under the UN Conventions. Constraints often relate not to the availability of funds but rather to appropriate **access**. In order to meet its obligations and commitments under the UN Conventions, Swaziland needs not only to ensure the availability of sufficient funding but to ensure that the organizations and individuals have the capacity to access all forms of available funding. Given the diversity of funding sources and the often labourious bureaucracy attached with these there is an immediate need to prepare and disseminate information on what these sources are and the specific requirements of each.

The Environmental Conventions Coordinating Unit should be mandated with the identification of available sources of funding. The Unit should work in close partnership with the Ministry of Finance and Ministry of Economic Planning and Development in developing **procurement manuals**, identifying **sources of funding**, **activities** for which funds are available and the **qualification** and **procurement** procedures. The Environmental Conventions Coordinating Unit should also be responsible for developing partnerships with the private sector, NGOs and other stakeholders to access funding and maximize the benefits afforded to Swaziland through coordinated efforts.

Specific partnerships need to be developed between the SEA, Focal Point and Ministries of Foreign Affairs, Finance and Economic Planning and Development to ensure capacity to take advantage of the **Clean Development Mechanism** of the UN FCCC. The CDM is a fund established by UN to help developing countries in the implementation of projects that will lead to the reduction in the emissions of greenhouse gases. Similar partnerships should be enacted to better utilise similar financial mechanism, such as those of the GEF.

Having been mandated with national responsibilities for the UN Conventions the SEA and the Focal Points should lobby government to ensure **specific allocations in the national budget** for activities related to the commitments and obligations assumed as signatory to the UN Conventions. The SEA and Focal Points should be tasked with making specific motivations annually during preparations for the budget.

The financial provisions of the **National Environment Fund** urgently need to be enacted. Sourcing support funding for the NEF should be an ongoing process.

These should be supported by properly enacted **environmental financial measures**, such as tax incentives to mobilise improved environmentally sustainable practices among the private sector. For example, taxes on land clearing, exponential taxes on water consumption to curb demand, rebates on translocation costs for wildlife and incentives for activities deemed to be "sustainable".

3.7   Capacity - Output 7

Activities to ensure that Swaziland has the capacity to meet its obligations and commitments to global environmental management under the UN Conventions are, in part, being addressed through the NCSA. Priorities and activities addressed above and outlined in the LFA (see Section 4 below) are directed toward ensuring that the recommendations put forward by the PMG in the CDAP are implemented. Such activities need to ensure **appropriate commitment** to implementing the specific projects proposed in the CDAP and continuation of the process.

Development of the national capacity is also linked to a vision and harmonization among national practitioners. Harmonisation of curricula and development of appropriate skills in line with specific needs, some of which have been addressed within the NCSA process, is required. A **structured framework of skills identification** needs to be linked with educational structures to properly tailor the national capacity to meet the national needs. This is an ambitious and long-term vision, but one that should be developed through government partnerships.

Existing capacity gaps are often filled through the employment of technically skilled foreign practitioners. While **knowledge transfer through experiential learning** is typically included through counterpart training schemes general consensus during the evaluation phase of the NCSA was that this is largely unsuccessful. Greater recognition is afforded to formal qualifications and there is little structured knowledge transfer through counterpart initiatives. Formal monitoring and evaluation procedures need to be developed to determine the efficacy of knowledge transfer initiatives. Structured training programs and national frameworks would standardize the facilitation of knowledge transfer.

The development of capacity needs to be viewed as an iterative process that should be revised and re-assessed in relation to the changing needs of the nation. Successful realization and capacity development will only be achieved if there are appropriate levels of **political and financial support**.

CHAPTER 4 RECOMMENDATIONS: ELEMENTS OF A CDAP

The following section presents a summarized version of the activities and interventions discussed in the previous section. The Logical Framework Analysis (LFA) provides the structure for development of a strategy to develop and enhance capacity in order to achieve the objectives of the UN Conventions. Outputs described in detail above will be achieved through the mobilisation of strategic activities described herein. 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 (see SEA 2004a, b, c).

Some of the activities include indicative cost estimates. These should be viewed as preliminary estimates and subject to further verification and discussion. A full strategy and costed action plan will be developed by the PMG in the preparation and finalization of the CDAP. The recommendations presented herein are to be taken into the Capacity Development Action Plan and further worked out.

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification				
Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan				
<u>**Output 1:**</u> ***The Kingdom of Swaziland with the Institutional Arrangements to facilitate its commitments and obligations under the UN Conventions.***	❑ Establishment of a Convention Coordinating Unit for the UN Conventions within the government structure. ❑ Define organisational mandates, mission statements, responsibilities etc. and update/review annually. ❑ Establish centralised information management system (IMS) for the collation and dissemination	SEA Respective organisations SEA	Government support SEA driven process Funding available Technical & staff	E500 000 No financial cost E750 000

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification				
Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan				
	of information.		commitment	
	❑ Strengthen government partnerships and skills to effectively capacitate delegates in negotiations WRT UN Conventions.	SEA / MoFA&T / MEPD	Political will, training initiated Community participation	E200 000
	❑ Training of community organisations and decentralised government representatives on institutional responsibilities under the UN Conventions.	SEA / NGOs		E300 000
Output 2: ***The Kingdom of Swaziland with the capacity to meet its Reporting Requirements under the UN Conventions.***	❑ Increase reporting frequency	SEA	Reduces bureaucracy	No financial cost
	❑ Quarterly reporting by Focal Points to steering committee of Rio Convention Coordinating Unit.	Focal Points	Available time	No financial cost
	❑ Secure funding for increasing delegates to COP to at least 2 individuals.	GoS / SEA	Funding available	Variable (<E180 000)
	❑ Information management system for monitoring project progress, stakeholder activities, policy measures etc.	GoS / SEA	IMS in place, technical capacity	E500 000
	❑ Inclusion of allocations under the NEF to cover the time and cost of reporting on the UN	SEA	Funds available, IMS operational, 1/4rly reporting in	E150 000

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification				
Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan				
	Conventions.		place	
Output 3: *The Kingdom of Swaziland with a Policy and Legislative framework to support and fully realize the ideals and intentions of the UN Conventions.*	❑ Establishment of partnerships between Conventions Coordinating Unit and government ministries.	SEA / GoS	Political will	No financial cost
	❑ Development of appropriate legislation action plans and economic instruments to promote the sustainable development.	GoS / SEA, Consultants	Political will for legislative reform	E750 000
	❑ A central clearing house mechanism for government, specifically relating to the UN Conventions. This should be developed in line with existing structures, capacitating them as required to ensure their operational efficiency.	SEA / GoS	Supported by IMS, web based with hard copy support facilities	E600 000
	❑ Conduct Strategic Environmental Assessment of new existing legislation and policy framework	Consultants, SEA,	Political will, ongoing process	E2 000 000
Output 4: *The Kingdom of Swaziland with the capacity to ensure Research and Monitoring of biological diversity and its sustainable use.*	❑ Coordination of monitoring, inventories and identification initiatives.	GoS /SEA Stakeholders	Resourced, partnerships	E800 000
	❑ Re-structure and effect the Royal Swaziland Research Council.	SEA/RSRC	Institutional will developed	E200 000
	❑ Develop national research strategy.	GoS / SEA / RSRC	Stakeholder support	E800 000

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification				
Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan				
	❑ Allocate specific line items within the national budget in support of research into sustainable development issues.	GoS / MEPD / MoE / RSRC	Research capacity & accessibility	E2 000 000
Output 5: ***The Kingdom of Swaziland with a population Aware of the importance of sustainable development and environmental management and possessing appropriate measures for ensuring realisation of the principles enshrined in the UN Conventions.***	❑ Designation of responsibility for public awareness activities using existing mechanisms in the job description of incumbents (within public sector).	Respective organisations /NEEP/ SEA coordinate	Positions filled	No financial cost
	❑ Development of quantifiable indicators for measuring job performance and productivity with respect to the above.	SEA, Consultants	Follow-up support	E750 000
	❑ Continuation of strengthening school curricula and adult education programmes for environmental conservation and sustainable use of biodiversity.	SEA / MoE, Consultant	On going process	E1 200 000
	❑ Incorporation of indigenous knowledge in the above.	SEA / MoE	IK system documented	E350000
	❑ Coordination of effective dissemination relevant to awareness raising and enhancing technical competence.	SEA / MoPS&/ MoE	Partnerships	No financial cost
	❑ Establishment of Internet based clearinghouse mechanism under the auspices of the	SEA	RCCU established	E600 000

