

- DOA
- PIMS No.

SIGNATURE PAGE

Country: Kingdom of Tonga

Expected Outcome(s)/Indicators: **Outcomes:** Increased capacity to implement and monitor the implementation of agreements signed at international conventions and UN conferences.
Indicator: Rules and regulations enacted reflecting conventions.

Expected Outcome(s)/Indicators(s): **Outcome:** A framework for national action and external assistance for future capacity building for global environmental management.
Indicator: A National Action Plan and Resource Mobilization Strategy based on the priority needs for capacity building in Tonga as identified through stakeholders assessments developed and supported.

Implementation Partner: Department of Environment

Other Partners: UNDP

Programme Period: 2005-2006
Programme Component: Goal 3: Environment
Project Title: National Capacity Self-Assessment for Global Environment Management
Project Code:
Project Duration: 18 months
Implementing Arrangements: NEM

Total Budget: \$200,000
Allocated resources: \$200,000

- Government: \$10,000 (in-kind)
- Regular: \$200,000
- Others:

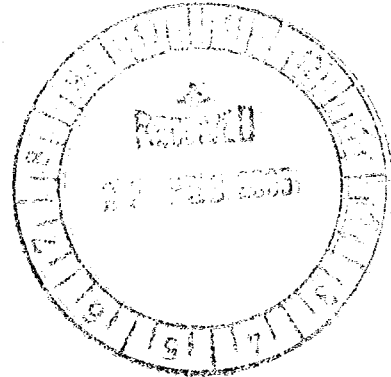
Donor: GEF: \$200,000
Unfunded budget: 0



Agreed by Government of Tonga: *V. V. Jone*
 Ms. Felita Utoikamanu, Permanent Secretary for Foreign Affairs

Agreed by DoE: *[Signature]*
 Mr. Ullou Samani, Director, Department of Environment

Agreed by UNDP: *[Signature]*
 Mr. Hans de Graaff, UNDP Resident Representative a.i





Annual Work Plan

Fiji - Suva

Award Id: 00038980

Award Title: Tonga NCSA Enabling Activity-PIMS 2658

Year: 2005

Report Date: 22/2/2005

Project ID	Expected Outputs	Key Activities	Timeframe		Responsible Party	Planned Budget										
			Start	End		Fund	Donor	Budget Descr	Amount US\$							
00043504	Tonga NCSA Enabling Activity	NCSA Project Office	20/2/05		FIJ-National Execution	62000	GEF Trustee	71300	Local Consultants	29,000.00						
					FIJ-National Execution	62000	GEF Trustee	71600	Travel	10,000.00						
					FIJ-National Execution	62000	GEF Trustee	72800	Information Technology Equi	8,000.00						
		Regional Support Mechan	20/2/05		FIJ-National Execution	62000	GEF Trustee	74500	Miscellaneous Expenses	3,000.00						
		Thematic Capacity Asses	20/2/05		FIJ-National Execution	62000	GEF Trustee	71600	Travel	10,000.00						
TOTAL															74,000.00	
GRAND TOTAL																74,000.00



Annual Work Plan

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Report Date: 2/27/2005

Award ID: 0003660
 Award Title: Tonga NCSA Enabling Activity-PMS 2658
 Year: 2006

Project ID	Expected Outputs	Key Activities	Timeframe		Responsible Party	Planned Budget				
			Start	End		Fund	Donor	Local	Foreign	Amended US\$
0003660	Tonga NCSA Enabling Activity	Capacity Building Model	202/05	202/05	FI-National Education	5000	GEF/Trustee	71500	Local Contribution	10,000.00
		Crane Clipping Services	202/05	202/05	FI-National Education	5000	GEF/Trustee	74500	Multi-Donor Expenses	1,000.00
		Monitoring and Evaluation	202/05	202/05	FI-National Education	5000	GEF/Trustee	71500	Local Contribution	13,500.00
		NCSA Project Office	202/05	202/05	FI-National Education	5000	GEF/Trustee	74500	Multi-Donor Expenses	4,000.00
		Regional Support Mechanism	202/05	202/05	FI-National Education	5000	GEF/Trustee	71500	Local Contribution	2,500.00
		Thematic Capacity Area	202/05	202/05	FI-National Education	5000	GEF/Trustee	71500	Local Contribution	30,000.00
TOTAL						25000		282500		126,000.00
GRAND TOTAL										126,000.00



KINGDOM OF TONGA

DEPARTMENT OF ENVIRONMENT

Address: P.O. Box 917
Nuku'alofa
TONGA

Telephone: (676) 25-050
Fax: (676) 25-051

From: Uilou Samani, Director of Environment

To: Navia Bhan

Date: 15 February 2005

Subject: Signed Signature Pages for Tonga NCSA Enabling Activity and Sustainable Lands Management PDF a Project

Please find attached the signed signature pages for the NCSA Enabling Activity and Sustainable Lands Management Project for your further necessary action and onward submission to the GEF HQ.

Should there be further information required from this end, please contact at your earliest possible.

