



UNDP-GEF Enabling Activities Project

Government of Malaysia

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**National Capacity Needs Self-Assessment for Global Environmental Management
(NCSA)**

INCEPTION REPORT

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Executive Summary

In line with GEF's Capacity Development Initiative, Malaysia initiated the 'National Capacity Needs Self-Assessment for Global Environmental Management' (NCSA) project by submitting the project proposal for GEF funding on 24 January 2006. Subsequently, a total funding of USD170,000 was approved by GEF on 16 March 2006. On 3 June 2006, the Government of Malaysia and UNDP-GEF approved the Project Document.

NCSA project is led by Conservation and Environmental Management Division (CEMD) under the Ministry of Natural Resources and Environment (NRE) with support from UNDP Malaysia. The primary objective is to identify priorities and needs for capacity building and enhancement to address global environmental management requirements through the fulfilment of Malaysia's international obligations and commitments, with particular focus to the three conventions of United Nations Convention on Biodiversity (CBD), United Nations Framework on Climate Change (UNFCCC) and United Nations Convention to Combat Desertification (CCD) which Malaysia is a signatory member.

The project will be implemented in phases within 18-month: (1) an inception phase detailing the administrative, management and operational arrangements for the NCSA, (2) a stocktaking analysis of past and on-going capacity development initiatives, (3) an assessment of capacity constraints and needs under each thematic area, (4) a cross-cutting analysis of common capacity needs, and (5) development of NCSA final report and National Capacity Action Plan (NCAP). The intended outcome is to integrate global environmental concerns and commitments into national development planning and policy framework through the deliberation of NCAP in both National Biodiversity and Biotechnology Council and the mid-term review of the 9th Malaysia Plan.

During the inception phase, the Under-Secretary of CEMD was appointed as the National Project Director (NPD). Following a series of discussions with CEMD, a Project Management Committee was created to oversee the operations of the Technical Working Groups (TWGs) – a slight change to the initial project management structure to ensure effectiveness and efficiency of the project. In addition, a few introductory meetings were organised to establish contact with relevant stakeholders and to gather information on previous capacity building activities.

An Inception Workshop was held on 26 March 2007 at NRE to introduce the project to all stakeholders and to provide them an opportunity to comment and give input to the NCSA process and draft inception report. The workshop was attended by over 60 participants comprising representatives from various ministries, government agencies, academic and research institutions, non-governmental organisations and private sector. A summary of the feedback received during the workshop is included as Annex 9.

Based on the inputs from the inception workshop and technical working group meetings, the project team was able to produce (1) an inventory of capacity building initiatives in Malaysia; (2) a stakeholder analysis matrix; (3) revised Terms of Reference for Project Steering Committee (PSC), Project Management Committee (PMC) and respective TWGs; and (4) a preliminary list of capacity building activities and programmes. Other amended documentation included strategic results framework, detailed work plan and budget. All amended documents are presented as annexes in this Inception Report.

The first Project Steering Committee meeting was conducted 3 May 2007 as scheduled where the members reviewed and endorsed the draft Inception Report, the work plan and budget as well as the term of reference with considerable amendments (see annexes for further details). This was followed by two technical working group meetings that were held in May and July respectively to finalise the membership and terms of reference.

There are several challenges anticipated in the NCSA process such as analysis of overwhelming information, continuity of institutional memory within key agencies or organisations, divided jurisdiction of federal and state government over environmental and natural resource management, engagement of stakeholders with varied interests, etc. Nevertheless, NCSA Project Team is confident that the final target is achievable despite the challenges ahead and would like to add a word of appreciation to all CEMD officials, UNDP Malaysia, government agencies, individuals, NGOs (Global Environment Centre, Malaysia Nature Society, World Wide Fund for Nature – Malaysia, Wetlands International & MENGO) and BP Asia Pacific (Malaysia) for their valuable information and input during the preparation of this report.

List of Abbreviations

ANC	Assistant National Coordinator
CBD	United Nations Convention on Biological Diversity
CCD	United Nations Convention to Combat Desertification
CEMD	Conservation and Environmental Management Division
DANIDA	Danish International Development Agency
DID	Department of Drainage and Irrigation Malaysia
DOA	Department of Agriculture, Malaysia
DOE	Department of Environment
DWNP	Department of Wildlife and National Parks
EPU	Economic Planning Unit, Prime Minister's Department
FDPM	Forestry Department Peninsular Malaysia
FRIM	Forest Research Institute Malaysia
GEC	Global Environment Centre
GEF	Global Environment Facility
INTAN	National Institute of Public Administration
ISIS	Institute of Strategic and International Studies
JBPD	Town and Country Planning Department
JPA	Public Services Department
KPKT	Ministry of Housing and Local Government
LESTARI	Institute for Environment and Development, National University of Malaysia
MARDI	Malaysian Agriculture Research and Development Institute
MEA	Multilateral Environmental Agreement
MENGO	Malaysian Environmental NGO
MEWC	Ministry of Energy, Water and Communications
MITI	Ministry of International Trade and Industry
MMD	Malaysian Meteorological Department
MNS	Malaysian Nature Society
MOA	Ministry of Agriculture and Agro-based Industry
MOF	Ministry of Finance
MOSTI	Ministry of Science, Technology and Innovation
MOT	Ministry of Transport
MPIC	Ministry of Plantation Industries and Commodities
MPOB	Malaysia Palm Oil Board
NCAP	National Capacity Action Plan
NC	National Coordinator
NC2	Malaysia 2 nd National Communications to the UNFCCC
NCSA	National Capacity Needs Self-Assessment for Global Environmental Management
NE	National Experts
NGO	Non-Governmental Organisation
NPD	National Project Director
NPP	National Physical Plan
NRE	Ministry of Natural Resources and the Environment
PD	Project Document
PMC	Project Management Committee

PSC	Project Steering Committee
PTM	Malaysian Energy Centre
PT	Project Team
SWOT	Strength Weakness Opportunity Threat
TOR	Terms of Reference
TWG	Technical Working Group
TWN	Third World Network
UKM	Universiti Kebangsaan Malaysia
UMAS	Universiti Malaysia Sabah
UM	Universiti Malaya
UPM	Universiti Putra Malaysia
USM	Universiti Sains Malaysia
UNIMAS	Universiti Malaysia Sarawak
UNDP CO	United Nations Development Programme Country Office
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
WWF	World Wide Fund for Nature Malaysia

1.0 Introduction and Background

1.1 Project Background

Malaysia is a Signatory Party to a number of Multilateral Environmental Agreements (MEAs) including the Rio Conventions on biological diversity, climate change and desertification. Although considerable past and on-going capacity initiatives have been or being undertaken, there is still much room for improvement at individual, institutional and systemic levels to implement these conventions.

In the late 1990s, the GEF Council, recognising the increasing importance of assisting developing countries to enhance their capacity to participate in global environmental management, launched the Capacity Development Initiative (CDI) with the goal of assessing capacity needs among countries and designing strategies to meet them. As first step in implementing the CDI recommendations, the GEF Council approved funding for countries wishing to undertake “National Self-Assessments of Capacity Building Needs”. The purpose was to support a country-driven consultative process of analysis and planning that will determine national priorities and needs for capacity development to protect global environment. More than 150 developing countries and economies in transition around the globe are engaged in this programme called the National Capacity Needs Self-Assessment for Global Environmental Management (NCSA). The Malaysian project is a GEF funded project, administered through the UNDP Malaysia and implemented by the Conservation and Environmental Management Division (CEMD) of the Ministry of Natural Resources and the Environment (NRE), with in-kind contribution from NRE.

It is envisaged that this project will provide an opportunity for Malaysia to identify priority capacity needs in order to effectively address cross-cutting global environmental issues. The project will enable Malaysia to develop a plan of action to achieve global environmental management objectives in the context of the three conventions: the United Nations Convention on Biological Diversity (CBD), the United Nations Framework Convention on Climate Change (UNFCCC), and the United Nations Convention to Combat Desertification (CCD). The project will also collate information on continuing programmes, institutional structures, resource availability and future prospects, training activities and relevant supporting policies and processes needed to sustain the nationwide implementation of MEAs.

1.2 Concept of Capacity Building (*Adapted from CDI, 2000 & GEF, 2001*)

In general, ‘capacity building’ can be 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”***.

At individual level, capacity building refers to the process of changing attitudes and behaviours, most frequently but not limited through imparting knowledge and developing skills through training. However, it also involves learning-by-doing, participation, ownership, and processes associated with increasing performance through changes in management, motivation, morale and levels of accountability and responsibility.

Capacity building at the institutional level focuses on 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 its constituent individuals and groups, as well as its relationship to the outside. In addition to improvements in physical assets, such as infrastructure, institutional capacity building involves clarification of missions, structures, responsibilities, accountabilities and reporting lines, changes in procedures and communications and changes in the deployment of human resources.