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification				
Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan				
	Environmental Conventions Coordinating Unit to facilitate access to and dissemination of information.			
	❑ Promotion and empowerment of community institutions to enhance participation of communities in co-management initiatives.	SEA	Partnerships	E800 000
	❑ Promotion of a strategy that re-instigates and invigorates use of radio and other media in raising public awareness.	SEA	Commitment	E200 000
	❑ Capture and use of salient points from environmental impact assessment procedure	SEA	Properly resourced	No financial cost
	❑ Development of information material, brochures, posters, supporting websites etc.	SEA, Consultants	Willing recipients	E500 000
	❑ Short course training	SEA, Consultants	Partnerships	E400 000
	❑ Support and strengthen local structures to become information sources.	GoS, NGOs, Consultants		E400 000
Output 6: ***The Kingdom of Swaziland with the financial capacity to fulfil its obligations and***	❑ Specific ministerial line budget for obligations under the UN Conventions.	GoS / MEPD	Budget allocation	E1 500 000 annually
	❑ Financing and funding manuals prepared by	SEA / MEPD	RCCU operational	E300 000

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
commitments under the UN Conventions.	the RCCU to assist stakeholders in accessing financial mechanisms in support of activities related to UN Conventions.			
	❑ Allocation of funds under NEF to support activities under UN Conventions.	GoS	NEF operational	Dependent upon NEF total
	❑ Development of appropriate financial instruments (for example, tax incentives to mobilise private sector, taxes on land clearing, water consumption and subsidies on activities deemed "sustainable")	GoS / SEA / MEPD / Consultants	Partnerships	E1 600 000
	❑ Specific training to access opportunities under the CDM of UN FCCC.	SEA / NMS / MEPD / Consultants	CDM operational	E250 000
Output 7: *The Kingdom of Swaziland with the capacity to meets its obligations and commitments to global environmental management under the UN Conventions.*	❑ Integrate capacity programme into national capacity strategy over and above UN Conventions.	GoS	Political will	No financial cost
	❑ Develop national training framework for knowledge transfer from foreign experts	SEA / Consultants	RCCU operational	E200 000
	❑ Mandate Rio Convention Coordinating Unit to implement recommendations.	SEA / PMG	Funds available	No financial cost

Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification

Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan

OBJECTIVES	ACTIVITIES	IMPLEMENTING AGENCY	IMPORTANT ASSUMPTIONS	COST ESTIMATE
Goal: the capacity to meet binding commitments contained in the three UN Conventions on biodiversity, climate change and desertification				
Purpose: to determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan				
	Financial commitment from Government funds, donors and international sources toward implementation of recommendations.	GoS / MEPD	Funds Secured	E20 000 000

CHAPTER 5 THE WAY FORWARD

This report outlines capacity constraints and Swaziland's national priorities in relation to the UN Conventions. The LFA presented in Section 4 provides a preliminary outline of specific activities and interventions to assist in meeting the national obligations and commitment under the UN Conventions.

Swaziland has demonstrated it's commitment to the provisions of the UN Conventions and the principles of sustainable development within a global environmental framework. The activities presented herein are not considered to be the final solution. This is a continual process that requires political commitments and an individual undertaking to re-evaluate.

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. These intentions should not be seen as outside those of the national agenda, reflected in the NDS and various other national documents. These resources will provide the framework and context for the development of interventions.

Synergies among different sectors require the development of strong and committed partnerships. These take time and can only be facilitated through 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 the people of Swaziland.

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Swingland, I.R. and Nkosi, B.S. (1997) Swaziland Biodiversity Strategy and Action Plan: Analysis of Options. GOS/UNDP Report. Swaziland Environment Authority, Mbabane.

Swingland, I.R. and Nkosi, B.S. (1997) Swaziland Biodiversity Strategy and Action Plan: Analysis of Options. GOS/UNDP Report. Swaziland Environment Authority, Mbabane.

Appendix 2: Minutes of Final Workshop

Date: 17 June 2005

Venue: Tums George Hotel, Manzini

Programme

Background to the NCSA Process	Mr. Rex Brown, NCSA Project Coordinator
Introduction to the NCSA Approach	Mr. Steven Woodburne, CREATE Swaziland
Break (coffee / tea)	
Overview of Findings from the NCSA	Dr Marcus Wishart CREATE Swaziland
Discussion	
Presentation of Logical Framework	Mr. Steven Woodburne, Dr Marcus Wishart CREATE Swaziland
Break	
Discussion	All participants.
Summary of the NSCA Project	Mr. Rex Brown, NCSA Project Coordinator

Questions

- In systematic issues, what does policy framework not conducive means-Mr Vilakati
- Why lack of resources?-Bongani

Slides

- Arie -Why do students know more about biodiversity? -
- Bongani - Output 4,The Kingdom of Swaziland with the capacity to ensure Research and monitoring of Biological diversity and its sustainable use, where are the other 2 conventions?
- Bongani - Specify who's responsible for each task, must not be SEA for everything, If MOAC is responsible then it must be MOAC not that SEA will delegate.
- In output 1, task1, what is the meaning of "institutional will"?
- In output 1, task 5, the implementing agency should be MOAC and SEA
- Output 1, task 3, the word database must be deleted and funding available and no financial cost makes no sense
- Output 2, task 1, preparation of standard reporting format, this statement must be re-arranged, the format is already there
- Output 2, bullet 3, GOS/GEF/COP-why GEF,COP you can not tell GEF and COP that they must go and do this.

- Task 5, must add, allocation of fund under NEF that will enhance the environment.
- Output 3, task 2, development of appropriate legislation and economic instruments to promote the sustainable development, it must be rephrased
- Task 4, conduct strategic environmental assessment of existing legislation and policy framework, the ministry of Justice is not in charge
- Output 5, NEEP was mentioned earlier on but not seen as implementing agency
- Put a cost on indigenous Knowledge for documentation

Comments on the report

- Page 17, some institutions are left out
- KDDP is not a institution
- Illovo is mentioned but where are the other sugar companies
- Page 19, bullet 10-12 are saying the same thing
- Annex 2, some institutions are missing
- Names should be eliminated
- Have one person from institution
- Look for key issues under each convention

Appendix 3: Lists of Key Stakeholders

Category	Sector/Sub-sector	Organisation
(Eg Govt, Private, NGO)	(Eg water, environment, agriculture, social, business, education)	
Govt	Agriculture	MOAC-Community Development Section
Govt	Agriculture	MOAC-Land Use Planning Section
Govt	Agriculture	MOAC-Livestock & Vet. Services Dept
Govt	Agriculture	MOAC Land Development Section
GOVT	Agriculture	MOAC Malkerns Research Station
Govt	Agriculture & Meteorology	MOAC-National Early Warning Unit (NEWU)
Govt	Conservation	MOAC-National Plant Genetic Resources Centre (part of Herbarium)
Govt	Conservation	MOAC-Swaziland National Herbarium
Govt	Conservation & Tourism	Hawane Nature Reserve
Govt	Development	Manzini City Council
Govt	Development	Matsapha Town Board
Govt	Development	Mbabane City Council
Govt	Education & Research	UNISWA-Biology Department
Govt	Education & Research	UNISWA-Crops Department
Govt	Education & Research	UNISWA-Livestock Department
Govt	Education & Research	UNISWA-Land Use & Mechanisation Department
Govt	Education & Research	UNISWA-Geography & Environmental Planning Department
Govt	Emergency Relief	National Disaster Task Force (NDTF)
Govt	Energy	MNRE-Energy Section
Govt	Environment	National University Database Unit (SEA & UNISWA)
Govt	Environment	Swaziland Environment Authority (SEA)
Govt	Environment & Education	National Environmental Education Programme (NEEP) (part of SNTC)
Govt	Environment & Tourism	Transfrontier Conservation Coordinator (part of SNTC)
Govt	Environment, National Heritage & Tourism	Swaziland National Trust Commission (SNTC)
Govt	Fisheries	MOAC-Fisheries Section
Govt	Forestry	MOAC-Forestry Section
Govt	Health	Ministry of Health & Social Welfare
Govt	Legislation	Ministry of Justice
Govt	Meteorology	MPWT-Meteorological Services
Govt	Research	UNISWA-Swaziland Institute for Research in Traditional Medicine, Medicinal and Indigenous Food Plants
Govt	Research & Agriculture	MOAC-Research Division (Malkerns)