Sincerely,

Asipeli Palaki
for Director of Environment



UNDP REGISTRY SUVA, FIJI	
File Ref	
Date	15 FEB 2005
RF	
DRR	
TG T/L	
DSU T/L	
CSU T/L	
PPM'S	NB ✓
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Cleared:

GOVERNMENT OF TONGA

United Nations Development Programme

**Other Partners:
Department of Environment**

**NATIONAL CAPACITY NEEDS SELF-ASSESSMENT FOR GLOBAL
ENVIRONMENTAL MANAGEMENT**

Brief Description

The main goal of the Tonga NCSA project is to identify, through a country-driven consultative process, priorities and needs for capacity building to protect the environment and natural resources, taking into account Tonga's obligations under the three global conventions on biodiversity, climate change and desertification/land degradation. The project will provide the key national decision makers and external funding agencies with critical information about Tonga's specific capacity needs to protect and contribute to managing the global environment and will produce a document highlighting prioritized national capacity needs, resource mobilization strategy and a capacity development action plan to guide further actions for the strengthening of national capacity to protect the environment.

SECTION 1.

Part 1. Situation Analysis

Sustainable development in Tonga

Tonga's *Strategic Development Plan Seven, 2001-2004* reaffirms a commitment to the maintenance of a healthy and unpolluted environment and to the thoughtful management of natural resources for the present and future generations. The central policy guideline in relation to the use and management of natural resources is to promote environmentally sustainable development that is consistent with the priority economic and social needs of Tonga. Education awareness and legislative means will be used to achieve this guideline where appropriate.

Although significant improvement has been observed in several areas of the environment and development nexus during the past few years, overall achievement has not achieved the desired level and the unsustainable use of natural resources continues at a high rate. If continued unabated, the loss of biodiversity, pollution of productive coastal and marine areas, contamination of water resources and the damage to natural ecosystems could seriously affect the government's vision for a high quality of life for all the people of the Kingdom¹.

Tonga's efforts to protect the environment and natural resources are severely constrained by the lack of human and financial resources. In 2001, a new Department of Environment (DoE) was established as a separate agency of government responsible for the coordination and implementation of environmental matters in Tonga. The DoE, with the support of other line ministries and departments and with the help of some NGOs and communities, is now leading the way in the management and development of Tonga's environment and natural resources for the benefit of its people, now and in the future. (For details on institutional framework, please refer to section I of Project Brief).

Commitment to International Agreements

Tonga has made known its commitment to the protection of the global environment through its participation in the United Nations Conference on Environment and Development (UNCED) in 1992 and by its subsequent commitment to the implementation of the Agenda 21. Tonga has also signed and ratified a number of Multilateral Environmental Agreements (MEAs) as emphasized by the international legal instruments and mechanisms of Agenda 21. Although Tonga has not yet adopted the United Nations Convention to Combat Desertification, the process for doing so has started and it is expected that this will be completed in the near future. Under the CBD and UNFCCC which Tonga had ratified in 1998, a number of activities have been carried out as part of Tonga's obligations under the conventions. (For details on activities, please refer to section I of the Project Brief). Tonga has also recently started the process for implementing and monitoring the Millennium Development Goals at the national level with the support of other ministries and UN agencies.

¹ Strategic Development Plan Seven 2001 – 2003. Central Planning Department, May 2001.

The project will help identify capacity building needs at the individual, institutional and systematic levels of the participating government agencies and NGOs in Tonga. It will involve a large number of individuals, government agencies, non-governmental organizations, and the private sector. A series of meetings and workshops will be conducted to map out an implementation plan for the NCSA and to raise stakeholder awareness about the project and involve stakeholder participation in project design.

Stakeholders will be expected to identify an appropriate staff to receive training in the conduct of self-assessment under the project. Such staff will act as the counterpart to the NCSA consultants and will be largely responsible for the carrying out of the self-assessments for the agencies they work for and will continue to ensure that their agencies continue to use this tool in determining their future capacity needs to meet their national and international obligations.

Linkages to UNDP-supported programmes

UNDP has long recognized that capacity development and institutional strengthening is necessary for articulating national priorities through targeted support. In the Pacific, UNDP has provided guidance and support for sustainable development through programmes in poverty alleviation and good governance with focus on environmental management, empowering of vulnerable groups and introduction of sustainable livelihood practices to all. The government of Tonga will identify its capacity to address global and national environmental challenges, and share resources and information with relevant UNDP-supported programmes. By the end of the NCSA process, there will be a clear indication of how the National Capacity Action Plan (See Output 4 on page 12) can be linked to national projects, regional projects including those being formulated for execution under the Pacific Regional Center to be established in Suva, Fiji.

Linkages to other On-going Activities in Tonga

The project will work with, and build on all ongoing and planned projects, programmes and initiatives in the thematic areas of biodiversity, climate change and land degradation in Tonga. It will also explore working relationship with ongoing projects in other thematic areas such as waste management and energy. In addition, the project will undertake to identify opportunities to assist the monitoring of Millennium Development Goals (MDG) in Tonga and to assess areas of needed assistance in order for Tonga to meet its MDG and SDP7 targets.

The DoE which is the executing agency for the NCSA and several other GEF/UNDP-funded projects in Tonga will work with a wide range of partners and stakeholders to create broad awareness of NCSA issues, identify needs and priorities for capacity building in the government, non-government and private sector, and to develop actions and programmes to address areas of needed assistance in order for Tonga to meet its environment and conservation goals.