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

Capacity building can occur at local, national or global levels and amongst any individual or group of stakeholders – individuals, entities or institutions, as well as at an overall system level. Interactions between the different levels are also important to overall capacity. Capacity is relevant in both the short term (for example, the ability to address an immediate problem) and the long term (the ability to create an environment in which particular changes will take place). Capacity may imply “action”, or “inaction”, depending on the result desired. Capacity building does not always involve the creation of new capacity, but often the redeployment or release of latent capacities.

Based on UNDP capacity assessment framework, the capacity development actions may be classified into five broad categories. There are

- Stakeholder engagement – capacities of relevant individuals and organisations to interact with one another in managing the environmental issues.
- Information and knowledge – capacities to access and use information & knowledge to diagnose and understand problems and potential solutions.
- Planning and policy – capacities to perform strategic planning, to make sound decisions and to design solutions.
- Organisation and implementation – capacities to organise and implement management actions.
- Monitoring and evaluation – capacities to monitor and evaluate the results and impacts achieved for continual learning and improvement process.

1.3 Project Goal & Objectives

The primary goal of the NCSA in Malaysia is to identify country level priorities and needs for capacity building and enhancement to address global environmental issues through the fulfilment of international obligations and commitments, in biological diversity, climate change, and land degradation, with the aim of catalysing domestic and/or externally assisted action to meet those needs in a coordinated manner.

The specific objectives of this project include:

- Identify, confirm, or review priority capacity issues for action within the thematic areas of biodiversity, climate change, and land degradation, respectively;
- Explore related capacity needs within and across the three thematic areas;

- Reinforce and strengthen existing institutions, mechanisms and processes to create a sustainable institutional framework and process for effective environmental management;
- Catalyse targeted and coordinated action and requests for future external funding and assistance in a consolidated National Capacity Action Plan;
- Enhance and utilise existing institutional framework to coordinate and monitor the implementation of NCAP; and
- Link country action to the broader national environmental management and sustainable development frameworks.

1.4 Project Outputs & Expected Outcomes

Main outputs of the project are:

- A stocktaking report of previous and on-going activities related to capacity building (such as enabling activities);
- A description or inventory of capacity building needs in the three sectors with prioritisation to the extent possible, and other related capacity needs;
- An identification of cross-cutting issues and possible synergies;
- An account of the process by which the NCSA was undertaken, including the methods, tools, stakeholder participation and lessons learned for future replication, and;
- A National Capacity Action Plan to meet prioritised needs and a mechanism for implementing, monitoring and evaluating progress made in meeting those needs.

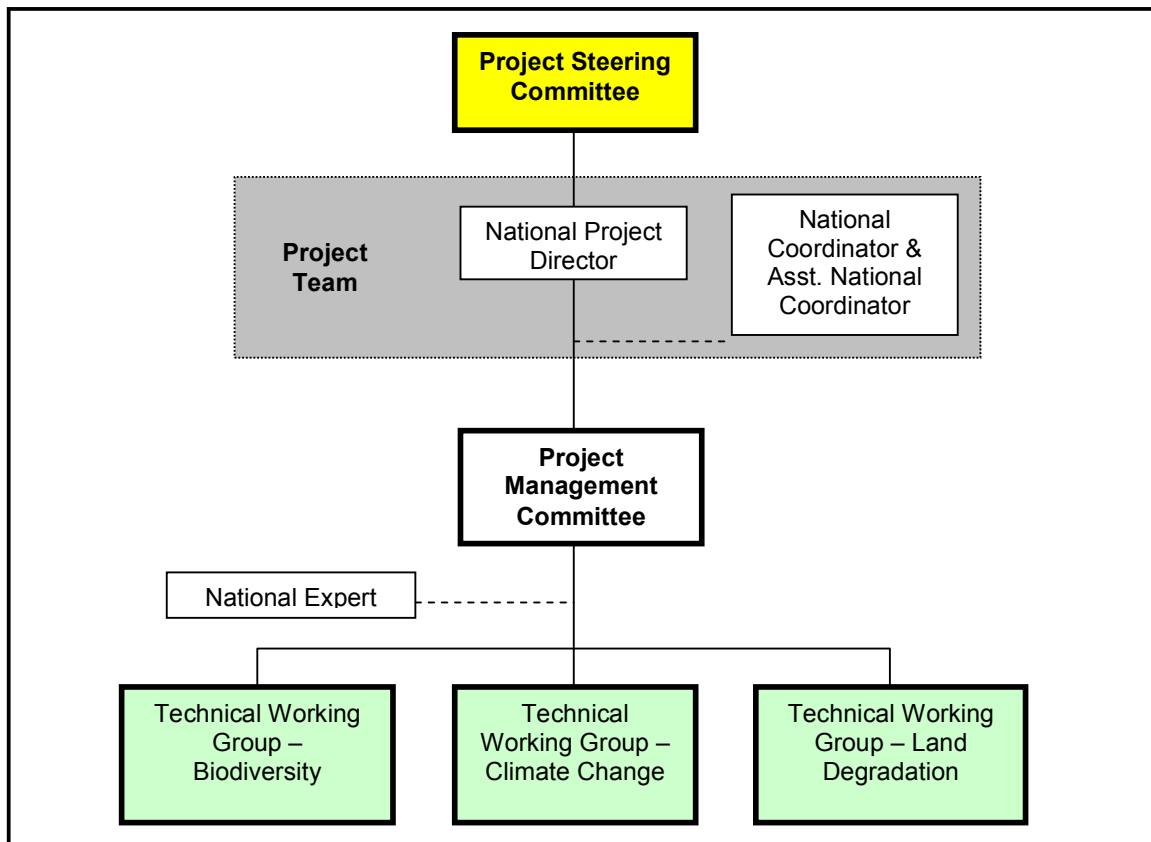
It is envisaged that the National Capacity Action Plan – the final output of NCSA can be adopted into the mid-term review of the Ninth Malaysia Plan and deliberated in the National Council on Biodiversity and Biotechnology as an initiative to realise the integration of global environmental concerns and commitments into national development planning and policy framework.

2.0 Project Management Arrangements

The NCSA project will be managed by a Project Team consists of the National Project Director (NPD), National Coordinator (NC) and the Assistant National Coordinator (ANC). The project team will work closely with the Project Management Committee (PMC), chaired by the NPD, who is the official focal point with UNDP CO on project related matters. Under the supervision of NPD, NC will manage the project on daily basis which include administrative, financial and operational duties with assistance from ANC (See Figure 1).

Since the participation and support of the stakeholders is vital to the success of the NCSA, three Technical Working Groups (TWG) comprising representatives from the government sector, academia, NGOs and private sector will be formed to provide advice on technical issues and guidance to the National Experts (NE).

Figure 1. NCSA Project Management Structure



2.1 Implementing Agency

NRE is the implementing agency for this NCSA project, adhering to UNDP rules and procedures for national execution. It will provide the following in-kind contribution:

- Management and supervisory personnel
 - National Project Director;
 - Appropriate officers to act as chairperson for the technical working group and counterparts to the national experts;
- Office facilities for NCSA project team and national experts;
- Access to all relevant data and information required to undertake the study;
- Use of office support facilities (e.g. computers, fax, stationery, photocopy machine, telephone, local transport), and secretarial support; and
- Facilities for convening meetings, training or workshops.

2.2 Project Steering Committee (PSC)

The project will be guided by a Project Steering Committee that is responsible for its overall development and implementation. The PSC's composition will reflect the cross-section of key government agencies with responsibilities covering various aspects of environmental and natural resource management. The respective State Development Planning Units will represent East Malaysian States of Sabah and Sarawak. The member composition of PSC and its TOR is elaborated in Annex 4.

2.3 Project Management Committee (PMC)

Reporting to the PSC, the establishment of the PMC serves to ensure the project objectives are met and outputs are achieved. The members of the PMC will comprise of national focal points to the three Conventions and UNDP CO. PMC will oversee and coordinate the three Technical Working Groups in carrying out their tasks, and also to ensure administrative tasks are being carried out. They will review and endorse the findings and outputs of the TWGs and NE before tabling to the PSC. The member composition of PMC and its TOR is elaborated in Annex 5.

2.4 NCSA Project Team (PT)

The NCSA Project Team consists of the NPD, NC and ANC. The team will undertake day to day management of the project including financial and reporting requirements. PT will ensure that the project is being carried out on schedule in a timely manner within allocated budget. The TOR of PT members and its responsibilities are elaborated in Annex 6.

2.5 Technical Working Groups (TWG)

Technical experts in the fields of biodiversity, climate change and land degradation as well as some of the existing members of current Steering Committees for Biosafety, National Biodiversity and Strategy Action Plan (NBSAP), and NC2 have been nominated to be included on the Technical Working Groups. Their technical experience and skills give comprehensive information of the capacity needs and constraints in the three focal areas which could be fed into the NCSA process. It is anticipated that the consultation with technical working groups will be most desirable during the thematic & cross-cutting assessment and strategic action plan phases of the NCSA project. The detailed TOR for respective TWG is in Annex 7.