Category	Sector/Sub-sector	Organisation
(Eg Govt, Private, NGO)	(Eg water, environment, agriculture, social, business, education)	
Govt	Water	MNRE-Water Resources Branch
International Donor	Agriculture	Food Agriculture Organization
International Donor	Development	United Nations Development Program
NGO	Agriculture & Business	Micro Projects
NGO	Agriculture & Business	Swaziland Farmer Development Foundation (SFDF)
NGO	Agriculture & Business	African Cooperative Action Trust (ACAT)
NGO	Business	Swaziland Federation of Employers and Chamber of Commerce
NGO	Business	Traditional Healers Association
NGO	Business & Social	Women Resource Centre
NGO	Conservation	Swaziland National Conservation Trust (SNCT)
NGO	Conservation & Education	Natural History Society
NGO	Conservation & Tourism	Shewula Trust
NGO	Conservation	Umbuluzi Catchment Association
NGO	Education	Swaziland Teachers Association
NGO	Energy	Renewable Energy Association of Swaziland
NGO	Environment & Education	Yonge Nawe Environmental Action Group
NGO	Social & Education	Caritas Swaziland
NGO	Social & Education	Coordinating Assembly of Non-Governmental Organizations (CANGO)
NGO	Social & Education	Council of Swaziland Churches
NGO	Social & Education	Lutheran Development Services
NGO	Social & Education	Woman Resource Centre
Parastatal	Business	Tibiyo Taka Ngwane
Parastatal	Business - Agriculture	Dalcrue Agricultural Holdings (part of Tibiyo)
Parastatal	Business - Agriculture	Komati Downstream Development Project (KDDP)
Parastatal	Development	Swaziland National Housing Board (SNHB)
Parastatal	Energy	Swaziland Electricity Board (SEB)
Parastatal	Tourism	Swaziland Tourism Authority
Parastatal	Water	Swaziland Water Services Corporation (SWSC)
Parastatal	Water, Agriculture & Business	Swaziland Water and Agriculture Development Enterprise (SWADE)
Private	Business - Agro-industry	Royal Swaziland Sugar Association (RSSC)

Category	Sector/Sub-sector	Organisation
(Eg Govt, Private, NGO)	(Eg water, environment, agriculture, social, business, education)	
Private	Business - Agro-industry	Ilovo Sugar Company (Ubombo)
Private	Business - Forestry	Mondi Forest Company
Private	Business - Forestry	Sappi Usutu Forest Company
Private	Business - Forestry	Shiselweni Forestry Company
Private	Conservation	Lubombo Conservancy
Private	Conservation	Mhlosinga/Big Bend Conservancy
Private	Conservation & Tourism	Big Game Parks
Private	Conservation & Tourism	Mbuluzi
Private	Conservation & Tourism	Shonalanga
Private	Conservation & Tourism	Simunye
Private	Conservation & Social	Sibetsamoya
Private	Tourism	Mhlosinga Wildlife Producers Ass.
Private	Tourism	Nisela Safaries
Private	Tourism	Swazi Trails
Private	Tourism & Conservation	Muti Muti
Private	Tourism & Conservation	Phophonyane

Appendix 4: Terms of Reference

TERMS OF REFERENCE

PREPARATION OF THE NATIONAL CAPACITY SELF-ASSESSMENT REPORT ON NATIONAL CAPACITY NEEDS, CONSTRAINTS AND PRIORITIES FOR THE IMPLEMENTATION OF THE CLIMATE CHANGE, DESERTIFICATION AND BIODIVERSITY CONVENTIONS

A Request for Proposals is called for by the Swaziland Environment Authority to contribute to an ongoing project assessing the capacity needs of national stakeholders in implementing the three key Rio Conventions (climate change, desertification and biodiversity).

Background

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. In addition, 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. This lack of capacity has been identified as a key obstacle to the effective implementation of the Conventions.

In this context, the Govt of Swaziland in cooperation with the UNDP is currently undertaking a National Capacity Self Assessment (NCSA) with respect to three global conventions: UN Framework Convention on Climate Change (UNFCCC), UN Convention on Biological Diversity (UNCBD) and UN Convention to Combat Desertification (UNCCD).

The NCSA process provides Swaziland with an opportunity to review her global environmental responsibilities she has assumed since the Rio Earth Summit and determine how to reconcile these responsibilities with national sustainable development priorities. In particular, the NCSA process has three aspects that make it a particularly valuable exercise. First, the NCSA process can carefully examine past capacity development efforts focused on the three thematic areas in order to derive lessons from the successes and failures of specific interventions. Second, the process allows stakeholders the freedom to explore potential "win-win" situations between their global environmental obligations and local and national environmental challenges and opportunities. Third, with its unprecedented focus on analysing issues that cut across the Rio conventions, the NCSA represents a critical step in effective implementation by promoting a more integrated and synergistic approach.

Lessons learned from past projects seem to suggest a need in countries for capacity building measures to strengthen co-ordination of environmental policy formulation and implementation among sectoral authorities at the national (and local) levels for global environmental management.

A key deliverable of the overall NCSA process is an Action Plan for Capacity Development which outlines - for each thematic area of biodiversity, climate

change and desertification as well as across the thematic areas - priority issues, capacity constraints and opportunities for capacity development.

Potential Benefits Flowing From a National Capacity Self-Assessment for Global Environmental Management (NCSA)

The Govt of Swaziland has recognised the need for a concerted effort to strengthen Swaziland's capacity to manage the global environment and has thus decided to undertake this NCSA process to identify the gaps and opportunities in building its capacity. Issues such as unused, misused, underused or overburdened capacities need to be identified and gaps or constraints that cut across several sectors need to be addressed as a joint effort by different stakeholders.

Study Objective

The objective of this study is to identify national capacity constraints and priorities to meet binding commitments contained in the three Rio Conventions on biodiversity, climate change and desertification and determine how best to develop this capacity to meet Swaziland's commitment to global environmental management through the production of a strategy and action plan.

Scope of the Work

Under the overall guidance of the NCSA Project Management Group (PMG), and the direct supervision of the NCSA Project Coordinator (PC), the Consultancy will undertake a cross-cutting capacity assessments of key stakeholders and institutions for the implementation of the climate change, desertification and biodiversity conventions.

Capacity assessments will be conducted within and across the thematic area of each convention (climate change, desertification and biodiversity). Instead of focusing upon one aspect of capacity development, the NCSA aims to address all aspects of capacity - systemic, institutional and individual and local and national levels.

In order to develop specific opportunities for capacity building within the three thematic areas of biodiversity, climate change and desertification, a good understanding of the baseline situation for each of the respective area is essential. The availability of a thematic profile/situation analysis can provide insight and guidance into major challenges and opportunities for future capacity building interventions. It is with this information in hand that priorities can be identified (or confirmed) and related capacity constraints and opportunities for capacity building determined. Preparing a separate profile for each of the thematic areas is considered to be important to obtain a clear understanding of each thematic area. While various options exist regarding the magnitude of thematic profiles and the process selected for preparing the profiles, it is important that all interested and affected parties have an opportunity to contribute to the preparation of the profiles.

The thematic assessments will embrace three levels of capacity assessment and development - individual, institutional and systemic:

Capacity assessment and development at the individual level refers to the process of changing attitudes and behaviours - imparting knowledge and developing skills while maximising the benefits of participation, knowledge exchange and ownership.

Capacity assessment and development at the institutional level focuses on the overall organisational performance and functioning capabilities, as well as the ability of an organisation to adapt to change. It aims to develop the institution as a total system, including individuals, groups and the organisation itself.

Capacity assessment and development at the systemic level emphasises 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 institutions.

The study will focus on capacity related issues that are common across the conventions, assessing the capacities needed to address these in a synergistic manner, including needs associated with strengthening existing institutional mechanisms and developing appropriate networks. In addition this study aims to strengthen the dialogue, information exchange and cooperation amongst all stakeholders.

It is expected that the successful Consultant will undertake this study in a highly participatory manner with detailed consultations with identified stakeholders and institutions using methods such as workshops and focus group meetings amongst others.