Beneficiaries

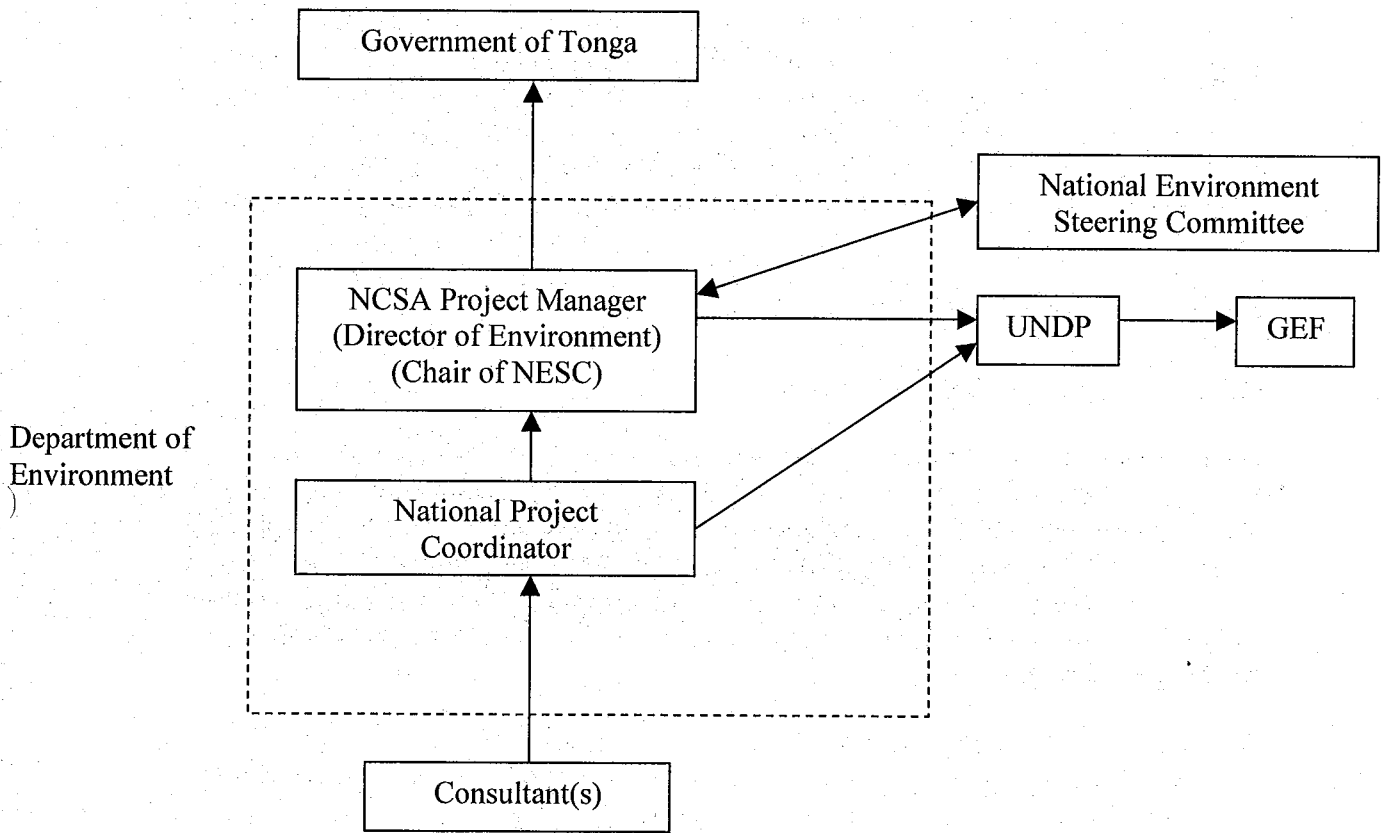
The Tonga NCSA aims to identify current country level priorities and needs to address global environmental concerns, particularly those relating to the CBD, UNFCCC and UNCCD. The aim is to catalyze action to meet local and international needs in a coordinated and planned manner. It will enhance opportunities for all relevant stakeholders to effectively participate in the planning and implementation of Tonga's obligations and commitments to the Multilateral Environmental Agreements and at the same time addressing priority national concerns.

The NCSA will support the development of a long-term strategy for capacity building focusing on the MEAs with particular emphasis on the three conventions, the CBD, UNFCCC and the UNCCD. The NCSA will adopt the following process and produce the outputs highlighted in bold.

1. Project Planning and Establishment – confirming project establishment arrangements, stakeholders' analysis (all stakeholder consultations to target men and women in equal numbers) and linkage study.
2. Finalizing and endorsing high-level support – **Government endorsement of National Environment Steering Committee** as the national body for overseeing the implementation of all environmental projects in Tonga, including the NCSA.
3. Stocktaking – **Baseline appraisal** targeting previous and on-going activities in terms of implementing the conventions.
4. In-depth analysis of current capacity – overall **capacity needs assessment** relating to implementing the conventions, identification and validation of priority areas, existing capacity in the priority areas and cross-cutting issues, including gender.
5. Production of **thematic profiles** with priority capacity needs and cross-cutting priorities, including an assessment of how environmental activities impact women.
6. Production of an **NCSA document** for Tonga detailing the process taken and documenting capacity needs and recommendations for action.
7. Preparation of an **NCSA Action Plan and Resource Mobilization Strategy**.
8. Secure high level support and initiate implementation and monitoring.