2.6 National Experts (NE)

NRE, in consultation with the PSC, PMC and NPD, will appoint experts to undertake stocktaking, thematic and cross-cutting assessments, and the preparation of the final report and National Capacity Action Plan. The National Experts will assist in the preparation of meetings/workshops with the relevant stakeholders on the launching of the NCSA process as well as the final workshop to present the outputs of the NCSA. The NE will be the resource persons in these meetings/workshops. The detailed TOR of National Experts is in Annex 8.

2.7 Project Work Plan

The project is expected to complete in 18 months starting from 15 January 2007. The implementation of the project can be divided in 7 stages in accordance with the main project outputs. Table 1 highlight the overall project schedule and Annex 2 is the detailed work plan describing timeline for each activity.

Table 1. NCSA Overall Project Schedule

Output	Month																		
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	
1. Establishment of Coordination and Support Mechanisms	←-----→																		
2. Stocktaking of related stakeholder activities			←-----→																
3. Stocktaking of past thematic evaluation of capacity constraints				←-----→															
4. National level stakeholder roundtable dialogues														←-----→					
5. In-depth analysis of thematic priority areas										←-----→									
6. Cross-cutting capacity needs assessment											←-----→								
7. Development and endorsement of final report and action plan														←-----→					

2.8 Project Budget

GEF provides funds for project team (NC and ANC) personnel costs including their allowances and operating costs such as workshops, training, printing, equipment, etc., totalling at USD 170,000. In-kind contribution from GoM totalling at USD 100,000 is for office facilities and administrative expenditures including cost of salary, domestic travel and allowances for all government personnel involving in the project.

NPD shall approve all disbursement of project fund via petty cash payment for amount equal or less than USD 500. Each petty cash disbursement must not exceed USD 100. Disbursement of any amount more than USD 500 has to be processed through request for direct payment to UNDP. Table 2 shows the summary project budget to each output over the implementation period. Detailed budget is shown in Annex 3.

Table 2. Summary NCSA Project Budget

Project Output	Government (USD) (in-kind)	GEF (USD)	Total (USD)
Output 1: Establishment of coordination and support mechanisms	88,000	129,000	217,000
Output 2: Stocktaking of related stakeholder activities	2,200	8,000	10,200
Output 3: Stocktaking of past thematic evaluation of capacity constraints	1,500	7,000	8,500
Output 4: National level stakeholder roundtable dialogues	4,400	6,500	10,900
Output 5: In-depth analysis of thematic priority areas	700	9,000	9,700
Output 6: Cross-cutting capacity needs assessment	1,500	6,000	7,500
Output 7: Development of final report and action plan	1,700	4,500	6,200
Total	100,000	170,000	270,000

3.0 Activities in the Inception Phase

3.1 Project Start-up

The NCSA project commenced with the establishment of project office in CEMD, NRE on the 15 January 2007. The National Coordinator and Assistant National Coordinator were recruited to carry out the activities and are located at the project office in the Ministry of Natural Resources and Environment, Putrajaya.

The First Project Team meeting was held on the 30 January 2007 at the CEMD together with representatives from UNDP CO, Ministry of Agriculture & Agro-Based Industry and the NC2 project coordinator. Following that meeting, the Under-Secretary for CEMD was appointed as the National Project Director.

During the inception phase, four project team meetings were held to discuss issues relating to work plan, activities, inception workshop preparation, PSC and TWG composition, and matters related to financial disbursement, accounts, and day-to-day project management and reporting. A slight amendment was made to the project management structure proposed in the Project Document. A Project Management Committee that reports to PSC but overseeing the operations of three TWGs was established.

The members of the PSC have been nominated and confirmed after the first PSC meeting. The first PSC was held on 3 May 2007, and as identified in the project document, was chaired by the Deputy Secretary General 1 of NRE. The members of the PMC were also identified and separate meetings with the members of PMC were held before the Inception Workshop to explain their roles and responsibilities.

3.2 Stakeholders Introductory Meeting

A few consultation meetings with a selected local environmental NGOs and private company were held in the period of February and March. Those consultations were part of an effort to sample some feedback and gauge the expectation from NGOs and private sector towards this project, besides fostering closer partnership between NGO and NRE for the implementation of this project. Among the NGOs consulted were MNS, WWF, GEC, MENGO, WI and BP Asia Pacific (Malaysia) representing the private sector. The introductory meeting was also to identify potential expertise who could be engaged to assist NC in the assessment of capacity and associated analysis.

3.3 NCSA Inception Workshop

The Inception Workshop with the aim of introducing the project to the stakeholders was held on the 26 March 2007 at Dewan Baiduri, NRE. Over 60 participants from various sectors including government agencies, academic and research institutions, NGOs and private sector participated the workshop. The Workshop was officiated by the Chair of the PSC, Mdm. Fatimah Raya Nason, Deputy Secretary General I of the Ministry of Natural Resources and the Environment. Details of the event are highlighted in Annex 9 – Summary Report of NCSA Inception Workshop.

3.4 First PSC Meeting

The first PSC Meeting was conducted on 3 May 2007 as scheduled. During the meeting, the Project Team submitted the following documents for review and endorsement:

- The Project Document
- The Inception Report – containing amendments to the Project Document, the revised Project Work Plan and budget, and the amended Strategic Results Framework.

In addition, the Project Team will present activities to be implemented for the next six months before the second PSC meeting, tentatively scheduled in December 2007.

3.5 First TWG Meetings

The first TWG meeting for land degradation was held on 18 May 2007 to review and finalise the composition and TOR. Additional members such as Natural Resources Office (Sabah), UPM were included as a result from the discussion. On 10 July 2007, a similar meeting were held jointly for biological diversity and climate change TWGs. Significant changes to the TORs were made following thorough discussion among the members. The number of members was also trimmed to ensure effectiveness and efficiency of the working groups, whereby Sabah and Sarawak agreed to appoint a focal point agency representing all relevant state agencies in respective TWG.

4.0 Approach and Methodology

The NCSA process that is being conducted over an 18-month period from January 2007 – July 2008 will focus on selected thematic areas deemed most important. This NCSA is employing a multi-stakeholders participatory approach in which stakeholders from all sectors will be involved in the process of assessment and action plan development. At different stages of the NCSA process, meetings and workshops will be organised to identify the main issues and their root causes, to prioritise the capacity development needs, and to gather participants' input, comments and recommendations. Local consultants will also be engaged as national experts as part of the capacity assessment exercise.

The project will strengthen the coordination of environmental policy formulation and implementation among authorities from a national level to local levels. It will ensure national ownership, leadership and commitment, promotes comprehensive participation, including various dimensions of capacity and cross-cutting concerns, ensure coordination within sectors and across sectors and adopt a short-term and long-term approach to capacity building within the broader sustainable development context. The NCSA will identify concrete opportunities for improvements, action plan development and projects that will strengthen the overall environmental management plan at the national level. The outputs and future projects based on NCSA plan of action to be funded by GEF and other donors will be integrated into a more comprehensive national strategy to ensure long-term commitment.

The project will adopt the standard methodology recommended by UNDP-GEF to undertake the NCSA, which is a Five Steps approach as follow:

- Step 1 – Inception
- Step 2 – Stocktaking
- Step 3 – Thematic Assessment
- Step 4 – Cross-cutting Analysis
- Step 5 – National Capacity Action Plan and NCSA Report

4.1 Inception

During inception, the administrative, management and consultative arrangements for the NCSA are reviewed and updated. The project work plan and budget is also reviewed and updated to reflect current situation on the ground. Past and on-going capacity building processes, projects and programmes, and stakeholders are also being identified, analysed and to be linked/involved to the NCSA process. The Inception Workshop was able to gather more inputs into the parameters and the methodologies for the NCSA process.

4.2 Stocktaking

Stocktaking is a 'situation analysis' that provides baseline information for the next steps. At this stage, all past capacity development efforts, national environmental priorities, national documents (i.e. 9th Malaysia Plan, National Physical Plan, National Policy for the Environment, National Biodiversity Policy, National Agriculture Policy, National Communication to UNFCCC, National Reports to CBD and CCD, etc.) that are relevant to the conventions including laws, policies, plans, strategies, and programmes will be identified. Strengths and weaknesses of past capacity development efforts will also be reviewed as lessons learned.

4.3 Thematic Assessment

Three main areas in this thematic assessment are biodiversity, climate change and land degradation. During these thematic assessments, the inventory of convention provisions and the assessment of Malaysia's performance in relation to them will be conducted. This exercise would provide us with a clear picture of where Malaysia stands in terms of our strengths and constraints in implementing those conventions, hence leading to the identification of priority needs and opportunity for capacity development for each thematic area, at the individual, institutional and systemic levels.

Thematic Assessment Workshop will be held with relevant stakeholders with support from the three thematic technical working groups, as well as representatives from state governments. Participants in this workshop will be divided into thematic groups embarking on problem analysis. Among the possible tools to be used are SWOT Analysis, Root Causes and Problem Tree Analysis, and Gap Analysis. Results from these analyses performed by the National Expert and workshop participants will be compiled to produce an account of the systemic, institutional and individual capacity needs of the three focal areas.