Activities to be Undertaken

To realise the NCSA Study Objective, the Consultant will undertake the following key activities for each thematic area:

1. Collate and review relevant documentation including the text and subsequent modifications/decisions to the three Rio Conventions

2. Review and evaluate relevant strategies, action plans, Govt policies and thematic assessment reports where they exist

3. Identify and describe the key capacity requirements or implications of the Conventions

4. Identify key stakeholders that are considered to have capacity obligations to implement the Conventions

5. Develop a programme of work to identify capacity constraints and priority issues in implementing the three Conventions

6. Undertaking a stock-take and gap analysis of existing capacity (systemic, institutional and individual) of key stakeholders to implement the three Conventions. The stock-take should produce a comprehensive overview of the current situation and previous capacity building activities

7. Prepare Thematic Assessment Profiles that describe all the capacity-related issues

in a descriptive and neutral manner and determine priorities as distilled from existing studies and analyses

8. Carry out a detailed review and analysis of potential cross-cutting issues and evaluate capacity constraints and complementarities and the means to address them more effectively and efficiently

9. Identify the key priority cross-cutting issues for each thematic area

10. Identify and describe key capacity constraints of the identified stakeholders and suggest minimum and/or optimum capacity levels required for sustainable implementation of Convention obligations

11. Identify the problems faced in addressing the identified priority issues within each thematic area and identify the key or root cause(s) of the problem and at what level these capacity constraints occur (systemic, institutional and individual)

12. Identify opportunities for capacity building or development to address the identified capacity constraints for each thematic area

13. Prepare a final report presenting an analysis of the findings of the thematic assessments and an evaluation and assessment of the synergy opportunities and cross-cutting issues and priority issues

14. Present report and findings to a national stakeholder workshop

15. Finalise report and submit for approval by the PMG

Study Outputs

Although the following outputs are presented as key deliverable steps, the Consultant is advised that the NCSA National Report (the final outcome of this study) is an integrated study of capacity and the final report will combine the findings and analysis from all stages of this study into a final report.

The outputs shall include, for each thematic area:

1. Inception Report

   a. Within 2 weeks from the date of appointment, the Consultant shall prepare an Inception Report to be presented to the NCSA Coordinator and PMG that describes your proposed workplan and methodology to implement this study. The workplan should be time bound and as detailed as possible.

   b. The same report shall also identify gaps and constraints that these TORs may have overlooked and recommend a way forward. Cost implications can be discussed with the Coordinator and PMG.

   c. The PMG will require 5 copies of this report and a digital version on a CD.

   d. The PMG would require 5 days for comment and feedback.

2. Mid-Term Report

    a. Within 4 weeks from the finalisation and acceptance of the Inception Report, the Consultant shall prepare a Mid-Term Report to be presented to the NCSA Coordinator and PMG that describes the outcomes of Activities 1 to 9.

    b. The PMG will require 5 copies of this report and a digital version on a CD.

3. Thematic Assessment Reports

    a. Within 2 weeks from the finalisation of the Mid-Term Report, the Consultant shall prepare three thematic assessment reports that present the major findings of the capacity requirements, needs, opportunities, challenges and cross-cutting synergies for the implementation of each Convention.

    b. The PMG will require 5 copies of this report and a digital version on a CD.

    c. The PMG would require 5 days for comment and feedback.

4. Capacity Assessment Reports

    a. Once a number of priority issues have been determined, relevant capacity constraints can be identified, within each thematic area. The guiding question in identifying the capacity constraint should always be, "What specific problems are preventing an adequate response to the priority issues?"

    b. Within 2 weeks from the finalisation and acceptance of the Thematic Assessment Report, the Consultant shall prepare a Capacity Assessment Report that presents the initial findings and analysis of the Activities 10 to 12.

    c. The PMG will require 5 copies of this report and a digital version on a CD.

    d. The PMG would require 5 days for comment and feedback.

5. National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions (Draft Report)

    a. Taking into consideration the results from the previous assessment phase, it should be possible to synthesise the results into a single concise document, the National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions Report. This document will serve as an important tool to brief national decision-makers as well as external funding agencies about specific capacity needs to protect the global environment.

    b. Within 2 weeks from the finalisation of the Capacity Assessment Report, the Consultant shall prepare his integrated draft National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities

for the Implementation of the Climate Change, Desertification and Biodiversity Conventions Report which synthesizes findings and recommendations from the thematic analysis.

    c. The PMG will require 5 copies of this report and a digital version on a CD.

    d. The PMG would require 5 days for comment and feedback.

6. National Stakeholder Workshop

    a. Upon approval of the draft report by the NCSA PMG, the Consultant will present the draft report to a stakeholder workshop arranged and organised by the Consultant at a venue suited to the expected number of participants.

    b. The workshop aim will be to present the NCSA report and seek broad approval from stakeholders for the report and its findings and recommendations.

7. Finalisation of the National Capacity Self-Assessment Report on National Capacity Needs, Constraints and Priorities for the Implementation of the Climate Change, Desertification and Biodiversity Conventions

    a. Following the workshop the Consultant shall, taking into account comments received from stakeholders, finalise the report and present it to the PMG.

    b. The PMG will require 5 copies of this report and a digital version on a CD.

    c. The PMG would require 5 days for comment and feedback.

Professional Skills and Experience

To effectively undertake this assignment the Consultants (organisations or individuals/teams) are expected to have broad relevant experience and a skill base covering not only capacity assessments but with a detailed knowledge and understanding of capacity issues and synergies relating to biodiversity, climate change and desertification.

The PMG encourages the use of technical specialists resident in Swaziland and to form part of the Consultants team.

The Consultant must posses the following:

- Good knowledge on and extensive working experience in capacity assessments/building/development, environmental policy and management related projects/programmes preferably in SADC countries.

- Advanced degree in a relevant field, including public Client, business Client, environmental management, economics, natural resources management or law.

- Good knowledge of the objectives of the UNFCCC, UNCBD and UNCCD conventions and new developments in elaboration of synergies between

international conventions.

- Working experience with international organisations.

Study Duration

It is expected that this study will take 16 weeks from appointment.

Budget

With funding support from the GEF the NCSA PMG are able to offer a maximum budget of $36,800.00.

Proposal Presentation

As part of the proposal submission and evaluation process, it is likely that you will required to make a verbal presentation and defence of your proposal to the PMG. During this 20 minute session, the PMG will be at liberty to ask questions and clarify any points that may arise from your submission, comment upon your workplan, methodology and general understanding of the study.

The date, time and venue for this presentation will be communicated to you in good time.

Study Related Literature

The implementation of the NCSA Project is guided by an international process and though this study forms an important part of the overall project, the Consultant is strongly urged to read around the project in the preparation of this RFP and in the execution of related activities. Useful documents include:

UNDP/GEF, 2003. National Capacity Self-Assessments UNDP/GEF Resource Kit (No. 3). http://www.undp.org/cc/publications.htm

GEF, 2001. A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management. http://www.gefweb.org/

CHAPTER 1 INTRODUCTION

To complement activities of the NCSA process, in particular the "stock-take", a study was undertaken to consolidate information for this particular exercise. The study aimed to obtain information relating to the following main issues:

- Awareness issues on Biological diversity, Climate Change and Land Degradation
- Capacity needs, constraints and priorities for the implementation of the UN conventions on Biological Diversity, Climate Change and Land Degradation

1.1   Awareness issues

Awareness issues investigated entails the following:

- Level of general awareness about the issues of Conservation of Biological Diversity, Climate Change and Land Degradation
- Level of knowledge, if any, of the UN conventions on Biological Diversity (UNCBD- United Nations Convention on Biological Diversity), Climate Change (UNFCCC- United Nations Framework Convention on Climate Change) and Land Degradation (UNCCD-United Nations Convention to Combat Desertification)
- Awareness of Swaziland's response to the conventions, suggestion on what Swaziland should be doing in response to these issues and establishing who should be responsible to take action on these issues.

1.2   Capacity needs, constraints and priorities for the implementation of conventions

Capacity needs, Constraints and Priorities for the implementation of the UN conventions were investigated at these levels:

- Systemic level;
- Institutional / Organisational level and
- Individual level

Systemic level

At the systemic level, investigations on capacity needs, constraints and priorities entailed establishing information on the Policy Framework, Legal and Regulatory framework, Management and Accountability and Economic framework available. Other issues investigated relate to Systems level resources, processes and relationships and any other issues pertaining to capacity needs, constraints and priorities.