Part III. Management Arrangements

Figure 1 below illustrates reporting relationships for the NCSA.



report, and supporting UNDP Suva, government of Tonga and DoE in addressing the recommendations and applying lessons learned.

Part V. Legal Context

This document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Tonga and the United Nations Development Programme on 25 January, 1978. The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in the Agreement. The following types of revisions may be made to this document with the signature of the UNDP Resident Representative only:

- Revisions in or additions to, any annexes of the document.
- Revisions which do not involve significant changes to the immediate objectives, outputs, or activities of the programme, but is caused by the rearrangement of inputs already agreed to, or by cost increases due to inflation, and
- Mandatory annual revisions which re-phase the delivery of agreed inputs or increased expert costs due to inflation or take into account agency expenditure flexibility.

	<ul style="list-style-type: none"> - An analysis of problems confronting capacity building initiatives. - An assessment of capacity development needs of Tonga. 	<p>determine areas of complementarities and synergies.</p> <p>2.7. Explore linkages with other projects.</p> <p>2.8. Prepare thematic profiles.</p> <p>2.9. Carry out stakeholder consultations to identify mechanisms to address capacity development needs.</p>	
3. Opportunities to address cross-cutting issues and synergies identified	<p><i>Months 6-14, Years 1 & 2:</i></p> <ul style="list-style-type: none"> - Links with other national and regional projects. - Synergies and overlaps with other relevant conventions identified. - Lessons learned from NCSA and other capacity building projects documented. 	<p>3.1. Continue stakeholder consultations and review of existing information.</p> <p>3.2. Recruit short-term expert to assist document lessons learned.</p> <p>3.3. Continue support for NESC as the single coordinating body for all environment projects in Tonga.</p> <p>3.4. Document and publish lessons learned.</p>	Funding from UNDP/GEF, short-term consultants and local counterparts
4. National Capacity Building Plan and Resources Mobilization Strategy completed	<p><i>Months 14-18, Year 2:</i></p> <ul style="list-style-type: none"> - NCSA work plan - Resource mobilization strategy - Monitoring and evaluation system 	<p>4.1. Convene working groups to develop work plan and resource mobilization strategy.</p> <p>4.2. Publicize results and findings of NCSA.</p> <p>4.3. Develop and approve monitoring system.</p> <p>4.4. Initiate fund raising for implementation of NCSA work plan.</p>	Funding from UNDP/GEF, consultants, local counterparts.

	- An integrated thematic report produced.			DoE, Consultants	GEF	International consultants, print and production costs	5,000
Cross-cutting issues relevant to capacity building have been properly analysed.	- Synergies and linkages with other relevant conventions identified.			Thematic Group, Steering Committee	GEF	Local consultants, miscellaneous expenses	18,000
	- Lessons learned from NCSA documented.			DoE, Consultant	GEF	International consultants, travel, print and production costs	30,000
Mechanism for regional cooperation agreed.	- Regional NCSA post established within a regional institution.			UNDP	GEF	International consultant, travel	25,000
Capacity Building Work Plan developed.	- A national capacity building work plan developed for Tonga.			DoE, Steering Committee	GEF	Local consultant, print and production costs	10,000
	- A resource mobilization plan prepared to support the work plan.			DoE, Steering Committee	GEF	Local consultants, print and production costs	10,000
Arrangements for monitoring and evaluation are discussed and adopted.	- A monitoring system developed and implemented for NCSA in Tonga.			DoE, Steering Committee	GEF	Local consultants, miscellaneous expenses	10,000

KEY OUTPUTS & MONITORING ACTIVITIES	KEY ACTIVITIES	TIMEFRAME				PARTNER	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Source	Description	Amt
Initiate and coordinate the planning process	Recruit short term technical experts					DoE	GEF	Personnel	20,000
	Conduct planning workshop for NESC					DoE	GEF	Personnel	4,500
	Conduct training for local counterparts					DoE	GEF	Personnel	12,000
	Organize meetings of NESC					DoE	GEF	Misc. expenses	1,200
	Regional coordination (Tonga's contribution to regional NCSA mechanism)					DoE/SPREP	GEF	Contractual services	15,000
Thematic Assessments	Inventory and analysis of existing reports					DoE	GEF	Personnel	5,000
	Identification of gaps in capacity building					DoE	GEF	Personnel	4,000
	In-depth assessment of stakeholders capacity in thematic areas					DoE	GEF	Personnel	24,000
	Preparation of thematic report					DoE	GEF	Personnel	5,000
Cross-cutting issues and synergies	Explore linkages with other capacity building projects					DoE	GEF	Personnel	3,500
	Identify and document lessons learned					DoE	GEF	Personnel	10,000
	Publicize and promote lessons learned					DoE	GEF	Misc. expenses	4,000
National Action Plan and Resources Mobilization Strategy	Prepare national work plan					DoE	GEF	Personnel	5,000
	Prepare resources mobilization strategy					DoE	GEF	Personnel	5,000
	Presentation of Action Plan and Resources Mobilization Strategy					DoE	GEF	Misc. expenses	1,000
Monitoring and evaluation	Preparation of monitoring and evaluation system					DoE	GEF	Personnel	1,000
	Prepare TOR for final evaluation					UNDP	GEF	Misc. expenses	500
	Recruit evaluation team					UNDP	GEF	Misc. expenses	5,000
	Conduct final evaluation					UNDP	GEF	Personnel	1,500
Sub-total								\$127,200	
GRAND TOTAL								\$200,000	