4.4 Cross-Cutting Assessment

The cross-cutting assessment aims to assess capacity issues, needs and opportunities that cut across the three conventions. This includes identification of common needs and possible synergies that could be achieved in Malaysia by addressing requirements across two or more themes. The cross-cutting needs identified during the thematic assessment would be further analysed, with capacity development actions recommended in the Action Plan. Among the tools to be used at this step are Prioritisation Matrix, SWOT and/or Root Causes and Problem Tree Analysis.

4.5 National Capacity Action Plan and NCSA Report

The National Capacity Action Plan (NCAP) will then draws on the assessment of priority thematic and cross-cutting capacity needs to identify programme of capacity development actions. This action plan will recommend goal, objectives and strategies for national capacity development which would also include time frame, possible funding, responsibilities, means of monitoring implementation and evaluation of outcomes and impacts. The draft National Capacity Action Plan will be presented to stakeholders in a final workshop for review and will also be submitted for high-level endorsement. It is important to note that this NCAP will not be the sole responsibility of CEMD or NRE; key government agencies responsible for the implementation of NCAP will be identified and decided during the course of the project. Furthermore, stakeholders who have contributed during the NCSA process are expected to assume a key role in the actual implementation of the NCAP, either as primary responsible parties or as co-implementers at appropriate capacity level.

A final NCSA report that summarises and synthesises all steps in the NCSA process and the information produced by previous activities (i.e. stocktaking, thematic assessments, cross-cutting analysis, etc.) will be prepared at the end of the project. This report will include methods used; tools applied, participants involved, and highlight some major conclusions and lessons learned from the NCSA process. In other words, this report is a procedural manual for future standardisation of NCSA process within the government agencies and relevant stakeholders.

4.6 Implementation of National Capacity Action Plan

It is envisaged that at the end of the project, all the stakeholders involved in the NCSA process will have an ownership to the NCAP, in which their roles and responsibilities are identified in the NCAP. A few key government agencies will be identified to drive different focal areas of capacity development actions. However, there should be one overall executing agency to promote, coordinate and ensure that the NCAP are being implemented throughout the relevant government ministries and line agencies, at national and local levels. NCSA will also be used as a reference for future capacity building programme across the sectors. Detailed implementation and funding mechanism will be discussed and established at a later stage of the project.

4.7 Monitoring & Evaluation

After the completion of the NCAP and the NCSA Report, monitoring of the action plan implementation will take place over the next 12 months. The exact mechanism of the monitoring activities will be elaborated and agreed upon in the NCAP.

5.0 Challenges Ahead

Since the project is operating on a limited time frame (18-month) and resources, the scope of NCSA in Malaysia has to be realistic and achievable. The number of MEAs (conventions and associated protocols) to be assessed under the NCSA needs to be specific without jeopardising the main objective of the project. As a result of this, the assessment must acknowledge its limitations in the scope of study which may be prioritised towards addressing the capacity issues at the national level and only a certain extent at the state or local level.

During the assessment, the project team and national experts may face the challenge of overwhelming information especially the extensive scope of biodiversity issue, or little information on land degradation as it is not regarded as a priority issue in Malaysia. Although there are many on-going projects or activities such as NC2, Biosafety Project, Peat Swamp Forest Project, Targeted Research: Conservation of Biological Diversity through Improved Forest Planning Tools, Malaysian Industrial Energy Efficiency Improvement Project, Danida/NRE Biodiversity Component, Danida/NRE Environmental Planning and Strategy Component, etc., which focus on the capacity development at areas directly or indirectly related to the three conventions, the input of such information to NCSA process may not be timely due to different implementation schedule of each project or activity. Hence, it is important that a scoping study to be carried out during the stocktaking analysis to identify useful information that will help in assessing the capacity strengths, constraints, needs and opportunities.

Frequent staff movement or organisational re-structuring within the key government ministries, departments or agencies during the course of the project implementation often resulted in discontinuity of institutional memory. This is a challenge for the Project Team to maintain their interest of participation in NCSA and more importantly for the implementing agency to ensure the continuity of NCAP implementation. It is recommended that there's always an alternate representative available from key government ministries, departments or agencies to ensure the continuation of institutional memory.

Another key challenge is the existing constitutional framework of Malaysia that divides jurisdiction of federal and state government over environmental and natural resource management. General environmental protection and pollution prevention that includes negotiations and implementation of MEAs falls under the purview of Federal Government, whereas the land and natural resource management (water) fall under the jurisdiction of State Governments. Thus creating significant gaps in capacities associated with the implementation of national policies and enforcement of environmental laws and regulations between the federal and state level. The project team needs to address this issue through regular stakeholder engagement activities especially with the state representatives. This will be helpful in the subsequent 'buy-in' and the actual implementation of the NCAP.

However, the project team is confident of achieving the targets as planned as long as the challenges and risks are recognised at the earliest stage of the project.

6.0 References

- CDI, 2000. *Country Capacity Development Needs and Priorities: A Synthesis*.
- GEF, 2001. *A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management*.
- GEF Global Support Programme, 2005. *Resource Kit for National Capacity Self-Assessment*. United Nations Development Programme.
- MNRE/UNDP, 2006. *Project Document for National Capacity Needs Self-Assessment for Global Environmental Management (NCSA)*.
- UNDP, 2006. *Capacity Assessment Practice Note*.

Annex 1 Amended Strategic Results Framework

Intended Outputs	Output Targets	Indicative Activities	Inputs
<p>1 Inception report and stakeholder analysis matrix</p>	<p>1.1 Report on project inception phase</p> <p>1.2 A plan identifying possible stakeholders, the level and mechanisms of involvement in the NCSA process</p>	<p>1.1.1 Establish project organisational framework: Project Steering Committee, Project Management Committee, National Project Centre, with one National Project Director, one National Coordinator and one Assistant and national experts for thematic and cross-cutting assessments, and Technical Working Groups</p> <p>1.1.2 Review and finalise detailed work plan, budget and TORs</p> <p>1.1.3 Conduct high-level planning meetings/consultations with stakeholders on the launching of the NCSA process</p> <p>1.1.4 Conduct and prepare stakeholder analysis matrix</p> <p>1.1.5 Conduct the Inception Workshop</p> <p>1.1.6 Prepare Inception Report</p>	<ul style="list-style-type: none"> • Meetings/consultations • National Project Director • National Coordinator and Assistant
<p>2 Stocktaking of related stakeholder activities</p>	<p>2.1 Summary report on stocktaking of stakeholder activities produced</p>	<p>2.1.1 Employ and engage project national experts</p> <p>2.1.2 Stocktaking of ongoing and previous related activities of the stakeholders. Establish contact with concerned stakeholders and invite representative stakeholders to participate in project activities</p> <p>2.1.3 Establish links with related ongoing projects in Malaysia, and evaluate current synergies between the three thematic areas</p> <p>2.1.4 Assessment of the implementation of thematic areas</p> <p>2.1.5 Outreaching and establishing links with other regional NCSAs</p>	<ul style="list-style-type: none"> • National Experts • Stakeholder consultation workshops

<p>3 Stocktaking of past thematic evaluation of capacity evaluation</p>	<p>3.1 Summary report of stocktaking of past thematic evaluation of capacity constraints</p>	<p>3.1.1 Assessment of capacity development needs as proposed in the thematic areas</p> <p>3.1.2 Assessment of existing documentation related to capacity building in Malaysia that describes the urgency and centrality of the issues in each theme</p> <p>3.1.3 Evaluation of areas where capacity has not been assessed at either the system, institutional or individual level</p>	<ul style="list-style-type: none"> National Experts
<p>4 National level stakeholder roundtable dialogues</p>	<p>4.1 National level stakeholder roundtable dialogue proceedings</p>	<p>4.1.1 Engaging participants from all relevant sectors including government, NGOs and community organisations, the private sector and academia in the NCSA process</p> <p>4.1.2 Cover the progress on implementing the three thematic areas, the formal and informal, governmental and non-governmental institutional framework, the capacity constraints, the scope and work plan of this project and possible methodologies for undertaking the capacity assessment</p> <p>4.1.3 Obtain recommendations for the optimal methodology to undertake the in-depth assessment</p> <p>4.1.4 Identification of resource persons to participate in future activities</p>	<ul style="list-style-type: none"> Roundtable Dialogues
<p>5 In-depth analysis of thematic priority areas</p>	<p>5.1 Report of thematic analysis produced</p>	<p>5.1.1 Identify methodologies for in-depth capacity analysis</p> <p>5.1.2 Determine methods and levels of stakeholder consultation during this assessment stage, based on input from national level stakeholder dialogue.</p>	<ul style="list-style-type: none"> National Experts Reports