Institutional / Organisational level

At this level, the study aimed at establishing capacity needs, constraints and priorities in terms of management frameworks, culture, structure and competencies including processes at the institutional level. Capacity needs, constraints and priorities in relation to human, information and financial resources and infrastructure were also investigated.

Individual Capacity

At the individual level the study aimed at identifying capacity needs, constraints and priorities in terms of Job requirements and skill levels, training and development and other issues such as career progression, accountability and ethics. Other issues also investigated relate to access to information, professional networking, performance and conduct, values, integrity and attitudes, communication, morale and motivation.

1.3   APPROACH

The approach adopted in undertaking this study included the following activities undertaken in a sequential way:

- Designing of the questionnaire/instrument
- Determination of sample
- Administering of questionnaire
- Designing of database (data capturing form)
- Capturing of data
- Data analysis and interpretation
- Report writing

1.4   Designing of Questionnaire

A questionnaire was designed and could be used as a self –completion questionnaire or administered through interviews, face to face or through the telephone. The questionnaire consisted of direct, closed and predominantly open questions (**See annex for Questionnaire**). The questions were designed to be probing than leading, focused and flexible to accommodate various and detailed responses covering issues indicated in section 2 above.

1.5   Determination of sample

Due to time and resource constraints, a non-probability type of sampling was adopted and this mainly included both convenience and purposive sampling, the latter being the one most used. The sample consisted of senior pupils drawn from the various national schools (from both urban and rural settings) in all the country's regions, Organisations (representatives of Govt ministries and Parastatals, NGOs) and amongst these the following can be listed; Swaziland National Trust Commission,

(SNTC), National Environmental Education Program (NEEP), Ministry of Economic Planning and Development (MEPD), Ministry of Natural Resources and Energy (MNRE), Mbabane Municipality, Coordinating Assembly for Non-Governmental Organisations (CANGO), Swazi Trails, Swaziland Agricultural Research Centre, Ministry of Agriculture and Cooperatives (MOAC), Swaziland Environmental authority (SEA), Food and Agricultural Organisation (FAO) and Ministry of Public Works and Transport (MPWT **- Meteorology**). In total 181 people were interviewed (90 % being pupils targeted mainly for awareness issues) and 10% being representatives of Organisations or Institutions.

1.6   Administering of Questionnaire

Administering of the questionnaire took place in two main ways;

- As a self-administering questionnaire and
- Through personal (one on one interviews).

1.6.1 Self-administering questionnaires

Questionnaires were sent out to institutions and individuals to fill the responses in writing and return to the office. In most cases several follow up calls have to be made to ensure that questionnaires are actually completed and returned. In other instances, and in many cases, completed forms were collected in person from the institutions or individuals responding. A high non-response rate was the main limitation.

1.6.2 Personal (face to face interviews)

This entailed face-to-face interviews with respondents at their respective institutions and places. This was the least form of administering questionnaires used because in many cases target individuals could not be found and the questionnaire had to be left for completion and collected later.

CHAPTER 2 DESIGN OF DATABASE (DATA CAPTURING FORM)

A database was designed on Microsoft Access and the focus was to create a form to enter all data. The form constituted all questions contained in the questionnaire. At some instances "short hand" type of writing was used in particular where the questions were exceedingly long. Response fields were created to be large enough to accommodate even very detailed responses. Associated queries and reports were also created for ease in analysing data. Data captures were oriented to the database, in particular the form and the associated questions and also oriented on how to enter data in the form.

2.1   Capturing of data

Data was captured "as is" into the database form. No translations, corrections or writing in short form were permitted. Questionnaires were entered on "first come first

serve" bases. All of the data is in this digital format and a number of specific additional queries can be undertaken including various reporting.

CHAPTER 3 SURVEY FINDINGS

Findings of this study are presented in the subsequent pages and cover all aspects that were investigated (Awareness issues and capacity needs, constraints and priorities in implementing the Conventions on Biological diversity, Climate Change and Land Degradation). Despite the qualitative nature of the data, an effort has been made to attach some degree of quantitative values in the analysis and interpretation of the data.

3.1 Awareness Issues

Investigations on awareness issues entailed establishing respondents knowledge of Biodiversity (What is it and its benefits), climate change (its effects and how it occurs) and land degradation (How does it occur and associated convention of land degradation and desertification). It also wanted to establish respondent's awareness with regard to UN conventions on Biological Diversity, Climate Change and Land Degradation. Swaziland's response to the convention or what Swaziland should be doing including suggestions on who should be responsible for implementing these conventions were also investigated. Distinction is made between the two broader categories of respondents (pupils and representatives of organisations/ministries/institutions) under this section.

3.1.1 Biological diversity

Respondent's views concerning their understanding of Biological Diversity are quite diverse and in most cases misleading.

Senior pupils in general conceive it to have a variety of meanings: "the difference between plants and animals (22%), living things in general and their distribution (15%), natural resources and environment (13%) and a field of study that focuses on the difference between plants and animals (12%). A sizeable amount of the respondents cite total ignorance of Biological Diversity (15%) and the rest (23%) gave miscellaneous responses that shows some misunderstanding of Biological Diversity. Very few respondents (2%) alluded to the concept of species variety in their responses regarding Biological Diversity. Table1 below shows these various responses given by senior pupils

Table 2: Senior Pupils understanding of Biological Diversity

Responses	Percentages (%)
The difference between plants and animals	22
Living things in general and their distribution	15
Natural resources and environment	13
A field of study that focuses on the difference between plants and animals	12
Ignorant of Biological Diversity	15
Miscellaneous responses	23

There is a marked difference between pupils and representatives of organisations views on Biological Diversity, with those of the latter showing some degree of improved understanding of Biological Diversity incorporating "species" "ecological processes" and "genes" concepts in some responses.

This category conceive Biological diversity to mean; "Various plants and animal species on earth – variety of species – Variety of Flora and Fauna (31%), co-existence of all life forms within a given ecosystem including ecological processes they play (15%), Genes, species and ecosystem processes (8%). Of these respondents 46% cited complete ignorance of Biological Diversity. While this category of respondents show an improved understanding of Biological Diversity, it does not underscore that the variability is not only between species (species diversity – variety of living organisms), as usually pointed out, but even within species (genetic diversity – the sum total of genetic information contained in the genes of individuals of plants, animals and micro organisms) and between ecosystems and the ecological complexes of which they are part (ecosystem diversity – the variety of habitats, biotic communities and ecological processes in the biosphere as well as the tremendous diversity within ecosystems in terms of habitat differences and the variety of ecological process).

3.1.2 Benefits of Biodiversity

It appears that respondents view benefits of Biodiversity to be mainly ecological, economic and to a lesser extent scientific/educational in nature. However, differences arise in relation to the actual context in which these ecological, economic and scientific benefits are seen.

Ecological benefits of biodiversity entail such things as exchange of atmospheric gases (oxygen and carbon-dioxide between plants and animals), balance of earthly functions (though in most cases not specified), interdependence between plants and animals for food and the natural checking of population growth of plants and animals.
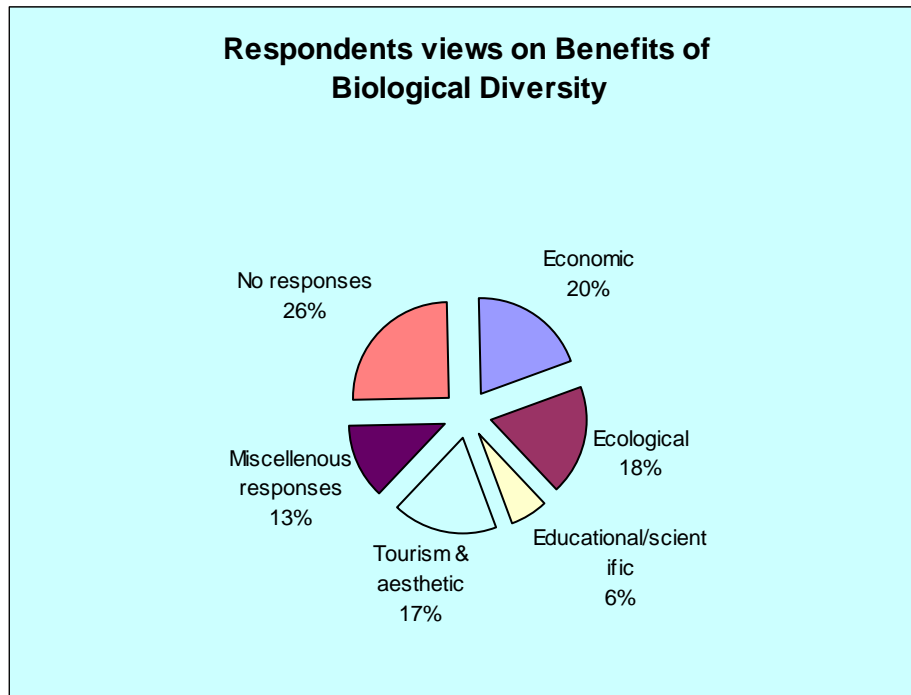
Economic benefits arising from Biological Diversity, as viewed by respondents, entail the provision of a pool of raw materials from various plants and animals, including final products, employment opportunities, tourism and its contribution to foreign exchange. Tourism is embedded with the aesthetic function of Biological diversity.