Annex 1:

**Terms of Reference
National Environmental Steering Committee**

Annex 2

Terms of Reference

NCSA Project Manager

Objective

The Government of Tonga has received funds through the UNDP/GEF to assist with the assessment of Tonga's capacity to meet its obligations under the CBD, UNFCCC and UNCCD. An important part of this project is the appointment of a Project Manager to have overall responsibility for the management and implementation of the project. In this regard, the government of Tonga has identified the Director of Environment as the Project Manager for the NCSA. The Project Manager will be responsible for the following tasks:

1. Have overall responsibility for the management and implementation of the NCSA project.
2. Recruit and supervise a Project Coordinator to be responsible for the day-to-day operation of the NCSA. Recruitment procedure must give equal opportunity to men and women.
3. Convene and chair the meetings of the National Environmental Steering Committee.
4. Approve the TOR and recruitment of NCSA consultants.
5. Ensure that there is close coordination between the NCSA and other environmental and capacity building projects in Tonga.
6. Review and endorse NCSA progress and financial reports to UNDP and the National Environmental Steering Committee.
7. Ensure NCSA resources are effectively used.
8. Assist secure additional resources in support of the NCSA; and
9. Set other duties as deemed necessary for the success of the NCSA.

10. Other duties as may be assigned by the Project Manager from time to time.

Qualifications

- A baccalaureate or advanced degree in a field of relevance to the objectives of the project;
- At least two years of working experience related to project management, capacity building and government;
- A good understanding of environment and conservation issues in Tonga and the Pacific;
- Good understanding of the CBD, UNFCCC and the UNCCD;
- Good written communication and reporting skills; and
- Good understanding of local institutions and stakeholders.

- A good understanding of environment and conservation issues in Tonga and the Pacific;
- Good understanding of the CBD, UNFCCC and the UNCCD;
- Good communication and reporting skills; and
- Some understanding of local institutions and stakeholders.

GOVERNMENT OF TONGA

United Nations Development Programme

**Other Partners:
Department of Environment**

**NATIONAL CAPACITY NEEDS SELF-ASSESSMENT FOR GLOBAL
ENVIRONMENTAL MANAGEMENT**

Brief Description

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Donor: GEF: \$200,000

Unfunded budget: 0

Agreed by Government of Tonga:

Agreed by DoE

Agreed by UNDP

SECTION 1.

Part 1. Situation Analysis

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Tonga's efforts to protect the environment and natural resources are severely constrained by the lack of human and financial resources. In 2001, a new Department of Environment (DoE) was established as a separate agency of government responsible for the coordination and implementation of environmental matters in Tonga. The DoE, with the support of other line ministries and departments and with the help of some NGOs and communities, is now leading the way in the management and development of Tonga's environment and natural resources for the benefit of its people, now and in the future. (For details on institutional framework, please refer to section I of Project Brief).

Commitment to International Agreements

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¹ Strategic Development Plan Seven 2001 – 2003. Central Planning Department, May 2001.

implementing and monitoring the Millenium Development Goals at the national level with the support of other ministries and UN agencies.

Problem to be addressed

A major contributing factor for Tonga has been the lack of national capacity to successfully implement the MEAs while at the same time achieving national goals of sustainable development. Like many other small island nations in the Pacific region, the government of Tonga has adopted a large number of Multi-lateral Environmental Agreements thereby placing a heavy burden on its limited human and financial resources to implement obligations under these agreements. Despite the increased awareness both at national and international levels, efforts to maximize synergies between agreements are generally not undertaken when plans are prepared and implemented under the various conventions. There is still a preference for short term, less expensive solutions in view of the uncertainty surrounding future support and capacity. Hence, it is generally recognized that a holistic approach is needed to strengthen national strategy development and capacity building to implement Tonga's obligations under the conventions while at the same time achieving national priorities and needs.

At present, Tonga is unlikely to be able to fulfill its obligations to the international conventions due to the current lack of capacity and synergies of action. Although capacity building have been carried out through various programmes in the past, it is still unclear whether these programmes have achieved their targets, whether they have catered to the real needs and how much they have contributed to improve the capacities at different levels in Tonga. The NCSA is a tool to help the government of Tonga assess its current level of capacity to meet its obligations under the Convention on Biological Diversity (CBD), United Nations Framework Convention on Climate Change (UNFCCC) and United Nations Convention to Combat Desertification (UNCCD). Implicit in this is the notion that, with a little guidance and the right tools, the agencies and organizations with direct responsibilities for implementing Tonga's obligations under the conventions will be capable of self reflecting and identifying their own strengths and weaknesses to meet these obligations. This then becomes the starting point for intentional organizational improvement initiatives which should, in turn, allow adequate planning for future growth and development that capitalizes on current strengths while addressing current limitations.