<p>6 Cross-cutting capacity needs assessment</p>	<p>6.1 Report of cross-cutting needs assessment produced</p>	<p>6.1.1 Identify methodologies for cross-cutting analysis 6.1.2 Assess capacity constraints i.e. strengths and weaknesses at the individual, institutional and systemic levels at each thematic area 6.1.3 Assess cross-cutting capacity need 6.1.4 Assess synergies between the thematic areas</p>	<ul style="list-style-type: none"> • National Experts • Reports
<p>7 Development and endorsement of final report and action plan.</p>	<p>7.1 A final report will be produced that will describe and summarise the stocktaking, thematic and cross-cutting assessments and consultation processes</p> <p>7.2 An action plan developed to identify strategic opportunities to feed the outputs of the NCSA, including the preparation of the mid-term review of the Ninth Malaysia Plan, and the deliberations of the National Council on Biodiversity and Biotechnology.</p>	<p>7.1.1 A workshop to the various groups that presents the results of the NSCA including the results of the stocktaking exercise, capacity constraints and priority areas, evaluation of synergies and cross-sectoral issues and draft action plan</p>	<ul style="list-style-type: none"> • Workshop • National Experts

Annex 2 Amended NCSA Project Work Plan

Outputs and Activities	Responsible Person	2007							2008												
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	
Output 1: Inception report and stakeholder plan																					
Act 1.1	Establish project organisational framework: PSC, PMC, NPC and TWGs	PT	↔	↔	↔																
Act 1.2	Conduct high-level planning meeting on project management arrangement	PT	↔	↔	↔																
Act 1.3	Conduct stakeholder consultations on the planning & launching of NCSA project	PT	↔	↔	↔																
Act 1.4	Review and finalise detailed work plan, budget and TOR for PSC, PMC, TWGs and National Experts	PT	↔	↔	↔	↔	↔	↔	↔												
Act 1.5	Conduct stakeholder analysis and prepare stakeholder involvement plan	PT		↔	↔	↔	↔	↔	↔												
Act 1.6	Conduct Inception Workshop	PT & NRE			↔	↔	↔	↔	↔												
Act 1.7	Prepare and finalise Inception Report	PT			↔	↔	↔	↔	↔												
Project monitoring and evaluation																					
	Hold regular PMC meetings to monitor project activities	PMC			↔	↔	↔	↔	↔												
	Hold PSC meeting at 6-monthly basis to review the project implementation	PSC				↔	↔	↔	↔												
	Conduct audit by government or external auditors	NC																			
	Prepare and submit Quarterly Operational Reports	NC				↔	↔	↔	↔												
	Prepare and submit Annual Project Progress & Financial Report	NC																			

Outputs and Activities	Responsible Person	2007												2008							
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	
Output 2: Stocktaking of related stakeholder activities																					
Act 2.1	Select and engage project national experts to carry out short-term consultancy work																				
Act 2.2	Establish contact with concerned stakeholders to participate in project activities																				
Act 2.3	Outreaching and establish links with other regional NCSA project teams																				
Act 2.4	Take stock and review documentations & information on related stakeholder capacity building activities																				
Act 2.5	Summarise stocktaking results in a report																				
Output 3: Stocktaking of past thematic evaluation of capacity constraints																					
Act 3.1	Assess capacity development needs in the thematic areas																				
Act 3.2	Assess existing documentation related to capacity building in Malaysia																				
Act 3.3	Evaluate areas where capacity has not been assessed at either system, institutional or individual level																				
Act 3.4	Conduct stakeholder consultation sessions to take stock past thematic evaluation of capacity constraints and to launch thematic assessment																				
Act 3.5	Conduct TWG meetings to provide input for the stocktaking process and reports																				
Act 3.6	Summarise stocktaking results in a report																				
Output 4: National level stakeholder roundtable dialogues																					
Act 4.1	Organise roundtable dialogues to engage multi-stakeholders, verify stocktaking results, and obtain optimal methodology for thematic and cross-cutting methodology																				

Annex 3 Amended NCSA Project Budget

GEF Outcome / Atlas Activity	Responsible Party / Implementing Agency	Source of Funds	Atlas Code	ERP / Atlas Budget Description / Input	Amount (USD) Year 1 2006	Amount (USD) Year 2 2007	Amount (USD) Year 3 2008	Total (USD)				
Output 1: Inception Report and Stakeholder Plan	GoM / MNRE	GEF	71405	Contractual Services - Individual (Nat. Coordinator)		42,000.00	21,000.00	63,000.00				
				Contractual Services - Individual (Asst. Nat. Coordinator)		30,000.00	15,000.00	45,000.00				
				Travel	5,538.57	4,000.00	3,000.00	12,538.57				
				Information Technology Equipmt		3,000.00		3,000.00				
				Audio Visual & Print Prod Costs (Printing and Publications)		467.53		467.53				
				Miscellaneous Expenses	1,493.90	2,500.00	1,000.00	4,993.50				
				Subtotal	7,032.47	81,967.53	40,000.00	129,000.00				
				Output 2: Stocktaking of Related Stakeholder Activities	GoM / MNRE	GoM	71400	Contractual Services - Individ (Supervisory)		9,000.00	4,500.00	13,500.00
								Contractual Services - Individ (Managerial)		12,000.00	6,000.00	18,000.00
								Travel Tickets - International		2,500.00	2,500.00	5,000.00
Daily Subsistence Allow - International		1,000.00	1,000.00					2,000.00				
Common Services - Premises		12,000.00	6,000.00					18,000.00				
Management and Reporting Servs		18,000.00	9,000.00					27,000.00				
Facilities and Admin - Services		3,000.00	1,500.00					4,500.00				
Subtotal	0.00	57,500.00	30,500.00					88,000.00				
Output 2: Stocktaking of Related Stakeholder Activities	GoM / MNRE	GEF	71300					Local Consultants		5,000.00		5,000.00
								71600	Travel		3,000.00	
				Subtotal	0.00	8,000.00	0.00	8,000.00				
				71610	Travel Tickets - Local		500.00		500.00			
71620	Daily Subsistence Allow - Local		200.00		200.00							

Output 7:	GoM / MNRE	GEF		Audio Visual & Print Prod Costs (Printing and Publications, Promotional Materials and Dist)				
Development of Final Report and Action Plan		74200						3,000.00
		74525						2,500.00
				Subtotal	0.00	0.00	0.00	5,500.00
	GoM	74525		Miscellaneous Expenses (workshop)				1,700.00
				Subtotal	0.00	0.00	0.00	1,700.00
				Total GEF Contributions	7,032.47	103,467.53	59,500.00	170,000.00
				Total GoM Contributions	0.00	63,400.00	36,600.00	100,000.00
				GRAND TOTAL	7,032.47	166,867.53	96,100.00	270,000.00

Annex 4 Membership and Terms of Reference for Project Steering Committee

Mandate

Project Steering Committee (PSC) is responsible for the overall development and implementation of NCSA Project.

Membership

Chairperson: Deputy Secretary General I, NRE

Members:

1. The Economic Planning Unit, Prime Minister's Department (EPU)
2. Ministry of Finance (MOF)
3. Ministry of Science, Technology and Innovation (MOSTI)
4. Ministry of International Trade and Industry (MITI)
5. Ministry of Agriculture and Agro-based Industries (MOA)
6. Ministry of Housing and Local Government (KPKT)
7. Ministry of Transport (MOT)
8. Ministry of Energy, Water and Communications (MEWC)
9. Ministry of Plantation Industries and Commodities (KPPK)
10. Public Services Department (JPA)
11. Sabah State Economic Planning Unit
12. Sarawak State Planning Unit
13. Malaysia Environmental NGO (MENGO)
14. Business Council for Sustainable Development in Malaysia (BCSDM)
15. Resident Representative, United Nations Development Programme (UNDP)
16. National Project Director, NCSA Project (MNRE)

Secretariat: National Coordinator, NCSA Project

Terms of Reference

PSC is to meet at least once in six months or any other time as the need arises. All decisions or approvals shall be reflected in the minutes of the PSC meetings.

The terms of reference of the PSC will be as follows:

- Ensure satisfactory progress towards achieving the objectives of the NCSA Project;
- Encourage active participation and effective cooperation among the stakeholders including relevant government agencies, institutions, NGOs and private sector in the NCSA process;
- Monitor and evaluate project activities & budget and ensure the fulfilment of responsibilities of all stakeholders in the NCSA;
- Review and approve changes in project outputs and associated activities, if necessary;
- Review and endorse all technical reports and action plan produced as outputs of the project;
- Facilitate discussion on all aspects of the implementation of National Capacity Action Plan; and
- The committee may co-opt any other member, if necessary.

Annex 5 Membership and Terms of Reference for Project Management Committee

Mandate

Project Management Committee (PMC) is established to provide supervision to the project implementation which include the coordination, guidance and linkages between the three technical working groups i.e. biodiversity, climate change and land degradation.

Membership

Chair: National Project Director, NCSA Project@Under-Secretary, CEMD, NRE

Members:

1. Chair of Biodiversity Technical Working Group
2. Chair of Climate Change Technical Working Group
3. Chair of Land Degradation Technical Working Group
4. Deputy Undersecretary (Biodiversity), CEMD, NRE
5. Deputy Undersecretary (Climate Change), CEMD, NRE
6. Deputy Undersecretary, Strategic Planning & International Division, MOA
7. UNDP Country Office
8. National Coordinator, NCSA Project

Secretariat: Assistant National Coordinator, NCSA Project

Terms of Reference

The PMC is to meet regularly or any other time as the need arises in accordance to the project progress.