In terms of scientific benefits, medicinal benefits, scientific research, general conservation methods and knowledge of the different plant and animals are highlighted.

Figure.1 **Respondents views on Benefits of Biological Diversity** presents a summary of respondents' views of the benefits of Biological Diversity. The majority of respondents feel Biological Diversity has more economic benefits (20%) than ecological benefits (18%), Tourism and aesthetic benefits (17%) and the least being Educational/Scientific benefits (6%). Economic benefits rank higher despite their disaggregation to another measure of benefit, Tourism and aesthetic benefits. Without disaggregation of these two, economic benefits assume 37%. However, it is worth noting that a holistic picture of respondents views are not fully captured since a majority of the respondents (26%) did not respond to these questions while the rest

gave miscellaneous (13%) responses that may also be considered as an indication of a lack of awareness of the benefits of Biological Diversity.

Figure 1: Respondent's views on Benefits of Biological Diversity

It is worth commenting that while responses taps on economic, ecological and Scientific benefits, there is no mention of ethic benefits that underscores indirect values, in particular the existence value (value of ethical feelings of existence of wildlife) and option value (value of maintaining options for the future). Values underscored are those of the productive Use Value (e.g use of raw materials etc) and non-consumptive use value (for instance scientific research) although at a lesser degree. It may be quite surprising that consumptive use value (for instance non-market value of fire wood, game etc) is not highlighted when in most cases this may be some of the benefits.

3.1.3 Climate Change

The majority of respondents (77%) cited that they are aware of the effects of climate change. Further investigated as to how does climate change occurs, respondents gave varying explanations. In other instances, than to give such explanations they elaborated on the indicators or effects of climate change.

A mix of anthropogenic factors responsible for climate change were cited in specific and non-specific terms including amongst them pollution from industries (15%), Deforestation (9%), damage of the ozone layer (6%) and the increase of greenhouse gases (2%) in the atmosphere.

A complete picture is not presented by these figures since 12% cited total ignorance of these factors, 11% gave responses that alludes to effects or manifestation of climate change

(Commonly mentioned being the rise of temperatures above average and change in rainfall patterns for the worst) and the majority (45%) gave miscellaneous responses that indicate some level of ignorance as to how climate change occurs. These factors influencing climate change, as conceived by respondents, are presented graphically in figure 2 below:

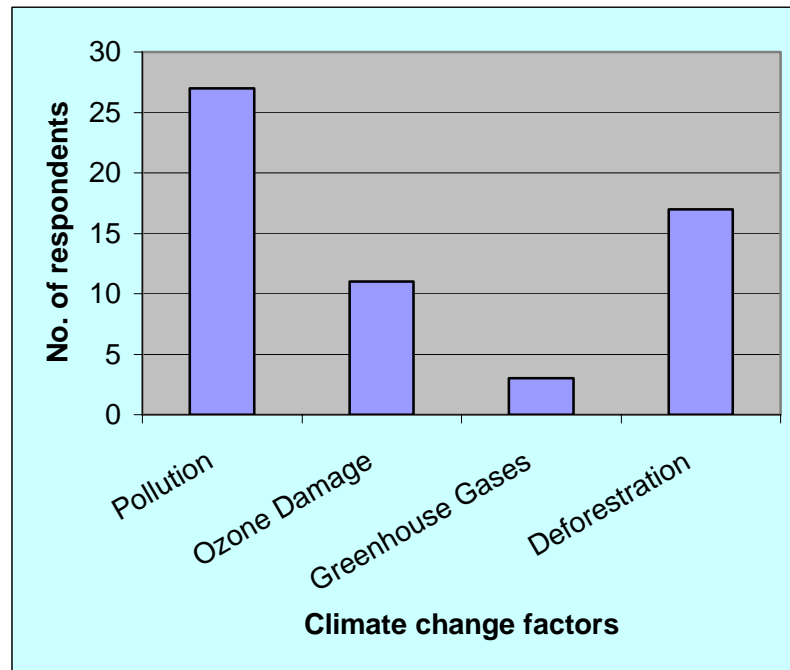*Figure 2: Respondents views on factors responsible for climate change*

Figure 2 above indicates that a majority of the respondents view pollution to be the major cause of climatic change, followed by deforestation, ozone layer damage and the increase of greenhouse gases in the atmosphere.

3.1.4 Land Degradation

Respondents' understanding of Land degradation is less varied and there seems to be an overlap on their views. A majority (38%) understand land degradation to be the loss of productive value of land and in many cases this relates to "soil fertility". It is also understood to be soil erosion (24%), which is also considered to render soils infertile. In other cases, responses (19%) simply point out causes of land degradation, mainly being anthropogenic factors (Bad farming practises – overstocking, uncontrolled burning of fires etc) and heavy rainfall. This response points to the same notion of land degradation to mean soil erosion. The rest gave no responses (9%) and miscellaneous (10%) responses that indicate they may not be aware of what land degradation means to them. A summary of these responses is shown in Table 2: Summary of responses on Land Degradation.

Table 3: Summary of responses on Land Degradation

Responses	Percentage %
Loss of productive value of land	38

Soil erosion	24
Effect of anthropogenic influences on the soil	19
No responses	9
Miscellaneous responses (also indicators lack of awareness	10

3.1.5 United Nations Conventions

Findings reveal limited awareness on the international conventions on the conservation of Biological Diversity, Climate Change and Land Degradation. Even those who declare to have heard about these conventions, their responses indicate that they have limited information on what these conventions entail. Overall, 46% of respondents stated that they have heard about the convention on biological diversity, climate change (44%) and Land Degradation and desertification (39%). Table 3 below contains a detailed analysis of these findings:

Table 4: Awareness of UN conventions (UNCBD, UNCCD, UNFCCC)

International Convention	Overall responses (Yes/No)				Senior Pupils (Yes/No)				Organisations (Yes/No)			
	Yes	%	No	%	Yes	%	No	%	Yes	%	No	%
Biological Diversity	83	**46**	98	**54**	75	**45**	93	**55**	8	**62**	5	**38**
Climate Change	79	**44**	102	**56**	71	**43**	97	**57**	6	**46**	7	**54**
Land Degradation	71	**39**	110	**61**	65	**37**	103	**63**	6	**46**	7	**54**

3.1.6 Swaziland's response to conventions

A majority of respondents (57%) stated that they are not aware of what Swaziland is doing in relation to the issues of conservation of biological diversity, climate change and land degradation. An analysis that takes cognisance of the two broader categories of respondents, reveals that 59% of senior pupils and 38% of representatives of organisations are not aware of Swaziland's response to these conventions. A few (15%) of respondents from the latter category cite that they are aware of some activities relating only to Biological diversity (activities were not specified). There is also mention of the development of the Swaziland Environment Action Plan (SEAP) as Swaziland response to these issues. Other responses given were miscellaneous, not specific and presents the notion that Swaziland's response to these issues is marked with less coordinated and ad hoc activities including some of the following:

- Promoting conservation of nature in general
- Establishment of organisations that teach Swazis about conservation (Yonge Nawe) Environmental group, Swaziland National Trust Commission (SNTC) and (Swaziland Environmental Authority mentioned)
- Running of radio programmes to promote the conservation of nature
- Establishment of national nature reserves

- Has signed multi-lateral agreements with the international organisations

3.1.7 Swaziland's supposed to be response

A number of suggestions were given by respondents in relation to what Swaziland should be doing to respond to these issues/conventions. Many of these responses points towards the following summarised points:

- Promote the teaching of basic conservation practises
- Develop an awareness program about the conventions targeting all groups
- Develop policies, legislation (this should be enforced) and Action plans for the implementation of these conventions
- Use media to teach the public about the conventions
- Create a pool of experts to assist in all aspects relating to the conventions
- Conduct research studies that have their focus on issues of Biological Diversity, Climate Change and Land Degradation
- Introduce these into the Curriculum for schools
- Request donors to fund most of the activities that relate to these conventions and their implementation
- Add other Environmental NGOs to the current ones to assist with these conventions
- Add Nature reserves as a means for conservation of Biological Diversity
- Promote national and international exchange of information and knowledge regarding these issues
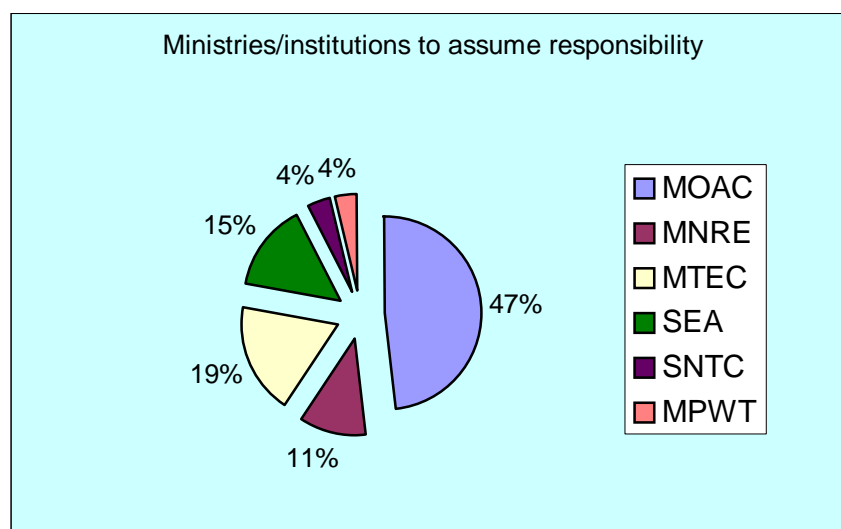
3.1.8 Responsibility for implementing conventions

The majority (55%) of respondents pin the responsibility for implementing these conventions on "everyone". It is also interesting to note that other respondents place responsibility not only to all individuals, but Govt, Ministries, institutions within ministries, independent institutions and Non Governmental Organisations. About 23% of those interviewed assert that the implementation of these conventions should be the responsibility of the Govt. Other respondents feel it should be the responsibility of or a combinations of these ministries, institutions and department; Ministry of Agriculture and Cooperatives (MOAC), Ministry of Tourism, Environment and Communications (MTEC), Ministry of Natural Resources and Energy (MNRE) and these institutions: Swaziland Environment Authority (SEA), Swaziland National Trust Commission (SNTC), Ministry of Public Works and Transport (MPWT -Meteorology Section). Very few indicated that it should be the responsibility of the United Nations, Youth and the King of Swaziland.

A comparison is made between the ministries and institutions suggested to assume the responsibility of implementing the conventions on Biological Diversity, Climate change and land degradation in figure 3 below. It is remarkable that a majority of respondents suggest MOAC should assume responsibility. This might be related to a number of reasons including that this ministry has been quite involved in basic conservation approaches including interventions targeting basic causes of land degradation (soil erosion, burning of grass etc).

It is also worth noting that while the Ministry of Tourism, Environment and Communications and SEA have been put separately in this comparison, one (SEA) is a department within the ministry (MTEC).

Figure 3: Ministries and institutions suggested to assume responsibility

CHAPTER 4 CAPACITY NEEDS, CONSTRAINTS AND PRIORITIES

An investigation on Capacity needs, constraints, and priorities was mainly directed to representatives of organisations/ministries and institutions. These capacity needs, Constraints and Priorities for the implementation of the UN conventions were investigated at these levels:

- Systemic level;
- Institutional / Organisational level and
- Individual level

4.1 Systematic capacity

At this level, investigations on capacity needs, constraints and priorities entailed establishing information on the Policy Framework, Legal and Regulatory framework, Management and Accountability and Economic framework available. Other issues investigated relate to Systems level resources, processes and relationships and any other issues pertaining to capacity needs, constraints and priorities.

4.1.1 Policy, Legal and Regulatory Framework

Interviewees were asked to give their opinions on the conduciveness of the policy environment, appropriateness of legislation, effectiveness of its enforcement including cultural mores.

The majority of the respondents allege that the policy framework is not conducive and a great deal needs to be done to correct the current situation of environmental legislation in the country. Amongst the issues identified include that it is outdated, fragmented and contradictory. While it does exist on paper the major problem is that of enforcement. In many instances "enforcement is very poor" and there is lack

of the "necessary institutional machinery and reinforcement authority". Poor enforcement is blatantly blamed on the cultural norms of the country including its political systems. Suggested by some of the respondents is that the national Environmental Legislation needs to be reviewed to iron out flaws in it which make the legal and regulatory framework seem contradictory and to achieve the clarity it needs to enable its use in implementing the conventions on Biological Diversity, Climate Change and Land Degradation.

4.1.2 Management and accountability framework

Respondents were asked if institutional responsibilities are clearly defined and to what extent is accountability realised.

Respondents gave conflicting opinions on this aspect. Some do think institutional responsibilities are clearly articulated and also feel there is some level of accountability among them. However, there is mention of issues in relation to the management and accountability framework including the following:

- While all this is in place there is a problem of lack of resources
- Internal arrangements are at times not clearly defined and there is a lot of overlap
- "There are no clear lines of communication thus it is not easy to follow up a management and accountability framework"
- The institutional framework is very fragmented, despite some degree of accountability among them

4.1.3 Economic framework

This was a quite misconstrued aspect as it wanted to establish the market forces that are at work and how influential and effective they are. While some declared that they do not see the relevance of this aspect, the majority acknowledged that they are not aware of market forces operating and cannot be in any position to state if they are influential and effective. There is mention of agricultural subsidies and policies being the most influential and the driving force in the country. Also mentioned are market forces relating to the tourism fraternity, although there is no mention of how influential they are.

4.1.4 Systems Level Resources

Respondents were asked to indicate if necessary Human, financial and information resources are available.

Views on the availability of human, financial and information resources also vary. However, the majority of respondents (69%) allege that these necessary resources are not sufficient even if they are available. The is a strong assertion that while human resources are available, in many instances they are multi-tasked, hence overloaded with work and cannot concentrate on the given tasks. Many feel that there is need to train personnel in environmental issues, in particular "scientist which are needed to identify environmental issues and incorporate them into research and development projects".

4.1.5 Processes and Relationships

This section wanted to establish how do different institutions and processes interact and if their interaction is positive and effective.

Respondents' view is that interaction between institutions does take place but is very minimal and this mainly takes place through workshops and seminars. Where interaction has been achieved, it is normally positive amongst Govt ministries and institutions. These are often fraught with misunderstandings that are generally sorted out. There is also mention that a committee exist (though not really specified) that is responsible for these processes.

4.1.6 Other Issues

From the responses given by many of the respondents a number of issues were revealed.

Amongst the issues given include the following:

- Any activities towards any of the conventions are functional only when financial resources permit, rendering capacity building in these areas "part time".
- Capacity building is required and that should entail training of personnel and motivating them because there are few personnel trained in these fields.
- It is also suggested that if SEA could be converted to an organisation, this will permit her to staff to capacity and also perform the training and development required.
- Financial resources need to be made available if success stories are to be told regarding these conventions.
- It is also suggested that Donors should help the struggling environmental institutions, especially those responsible for implementation
- There is need for restructuring and strengthening of existing institutions to promote national, local and individual capacity.
- Also pointed out is that there is need to review the environmental legislation in the country
- Suggested are also building of Environmental Development programs

4.2 Organizational Capacity

At this level, the study aimed at establishing capacity needs, constraints and priorities in terms of management frameworks, culture, structure and competencies including processes at the institutional level. Capacity needs, constraints and priorities in relation to human, information and financial resources and infrastructure were also investigated.

4.2.1 Management Framework

This section wanted to establish if institutions have clearly defined and understood visions, mission statements and mandates.

The majority of respondents (77%) say institutions have clearly defined and understood vision, mission statements and mandates. However, they allude to the following:

- That the accomplishment of these missions is limited by human and financial constraints
- In other cases the institutions activities and outcomes simply deviate from the visions and missions of that particular institutions
- In other cases these missions are actually not followed.