Part II. Strategy

This project proposes to develop a comprehensive strategy on capacity building to address environmental management issues at the national and international levels. The goal of the NCSA is to identify, through a country-driven consultative process, priorities and needs for capacity building to help protect the global environment.

The NCSA will capitalize on the wealth of information already available in terms of the needs and constraints for capacity building in Tonga. This will include information gathered by previous projects, capacity assessments and other activities at national and regional levels. The project will seek to deliver the following key objectives: (a) review

priority issues for action within the three thematic areas of biodiversity, climate change and land degradation, (b) explore related capacity needs within and across the three thematic areas, (c) link country and international actions to the broader environmental management and sustainable development framework, and (d) analyze targeted and coordinated action and future external and internal assistance.

The project will help identify capacity building needs at the individual, institutional and systematic levels of the participating government agencies and NGOs in Tonga. It will involve a large number of individuals, government agencies, non-governmental organizations, and the private sector. A series of meetings and workshops will be conducted to map out an implementation plan for the NCSA and to raise stakeholder awareness about the project and involve stakeholder participation in project design.

Stakeholders will be expected to identify an appropriate staff to receive training in the conduct of self-assessment under the project. Such staff will act as the counterpart to the NCSA consultants and will be largely responsible for the carrying out of the self-assessments for the agencies they work for and will continue to ensure that their agencies continue to use this tool in determining their future capacity needs to meet their national and international obligations.

Linkages to UNDP-supported programmes

UNDP has long recognized that capacity development and institutional strengthening is necessary for articulating national priorities through targeted support. In the Pacific, UNDP has provided guidance and support for sustainable development through programmes in poverty alleviation and good governance with focus on environmental management, empowering of vulnerable groups and introduction of sustainable livelihood practices to all. The government of Tonga will identify its capacity to address global and national environmental challenges, and share resources and information with relevant UNDP-supported programmes. By the end of the NCSA process, there will be a clear indication of how the National Capacity Action Plan (See Output 4 on page 12) can be linked to national projects, regional projects including those being formulated for execution under the Pacific Regional Center to be established in Suva, Fiji.

Linkages to other On-going Activities in Tonga

The project will work with, and build on all ongoing and planned projects, programmes and initiatives in the thematic areas of biodiversity, climate change and land degradation in Tonga. It will also explore working relationship with ongoing projects in other thematic areas such as waste management and energy. In addition, the project will undertake to identify opportunities to assist the monitoring of Millenium Development Goals (MDG) in Tonga and to assess areas of needed assistance in order for Tonga to meet its MDG and SDP7 targets.

The DoE which is the executing agency for the NCSA and several other GEF/UNDP-funded projects in Tonga will work with a wide range of partners and stakeholders to

create broad awareness of NCSA issues, identify needs and priorities for capacity building in the government, non-government and private sector, and to develop actions and programmes to address areas of needed assistance in order for Tonga to meet its environment and conservation goals.

Beneficiaries

The direct beneficiaries of the NCSA will be the government of Tonga and its relevant institutions (Ministries, Departments and agencies), non-governmental organizations, and the private sector whose current capacities to address environmental concerns will be assessed and analyzed during the NCSA process. Gaps in capacities to address environmental concerns will be identified and prioritized and a strategy to address the prioritized capacity needs will be developed. This strategy will include gender sensitive planning and gender balanced capacity building at all levels. Equally importantly, through the training to be provided under the project, the agencies and organizations will be provided the capacity to undertake self-assessments as a tool for continuing institutional building and staff skills development.

Apart from providing an opportunity for an extensive stakeholder dialogue to integrate global environmental concerns at a national context, the NCSA will also facilitate the identification of synergies, practical initiatives and priorities to address environmental issues as a long term intervention. The outputs and outcomes from this project will benefit the donor community and other partners to focus their future projects and programmes on priority capacity building needs as identified through the NCSA process. Success for the project will also pave the way for achieving the long-term benefits at the global level, while the increased capacities for environmental management will help realize Tonga's sustainable development vision and at the same time complying with commitments to the global community.

Partnership Strategy

The executing agency will consult and work collaboratively with all relevant stakeholders in the implementation of this project. The NCSA process will be participatory, demand-driven, cross-sectoral and cooperative, relying on stakeholder participation, information exchange, networking and learning by doing to guide project activities. An appropriate participatory process will be developed during the implementation phase.

The NCSA will aim to consolidate the partnership between the DoE and other agencies and organizations who have actively participated in committees and working groups established for projects such as NBSAP, Climate Change, Biosafety, and others. This will be realized by strengthening and supporting the National Environmental Steering Committee (NESC) as the single coordinating body for all environmental projects in the Kingdom, including the NCSA. Hence, the NCSA will adopt a broader but more strategic partnership and programmatic approach that goes beyond the current 'stand-alone' projects which should result in significant long-term impacts. The NESC will be set up to with a gender balanced membership.

The project plans to carry out an extensive stakeholder analysis to identify relevant individuals and groups to be part of the NCSA process. These individuals will receive training from the project in the conduct of capacity self-assessment and will be heavily involved in the undertaking of the assessments for the agencies they work for. These individuals will represent an important investment in future capacity building initiatives in Tonga.