The terms of reference of the PMC will be as follows:

- Ensure that the project is implemented in a timely and efficient manner;
- Undertake strategic project development, including approval of work plans for each TWG;
- Ensure effective communication and adequate information flow with the relevant authorities, institutions and government agencies in close collaboration with the PSC;
- Coordinate and oversee the timely preparation of the project outputs and information material related to the project;
- Ensure that the tasks of TWGs are implemented in a timely and efficient manner;
- Propose revisions to the project document, i.e. changes in activities and outputs; and
- Provide technical backstopping on reports prepared by the National Experts and the National Coordinator to the PSC. To this end, the PMC will from time to time, invite technical experts from the TWG to be present for these meetings.

Annex 6 Terms of Reference for NCSA Project Team

The NCSA Project Team is made up of the National Project Director, National Coordinator and Assistant National Coordinator.

A. National Project Director

The Government shall appoint a National Project Director to be responsible, on behalf of the government, for the project. NPD will be a senior official from the executing agency. The NPD will be supported by the NC and ANC and will work closely with the PSC, PMC, TWG, relevant agencies as well as national experts. The NPD will be responsible for:

- Assuring the Government inputs to the project are forthcoming in a timely and effective manner;
- Assuring the project stays in line with national programs, strategies, and objectives and full achievements of the immediate objectives and outputs;
- Overseeing project implementation and the timely undertaking of all activities.

The NPD shall also:

- Work closely with the NC in overseeing the establishment of the Project Management Committee, with systems put in place for sound management of all project subcontracts and financial disbursements;
- Assume duties as Secretary to the PSC;
- Coordinate national and international experts and advise on planned training and workshops.
- Submit, as required, Inception Report, Interim Progress Report and Annual Project Report (APR);
- Approve detailed terms of reference and qualifications for each subcontract;
- Direct and supervise the establishment of project administration procedures for all staff, subcontractors, and participating agencies;
- Submit quarterly status and financial reports for the approval of PSC;
- Submit budget revisions and requests as and when required for approval of PSC.

B. National Coordinator

Scope of the Assignment

- The National Coordinator will manage the project on a day-to-day basis and is accountable to the PMC for the planning, management, quality, timeliness and effectiveness of the activities carried out, as well as for the use of funds;
- The NC will ensure regular monitoring and feedback from activities already under implementation;
- The NC will work closely with the TWG, UNDP, PMC and PSC.

Duties and Responsibilities

The National Coordinator will have the following duties:

- Prepare a detailed work plan, monitoring plan and budget;
- Assist in organising meetings for PSC, PMC and TWG;
- Prepare regular progress and financial reports for submission to PSC and UNDP CO;
- Coordinate and oversee the preparation of the outputs of the NCSA;
- Ensure effective communication and adequate information flow with the relevant authorities, institutions and government agencies in close collaboration with the NPD;
- Ensure appropriate stakeholder participation in the project implementation and coordinate the work of all stakeholders under the guidance of the TWG/PMC/PSC;
- Maintain and establish additional links with other related national and international programs and projects;
- Prepare the Terms of Reference for consultants and experts and ensure their timely hiring;
- Provide guidance to the consultants and experts and oversee compliance with agreed work plan;
- Identify training needs for other project stakeholders;
- Organize and coordinate the procurement of services and goods under the project;
- Coordinate, manage and monitor the implementation of the project assignments undertaken by the working groups, local experts, consultants, sub-contractors and co-operating partners;
- Assume overall responsibility for the proper handling of logistics related to all project workshops and events;
- Manage the Project finance, oversee overall resource allocation and where relevant submit proposals for budget revisions with the help of the UNDP CO;
- Overseeing the production and endorsement of detailed work plan, produced inception, stocktaking, thematic assessment, cross-cutting assessment, NCSA Report and Action Plans;
- Produce draft and final NCSA report for approval by PSC; and
- Undertake other duties as directed by the PSC.

C. Assistant National Coordinator

Duties and Responsibilities

The Assistant National Coordinator shall report directly to the National Coordinator and shall be responsible for the following:

- Providing administrative and logistic support to the project team;
- Managing schedules and project implementation within specified project constraints;
- Undertaking secretariat services to specific project activities;
- Providing limited backup support to the team;
- Providing financial and limited backup support to the project team;
- Executing financial and budgetary tasks and related activities; and
- Undertake other duties as directed by the PSC.

Annex 7 Memberships and Terms of Reference for Technical Working Groups

Biodiversity Technical Working Group (TWG BioD)

Mandate

Biodiversity Technical Working Group (TWG BioD) serves as the technical arms for the NCSA project in the thematic area of biological diversity.

Membership

Chairperson: Deputy Under-Secretary (Biodiversity), CEMD, NRE

Members:

1. Forestry Development Division, NRE
2. Forestry Department Peninsular Malaysia
3. Department of Wildlife and National Parks Malaysia
4. Marine Parks Department Malaysia
5. Department of Agriculture Malaysia
6. Department of Fisheries Malaysia
7. Department of Veterinary Services Malaysia
8. Sabah Forestry Department
(Focal point for Sabah State Government Agencies)
9. Malaysia Palm Oil Board (MPOB)
10. Forest Research Institute Malaysia (FRIM)
11. Malaysian Agriculture Research and Development Institute (MARDI)
12. Institute of Biological Science, University of Malaya
13. Institute for Environment and Development, Universiti Kebangsaan Malaysia (LESTARI)
14. Sarawak Biodiversity Centre (SBC)
(Focal point for Sarawak State Government Agencies)
15. World Wide Fund for Nature Malaysia (WWF)
16. Third World Network (TWN)
17. BP Asia Pacific (Malaysia)

If the need arises, the chairperson of TWG-BioD may include any other member(s) during different phases of the project.

Terms of Reference

TWG BioD reports to PMC and is to meet at least once in three months, or whenever necessary.

The terms of reference of TWG BioD are as follows:

- Review the scope of work and methodology undertaken by the national experts;
- Facilitate dissemination of information on country's priority biodiversity issues, capacity constraints and needs relating to country's obligations and commitments to United Nations Convention on Biological Diversity to the NCSA process;

- Review and comment on the technical reports produced by national experts and NCSA project team.

Climate Change Technical Working Group (TWG CC)

Mandate

Climate Change Technical Working Group (TWG CC) serves as the technical arms for the NCSA project in the thematic area of climate change.

Membership

Chairperson: Deputy Under-Secretary (Climate Change), CEMD, NRE

- Members:
1. Department of Environment Malaysia (DOE)
 2. Department of Drainage and Irrigation Malaysia (DID)
 3. Department of Agriculture Malaysia (DOA)
 4. Malaysia Meteorological Department (MMD)
 5. Corporate & International Division/Land Division, Ministry of Transport (MOT)
 6. Malaysia Palm Oil Board (MPOB)
 7. Natural Resources and Environment Board Sarawak (NREB)
(Focal point for Sarawak State Government Agencies)
 8. Sabah Environment Protection Department
(Focal point for Sabah State Government Agencies)
 9. Forest Research Institute Malaysia (FRIM)
 10. National Hydraulic Research Institute Malaysia (NAHRIM)
 11. Malaysian Agriculture Research and Development Institute (MARDI)
 12. Sustainable Energy Development Division, Ministry of Energy, Water and Communications
 13. Malaysia Energy Centre (PTM)
 14. Institute for Environment and Development, Universiti Kebangsaan Malaysia (LESTARI)
 15. Centre for Education, Training and Research in Renewable Energy and Energy Efficiency (CETREE), Universiti Sains Malaysia
 16. Centre for Environment and Technology Development Malaysia (CETDEM)
 17. Third World Network (TWN)
 18. BP Asia Pacific (Malaysia)
 19. Malaysia Second National Communication to UNFCCC (NC2)

If the need arises, the chairperson of TWG CC may include any other member(s) during different phases of the project.

Terms of Reference

TWG CC reports to PMC and is to meet at least once in three months, or whenever necessary.

The terms of reference of TWG CC are as follows:

- Review the scope of work and methodology undertaken by the national experts;
- Facilitate dissemination of information on country's priority climate change issues, capacity constraints and needs relating to country's obligations and commitments to United Nations Framework Convention on Climate Change to the NCSA process;
- Review and comment on the technical reports produced by national experts and NCSA project team.

Land Degradation Technical Working Group (TWG LD)

Mandate

Land Degradation Technical Working Group (TWG LD) serves as the technical arms for the NCSA project in the thematic area of land degradation.