4.2.2 Culture, structure and Competencies

The effectiveness of the structures and management as presented by respondents is doubtful. The majority (54%) states that these are not effective, 24% suggest they are while 15% says to some extent they are. There is mention of that

- They cannot be effective in particular because there is a lack of resources
- While some are effective, they are not effective as required and this has largely to do with Govt's beau racy.
- They also "lack broader range of public participation...Government should support community driven approach to sustainability by empowering local people".

4.2.3 Processes

Interviewees were asked to indicate if institutional processes (planning, quality management, monitoring and evaluation) work effectively.

Respondents' views on the effectiveness of institutional processes (planning, quality management, monitoring and evaluation) indicate that there is some lack of efficiency in this aspect. Although planning is highlighted as one aspect that attains some level of efficiency, activities are not well coordinated and there is a lack of transparency and accountability. These processes are hindered once more by human and financial resource constraints according to some of the respondents. While some level of monitoring is done, evaluation is not conducted all.

4.2.4 Human Resources

The adequacy of Human resources, skills level, their deployment and associated incentives, continuity and retention were investigated.

Human resources are said to be not sufficient, lack the required skills and retention and continuity of these resources cannot be guaranteed because there are very little incentives and they are not attractive) in place to ensure that they are motivated to continue along the lines of their fields. Another issue cited that consultants carry out these tasks and that there are no positions created for management.

4.2.5 Financial Resources

The adequacy, management and allocation of financial resources were also investigated.

The majority (85%) of respondents cite financial resources to be the major constraints. Their views regarding the effectiveness of their management and allocation are not clear. In general these financial resources are managed effectively, however, there are always external factors that influence their allocation. The issue of lack of transparency with regard to these resources is also cited as a major limitation.

4.2.6 Information Resources

Interviewees were asked to reveal if information resources are sufficient, how they are distributed and managed.

A sizeable number of respondents (54%) allege that information resources are not enough. The following are some of the views given by respondents with regard to information resources:

- Information resources are scarce and scattered
- Lot of information on the international front is available, but there is no "capacity to absorb this information" and in most cases these are not well managed.
- Information is available and sufficient, but it is not well distributed
- Channels of communication are not well organised and information flow is poor
- Information distribution is through the internet and less available on the print media

4.2.7 Infrastructure

The adequacy of material requirements, appropriateness of their deployment and management were investigated.

Looking at infrastructure in general terms, a majority (77%) contends they are not sufficient. They do allude to a fact that structures (in particular offices) are available. However, the discrepancy is very obvious with equipments (computers and associated accessories, vehicles etc) and even those available are not well managed. In general there is limited maintenance of infrastructure. Table 4 gives a summary of responses (Yes/No) in relation to organisational/institutional capacity needs, constraints and priorities.

Table 5: Organisational/Institutional responses (Yes/No)

Investigated subjects	Yes (%)	No (%)
Management framework: Institutions clearly defined & understood visions, mission statements and mandates?	77	23
Culture/Structure/Competencies: Structures and management effective?	54	46

Processes: Institutional processes working effectively?	46	54
Human resources: sufficient, with adequate skills, appropriately deployed, with incentives, continuity, and retention?	8	92
Financial Resources: Sufficient, managed effectively, allocated appropriately?	15	85
Information resources: Sufficient, how it is distributed, communicated and managed?	46	54
Infrastructure: Sufficient material requirements, their deployment and management	23	77

CHAPTER 5 INDIVIDUAL CAPACITY

At the individual level the study aimed at identifying capacity needs, constraints and priorities in terms of Job requirements and skill levels, training and development and other issues such as career progression, accountability and ethics. Other issues also investigated relates to access to information, professional networking, performance and conduct, values, integrity and attitudes, communication, moral and motivation.

5.1   Job requirements and skills level

Respondents assert that in most cases job requirements are correctly defined. The availability of skill for the job is dependant on job descriptions. Some of the issues highlighted in relation to the aspect is that:

- There is a need for qualified personnel; however, the Govt works requires the creation of posts is in itself not done well

- "Job requirements are correctly defined but the problem is putting people without proper qualifications for the job.

5.2   Training and Re-training

Respondents (62%) allege that there is no appropriate skills development taking place. In many instances skills development has been realised as a priority need, but lack of financial resources hinders implementation of such plans. Many respondents mentioned skill development to be a need and on issues relating to prioritising and managing these processes, they indicate no knowledge of how these things are prioritised, if any, or managed. This points out to a fact that there is less consideration given to these issues in the work place.

5.3   Career Progression

Once more respondents allege that there are limited success stories in terms of individuals being able to advance and develop professionally. This also relate to limited available resources, though some do advance within these limited available resources and through attending short courses and distance learning. In most cases

professional development is achieved through the assignments and skills one is able to obtain while undertaking that assignment.

5.4   Accountability and ethics

Views on the effectiveness of delegating responsibility and individual accountability are not quite clear. However, it can be established that the majority (54%) alleges that these are not done properly. There is mention of that usually an individual may have a clear responsibility, but then given other responsibilities and this way accountability tends to be compromised on this bases.

5.5   Access to information

The majority of respondents assert that information is available but access to this information is not adequate. Some of the issues highlighted with regard to access of information are summarised below:

- Information is adequate but without a structure that remains custodian of such information, it remains a challenge to access and deploy the available information.
- Information is not readily available and in most cases the person in need of that information must be in a position to know where to find this information.
- Information access is mostly limited to the Internet.

According to respondents, information is accessed and deployed through the various ways:

- Workshops
- Internet in various institutions including emails
- Interacting with professionals
- Booklets
- Libraries
- Newspaper publications

5.6   Personal and professional networking

Respondents (69%) assert that there is some level of peer exchange and development taking place mainly through workshops, meetings and with membership institutions. The following are some of the issues raised by respondents:

- Peer exchange and development is "not on inter-conventional basis"
- "It is taking place unfortunately among intellectuals who are the minority in the country's population.
- They do not take place within institutions
- These are not taking place properly

5.7   Performance/Conduct

The majority (54%) of respondents assert that performance is assessed quite informally. Staff performance appraisals are conducted at a rather less efficient manner and these are not linked to any reward mechanisms and incentives. It is for the same reason that they are inadequate to promote excellence and is essentially done to fulfil a commitment.

5.8   Values, integrity and attitudes

It is generally (77%) alleged that values, integrity and attitudes are not properly defined. Even where they are defined there is always a question of enforcement and adherence to the values. Within the Govt ministries, these are defined as per the GoS general orders.

5.9   Morale and motivation

A majority of respondents (92%) claim that morale and motivation are not adequately maintained. There is a general assertion that the two are somehow linked and the lack of motivation is the main cause for low morale.

5.10 Communication

The effectiveness of communication mechanisms is doubtful according to a majority of respondents. While it is to a lesser extent, it is also felt that this is also linked to the unavailability of resources. In general officers communicate with each other through phone calls, emails and meetings and communication with the public is mostly through media. However, the effectiveness of the media (television, radio, newspapers) to reach the public is also dependant of various factors. In general respondents, feel a major improvement has to be done to achieve effective communication mechanisms and means.

CHAPTER 6 CONCLUSION

The public participation process anchored by the questionnaire was an undertaking that produced qualitative and quantitative information that highlighted the need for more information on the three United Nation Conventions on the systemic organisational and individual capacity constrains needs and priorities.

ACRONYMS

CANGO	Coordinating Assembly of Non-Governmental Organisations
EIA	Environment Impact Assessment
GEF	Global Environment Facility
GoS	Govt of the Kingdom of Swaziland
MEPD	Ministry of Economic Planning and Development
MOAC	Ministry of Agriculture and Co-operatives
MNRE	Ministry of Natural Resources and Energy
MP	Member of Parliament

MPWT	Ministry of Public Works and Transport
MTEC	Ministry of Tourism, Environment and Communications
NCSA	National Self-Capacity Assessments
NEEP	National Environment Education Program
NGO	Non- Governmental Organisation
SEA	Swaziland Environment Authority
SEAP	Swaziland Environment Action Plan
SNTC	Swaziland National Trust Commission
UN	United Nations
UNCCD	United Nations Convention to Combat Desertification
UNCBD	United Nations Convention on Biological Diversity
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change