Project Mechanism

The Tonga NCSA aims to identify current country level priorities and needs to address global environmental concerns, particularly those relating to the CBD, UNFCCC and UNCCD. The aim is to catalyze action to meet local and international needs in a coordinated and planned manner. It will enhance opportunities for all relevant stakeholders to effectively participate in the planning and implementation of Tonga's obligations and commitments to the Multilateral Environmental Agreements and at the same time addressing priority national concerns.

The NCSA will support the development of a long-term strategy for capacity building focusing on the MEAs with particular emphasis on the three conventions, the CBD, UNFCCC and the UNCCD. The NCSA will adopt the following process and produce the outputs highlighted in bold.

1. Project Planning and Establishment – confirming project establishment arrangements, stakeholders' analysis (all stakeholder consultations to target men and women in equal numbers) and linkage study.
2. Finalizing and endorsing high-level support – **Government endorsement of National Environment Steering Committee** as the national body for overseeing the implementation of all environmental projects in Tonga, including the NCSA.
3. Stocktaking – **Baseline appraisal** targeting previous and on-going activities in terms of implementing the conventions.
4. In-depth analysis of current capacity – overall **capacity needs assessment** relating to implementing the conventions, identification and validation of priority areas, existing capacity in the priority areas and cross-cutting issues, including gender.
5. Production of **thematic profiles** with priority capacity needs and cross-cutting priorities, including an assessment of how environmental activities impact women.
6. Production of an **NCSA document** for Tonga detailing the process taken and documenting capacity needs and recommendations for action.

7. Preparation of an **NCSA Action Plan and Resource Mobilization Strategy**.
8. Secure high level support and initiate implementation and monitoring.

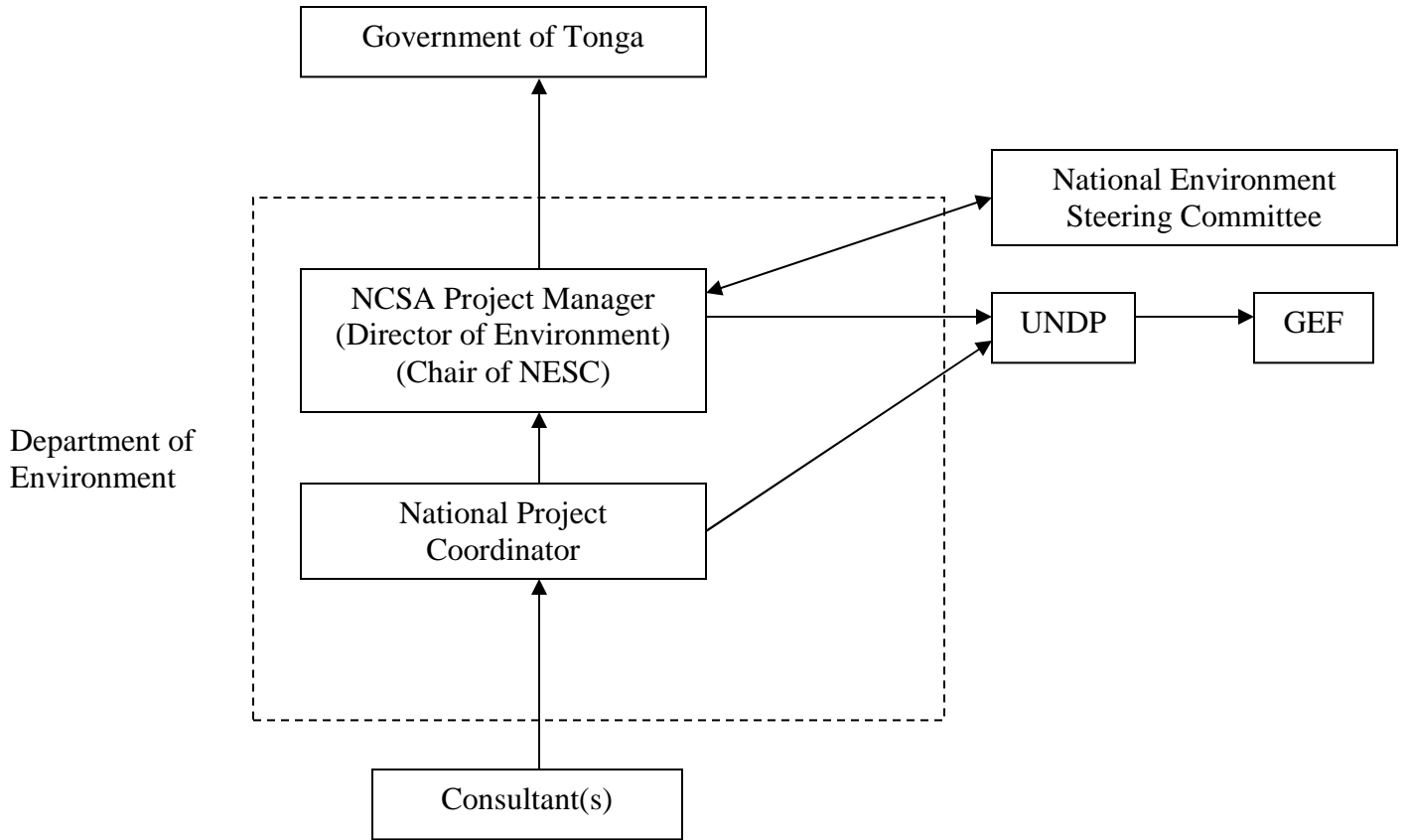
Part III. Management Arrangements

The DoE will be the executing agency for the project and will have responsibility for facilitating project coordination with other relevant agencies and organizations in Tonga. DoE will ensure the timely and effective delivery of project outputs and the proper use of project resources.