Membership

Chairperson: Deputy Under-Secretary (PSA), MOA

Members:

1. Department of Agriculture Malaysia
2. Department of Agriculture Sarawak
3. Department of Agriculture Sabah
4. Department of Environment Malaysia (DOE)
5. Forestry Department Peninsular Malaysia
6. Forest Department Sarawak
7. Sabah Forestry Department
8. Sarawak Planning Unit
9. Department of Drainage and Irrigation, Malaysia (DID)
10. Department of Director General of Lands and Mines
11. Department of Local Government, Malaysia
12. Town and Country Planning Department, Malaysia
13. Malaysia Palm Oil Board (MPOB)
14. Malaysia Timber Industry Board
15. Malaysia Cocoa Board
16. Malaysia Rubber Board
17. Natural Resources and Environment Board Sarawak (NREB)
18. Natural Resources Office (Pejabat Hasil Bumi), Sabah
19. Land and Survey Department Sarawak
20. Forest Research Institute Malaysia (FRIM)
21. National Hydraulic Research Institute Malaysia (NAHRIM)
22. Malaysian Agriculture Research and Development Institute (MARDI)
23. National Institute of Public Administration (INTAN)
24. Department of Land Management, Universiti Putra Malaysia
25. Institute for Environment and Development, Universiti Kebangsaan Malaysia (LESTARI)

If the need arises, the chairperson of TWG LD may include any other member(s) during different phases of the project.

Terms of Reference

TWG LD reports to PMC and is to meet at least once in three months, or whenever necessary.

The terms of reference of TWG LD are as follows:

- Review the scope of work and methodology undertaken by the national experts;
- Facilitate dissemination of information on country's priority land degradation issues, capacity constraints and needs relating to country's obligations and commitments to United Nations Convention to Combat Desertification to the NCSA process;
- Review and comment on the technical reports produced by national experts and NCSA project team.

Annex 8 Terms of Reference for National Experts

UNDP in collaboration with the Ministry of Natural Resources and Environment has agreed to assist the Ministry to source for National Expert(s) to provide technical and substantive advice and facilitate all project activities on a short-term basis, for the UNDP/ GEF National Capacity Needs Self Assessment for Global Environmental Management project.

The National Expert(s) will be working closely with the National Coordinator and in consultation with the Project Management Committee and Technical Working Groups to complete a full assessment of the institutional, systemic and individual capacity within and across each thematic area.

The overall aim of the National Capacity Needs Self-Assessment for Global Environmental Management (NCSA) is to assess Malaysia's capacity constraints and needs related to the three thematic areas – biodiversity, climate change, and land degradation, and address the linkages between them.

There will be particular emphasis on further identifying cross-cutting issues and enhancing synergies among the relevant MEAs and regional initiatives, mainly the three global conventions: United Nations Convention on Biological Diversity (CBD), United Nations Framework Convention on Climate Change (UNFCCC) and United Nations Convention to Combat Desertification (CCD).

The NCSA is a consultative country-driven exercise, executed by the Ministry of Natural Resources and Environment. The main outputs will include: a detailed assessment of needs in selected critical or priority areas; and an action plan for responding to the needs.

Scope of the Assignment

The National Expert(s) is required to provide technical and substantive advice and facilitate all project activities on a short-term basis, working closely with the National Coordinator and in consultation with the Project Management Committee and Technical Working Groups to complete a full assessment of the institutional, systemic and individual capacity within and across each thematic area.

Duties and Responsibilities

1. Stocktaking Analysis

- Review and evaluate relevant documentation pertaining to the three Rio Conventions including existing strategies, action plans, government policies and thematic assessment reports.
- Undertake a stock-take and gap analysis of existing capacity (systemic, institutional and individual) of key stakeholders to implement the three conventions.
- Review reports by other capacity building programmes and provide comments to the National Coordinator.
- Develop appropriate self-assessment methodology and assist the conduct of self-assessment by the stakeholders.
- Prepare a stocktaking report.

2. Thematic Assessment

- Conduct thematic assessment and prepare thematic profiles which include description of capacity constraints and opportunities for capacity development of each thematic area.
- Prepare a thematic assessment report.

3. Cross-cutting Analysis

- Perform detailed cross-cutting analysis to identify key priority cross-cutting capacity issues and synergy opportunities across three thematic areas.
- Prepare a cross-cutting assessment report.

4. National Capacity Action Plan and Final Report

- Prepare a procedural manual documenting the self-assessment process – success, constraints and especially lessons learned.
- Prepare a final NCSA report presenting the findings of the stocktaking, thematic and cross-cutting assessments and Capacity Development Action Plan for Malaysia.
- Present findings and recommendations in the final report and action plan to a national workshop.

5. Others

- Prepare and produce NCSA information materials.
- Assist in conducting workshops, meetings and project events, facilitating and advising the discussions for the purpose of promoting the self-assessment as management tool and raising awareness and understanding of capacity development. This will include the national level stakeholders' roundtable dialogue, and may include field visits.
- Provide technical assistance as required to local counterparts and other staff in carrying out their work relating to self-assessments.
- Assist the National Coordinator to develop a capacity building database based on available information from past and on-going activities.

Duration

Six (6) to eight (8) months

Qualifications

UNDP Malaysia is looking for qualified Malaysian individuals/ company/organization to fill the position of National Expert(s). Successful candidates should have the following pre-requisites:-

- a. Minimum of 5 to 10 years extensive working experience in any one of the following fields of study:
 - Environmental studies (science and/or management)
 - Environmental economics or law
 - Natural resources or biodiversity conservation or sustainable land management
 - Environmental governance or public administration or international relations
 - Human resource development or organisational change or administrative reform or institutional change and management or overall societal learning

- b. Demonstrated working experience in capacity building activities, institutional strengthening, self-assessment or other relevant fields, notably at the systemic and institutional levels
- c. A good understanding of environmental and conservation issues in Malaysia
- d. A demonstrated understanding of the institutional, legislative, and administrative dynamics and dimensions of sustainable development in Malaysia
- e. Good knowledge of the UN conventions especially CBD, UNFCCC and UNCCD
- f. Good communication and reporting skills,
- g. Good working knowledge of English and Malay Language.

Annex 9 Summary Report of NCSA Inception Workshop

Introduction

The Inception Workshop for the National Capacity Needs Self Assessment for Global Environmental Management (NCSA) was held on the 26th March 2007 at Dewan Baiduri, Ministry of Natural Resources and Environment (NRE), Putrajaya. The workshop was attended by over 60 participants comprising representatives from various ministries, government agencies, academic and research institutions, NGOs and private sector.

The goal of the Inception Workshop was to introduce to the stakeholders regarding the objectives, methodology and planned project activities, and to provide them with the opportunity to comment and give input to the draft inception report that was prepared by the project team. The workshop was also organised to explore the needs and issues to be addressed in the project. The expected outputs of the workshop included (i) an inventory of capacity building initiatives in Malaysia; (ii) a preliminary list of capacity strength and constraints related to the implementation of conventions; (iii) revised TOR for each TWG; and (iv) a preliminary list of common capacity issues.

Major Event Highlights

The workshop commenced with opening remarks by Pn. Fatimah Raya Nasron, Deputy Secretary General (I) of the Ministry of Natural Resources and Environment highlighting the importance of capacity development at all levels, and NCSA project as a first step in a dynamic and long-term capacity development process.

The opening was soon followed by a presentation entitled Capacity Development Initiative for Multilateral Environmental Agreements from Ms. Ginny Ng, Programme Manager of UNDP Malaysia. She gave an overview of the initiative jointly launched by Global Environment Facility (GEF) and UNDP in the year 2000, highlighting some common capacity needs identified in the study.

Subsequent two presentations focused on the lessons learned from past and on-going capacity building programmes. Dr. Nadzri Yahaya, Deputy Undersecretary of the Conservation and Environmental Management Division of NRE presented on the DANIDA-CEMD project conducted from 2002-2006 for building the capacity of CEMD in the implementation of MEAs. This was followed by Pn. Noraini Hashim from BP Malaysia, who gave a presentation on a project where BP engaged on with several partners in identifying human resource needs for management and conservation of biodiversity in Malaysia.

National Coordinator for the NCSA project, Ms. Gan Pek Chuan gave an overall explanation on the project including the project background, goal and objectives, activities, expected outputs, work plan and budget distribution. The rationale, importance, and mechanism of stakeholders involvement in this NCSA project was further emphasized in the National Project Director, Dr. Lian Kok Fei's presentation, the Undersecretary of Conservation and Environmental Management Division of MNRE. The first half of the programme was concluded with a Q&A session whereby the participants provided feedback and recommendations to the presenters and project team.

During the second half of the day, participants were divided into three thematic break-out groups, namely (i) Biodiversity Group, (ii) Climate Change Group, and (iii) Land Degradation Group, each

group having around 20 participants. The session was fruitful whereby participants actively contributed constructive suggestions and recommendations.

At the closing of the workshop, the National Project Director expressed his appreciation to all participants for their active participation and contributions to the workshop. Valuable comments and suggestions from the participants showed there are significant interests of involvement in NCSA, and NRE looks forward to future dialogues. He also added that stakeholders' commitment will be the key of turning NCSA project from a fine assessment study to a stakeholders owned process that could be used, applied and benefits all.



Photo 1: Dr. Lian Kok Fei, National Project Director giving his presentation on 'The Roles, Functions and Responsibilities of Stakeholders in NCSA Process'.



Photo 2: Participants divided into 3 working groups during the break-out session.



Photo 3: Group photograph of workshop participants.

Summary of Q&A Session

- a) A general comment regarding the NCSA project is the time frame of 18 months being too short for the development of a comprehensive Action Plan, especially when stakeholder buy-in of the outputs is very crucial to the success and sustainability of the project. Due to the short project timeframe, nothing much could be achieved and there is a need to prioritise area of work and determine the scope for the project. Participants were particularly concerned that the NCSA output would be another project report left on the shelf, with no proper mechanism on follow up. Besides, the quality of the output is more desirable than the number of outputs achieved.

The project team clarified that this NCSA project is an enabling activity under the GEF funding category; hence there will be no extension beyond 18 months of the project. However, project team agreed that the actual implementation of the NCAP is more important than it being nicely written, endorsed and printed at the end of the 18 months. Hence, the scope of the project and achievable outputs will be determined and realistically paced. Besides, it is ensured that the report and the NCAP will be completed, followed up and followed through by the NRE towards its implementation.

- b) Participants to the workshop suggested inclusion of additional stakeholders in the PSC and TWG, in particular representatives from Sabah and Sarawak.**

The project team affirmed that any other stakeholders suggested including government agencies, research institutions, NGO, and private will be considered to be included in the TWG as long as the stakeholder has a role to play and could actively contribute to the project. However, noting the risk of these groups becoming too big, which could potentially, defeats the original purpose of having an efficient TWG.

- c) The issue of overlaps in existing policies was brought up in this session, highlighting the dire need of government departments to revise their current mandate. An example given was the mandate of Forestry Department Peninsular Malaysia is to ensure sustainable production of timber resources with no element of biodiversity conservation. Similarly is the Fisheries Department.**

The project team took notice of the issue raised and reinforced that the key role of government departments as stated are to utilise available resources in a sustainable manner that future generation will be benefited.

- d) The issue relating to the Federal and State relationship was raised as a possible obstacle in the course of implementing the NCAP. There appears to be a need where policy decision to be filtered down from Federal to State, and all the way down to the local district levels. Hence, capacity development should encompass the whole spectrum of government structure. This would then ensure that the proper mechanism for the implementation of the three conventions could be complied at both national and local levels.**

It is noted that the existing complications and sensitivity in the Federal and State relationship, nevertheless, the project team will ensure that the final output of the project will be filtered down to local level, with the possibility of developing even a state capacity development action plan. Education of stakeholders particularly at local levels is deemed very important. In view of this, BP Malaysia offered the findings from their study on the Human Resource Needs for Management and Conservation of Biodiversity in Malaysia conducted in 2003. In addition, the project team emphasised and reminded the participants that this NCSA project does not and should not be too ambitious by trying to deal with governance issues. The project should run within impediment frameworks. In another word, the project will aim at studying existing gaps and weaknesses at systemic level and will recommend strategies to remove these barriers.

- e) Participants suggested that local states should be included as key stakeholders in the NCSA process in order for early stage engagement and to ensure sustainability and ownership of the final output by the states.**

Project team recognised the importance of local states engagement, and agreed that it should be brought forward to be further deliberated at the PSC. Due to the limited financial resources and timeframe, states could be invited during the national level stakeholder dialogue session, as well as road shows could be organised to showcase the NCAP at selected states.

Break-out Groups Discussion

During the second half of the day, participants were divided into three thematic break-out groups, namely (i) Biodiversity Group, (ii) Climate Change Group, and (iii) Land Degradation Group. Each group had around 20 participants. Results from the 3 groups discussion is compiled and presented in tables below.

a) Malaysia's Capacity Strengths and Constraints

MEA	Capacity Strengths	Capacity Constraints
UNF CCC	<ul style="list-style-type: none"> Diverse collection of data within various agencies (eg. within FRIM and PTM) Awareness level is high Strong institutional and policy commitment 	<ul style="list-style-type: none"> Data fragmentation, lack of harmonization of critical category, access to information, accuracy of information, lack of intra and inter agency communication, Lack of internal institutionalisation of capacity building programmes or activities Lack of uniform reporting standard Needs of increasing numbers of specialists to cope with the workload Lack of understanding of the obligations of the convention
CBD	<ul style="list-style-type: none"> NRE has the technical and non-technical agencies-coordination Existing laws encompassing many aspects of environmental issues 	<ul style="list-style-type: none"> Inadequate legal framework covering all states Weak enforcement of the laws Empowerment Coordination between government departments or agencies Biological diversity is not legally defined in the Constitutions CEMD (Conservation and Environment Management Div) must be strengthened to be the key coordinating agency Biodiversity Secretariat to be revived
CCD		<ul style="list-style-type: none"> Constraints in implementation are related to the state and federal government arrangements. Land is a state matter. NPP has been approved by the Cabinet and the problems faced are in the implementation and monitoring of the NPP. Gap is in the enforcement at the local level on implementing the guidelines

		<ul style="list-style-type: none"> The works are at the sectoral level. Lack of integration between the different sectors that is competing for similar land area.
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b) Review of NCSA Work Plan

Project Outputs	Comment
1. Establishment of coordination and support mechanisms	-
2. Stocktaking of related stakeholder activities, and past thematic evaluation of capacity constraints	Identification of the problems, determine the scope of activities
3. National level stakeholder roundtable dialogues	Multiple dialogues/consultations should be conducted based on different target groups e.g. policy-makers, interested parties, sectoral parties-communities. Two-month time frame is unrealistic to initiate the multi-tier consultation.
4. In-depth analysis of thematic priority areas	Time frame is acceptable
5. Cross-cutting capacity needs assessment	Time frame is acceptable
6. Development and endorsement of final report and action plan	Time frame is acceptable

c) Review of Terms of Reference for PSC

1. Mandate	Acceptable
2. Membership	<ul style="list-style-type: none"> a. Include private sector e.g. Business Council for Sustainable Development Malaysia b. 11 States in the Peninsular Malaysia are not represented c. Some state agencies not included especially those that have their own land codes/laws d. Revision of EPU-Energy and Environment, Ministry and its executing agencies, (*Technical input at the Steering Committee)
3. Working Procedure	-
4. Accountability	To be incorporated into 'Working Procedure'.
5. Duties and responsibility	-

d) Review of Terms of Reference for TWG

1. Mandate	Acceptable
2. Membership	<p>Propose to delete all the ministries at the technical level but to retain the executing agencies and the inclusion of potential agencies. Group members to identify agencies.</p> <p>General suggestions:</p> <ul style="list-style-type: none"> • Include 11 states representatives • Cross-sectoral member such as MIDA, MITI, MOF, FOMCA, Public Services Department <p>Suggestion to include in:</p> <p>a. Biodiversity TWG</p> <ul style="list-style-type: none"> • DOE • Users of Biodiversity i.e. Jabatan Hal Ehwal Orang Asli, Majlis Adat Istiadat • Ministry of Education • Public Services Department • Business community (ie. YTL, HSBC) <p>b. Climate Change TWG</p> <ul style="list-style-type: none"> • AG's office • EPU (External Assistance Section & Environment and Natural Resources Economics Section) • UPM – Faculty of Env. Studies • USM – CETREE • UM – Centre For Climate Affairs • UNIMAS • UMAS • BP <p>c. Land Degradation TWG</p> <ul style="list-style-type: none"> • State's Land Office
3. Working Procedure	Acceptable.
4. Accountability	To delete but retain the responsibility of reporting to PSC in the 'Working Procedure'
5. Duties and responsibility	<p>To rephrase</p> <p>a. "To review the TOR for hiring National Expert for undertaking the activities. To comment the report produced by the NE."</p> <p>b. "To support the execution of the task undertaken by the NE and PMC."</p> <p>c. "Undertake relevant activities as and when required by the NCSA PSC".</p>

e) Recommendations on Integration between Biodiversity, Climate Change and Land Degradation Issues

- Enhance leadership role and political-will in biodiversity matters;
- Better monitoring, supervision, enforcement and data inventory for biodiversity, climate change and land degradation;
- Define and refine jurisdiction/responsibilities of existing agencies/departments;
- Undertake institutional reorganization/restructuring e.g. Fisheries Department to be placed under the jurisdiction of NRE;
- Allocate budget for biodiversity and environmental issues;
- Access and utilise community knowledge for all areas;
- Integrate cross cutting issues between the three conventions under one National Committee – “Eco Friends Committee”;
- Undertake climate change modeling to anticipate effect of changes of climatic pattern on agricultural crops.

Overall Key Recommendations

- To determine scope of project and achievable outputs;
- To involve wide range of stakeholders from the early stage of project to ensure stakeholders buy-in and ownership;
- To ensure the final project output (National Capacity Action Plan) does not end up on shelves but mechanism is in place to monitor and evaluate its implementation