The Director of Environment shall be the NCSA Project Manager. He will be responsible to the UNDP and the NESC for the effective implementation of the NCSA. He will appoint a National Project Coordinator (NPC) who will be largely responsible for the overall planning and implementation of the project, coordination with the Project Manager and other stakeholders and for the preparation of reports (including financial reports) to UNDP and the NESC. The NESC will report through the Development Coordination Committee (DCC) to the Tongan Government.

UNDP, as the implementing agency of the GEF, will monitor the NCSA through appraisal of quarterly reports and provision of status updates to GEF. UNDP guidelines will apply to the execution of the NCSA. The Tripartite Review (TPR) will include representatives from the Tongan government, the NESC, and UNDP.

Figure 1 below illustrates reporting relationships for the NCSA.



Audit Arrangements

An annual audit of NCSA resources will be carried out by an accredited auditor who shall, in addition to local government requirements, pay particular attention to the UNDP financial regulations, policies and procedures that apply to projects; the project document and work plans, including activities, management arrangements, expected results, monitoring, evaluation and reporting provisions; and the key considerations for management, administration and finance. The audit shall not cover expenses incurred by UNDP.

Part IV. Monitoring and Evaluation

Quarterly and Annual Monitoring

The project will be monitored and evaluated according to UNDP/GEF rules and procedures. DoE will prepare annual work plans, Quarterly Operational Reports (QOPs) and Annual Progress Reports (APRs) on the technical and substantive progress of the project. The NESC will meet regularly to review these reports and to resolve any issues constraining implementation. Tripartite Review Meetings (TPR) involving government of Tonga, DoE and UNDP will be held at the end of the first 12 months and at the completion of the project.

DoE will ensure that progress reports are submitted by all consultants involved in project activities. These include surveys, trainings, workshops, meetings and field activities.

Based on QOP received from DoE, UNDP Suva will prepare Quarterly Operational Report (QOR) to be submitted to UNDP-GEF Regional Coordination Unit for Asia and the Pacific, every quarter.

The NESC together with DoE will monitor the activities of the NCSA by assessing progress at all stages, analyzing situations to determine the causes for any major deviations from the plan and deciding necessary actions to remedy the situations as appropriate.

Final Evaluation

A Final Impact Evaluation will be conducted at the end of the project to provide an overall assessment of the NCSA process and to consider opportunities for implementing and supporting the Work Plan and Resource Mobilization Strategy. This evaluation will be carried out in accordance with UNDP-GEF procedures and requirements and will be undertaken by an independent evaluator with the help of a local expert.

UNDP Suva, with inputs from UNDP-GEF and the government of Tonga, will prepare and finalize the Terms of Reference for the Final Evaluation. UNDP/GEF will also contribute to the evaluation by providing nominations for consultants and agreeing to the

final selection, participating in the final evaluation if necessary, providing input to the evaluation as appropriate, reviewing and providing comments on the draft evaluation report, and supporting UNDP Suva, government of Tonga and DoE in addressing the recommendations and applying lessons learned.

Part V. Legal Context

This document shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the Government of Tonga and the United Nations Development Programme on 25 January, 1978. The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in the Agreement. The following types of revisions may be made to this document with the signature of the UNDP Resident Representative only:

- Revisions in or additions to, any annexes of the document.
- Revisions which do not involve significant changes to the immediate objectives, outputs, or activities of the programme, but is caused by the rearrangement of inputs already agreed to, or by cost increases due to inflation, and
- Mandatory annual revisions which re-phase the delivery of agreed inputs or increased expert costs due to inflation or take into account agency expenditure flexibility.

Section II. Results and Resources Framework

Intended Outcome: Global environmental concerns and commitments are integrated into national development planning and policies of the government of Tonga.			
Outcome indicator: National Capacity Self-Assessment process carried out to identify country level priorities and needs for capacity building to address global environmental concerns.			
Applicable Strategic Area of Support and TTF Service Line (if applicable): G3-SGN2-SASN2 – Global Conventions and Funding Mechanisms.			
Partnership Strategy: UNDP collaborates with key national agencies, NGOs and the private sector to identify core capacities of national implementers and their partners, as well as to set up the necessary mechanisms to improve environmental services and promote sustainable development at all levels.			
Project Number and Title: National Capacity Self-Assessment for Global Environmental Management.			
Intended Outputs	Output Targets	Indicative Activities	Inputs
1A coordinated planning process established	<i>Months 1-6, Year 1:</i> - Project Office established. - NCSA launched. - NCSA Induction workshop conducted. - National Project Coordinator recruited. - NESC supported. - Inventory of existing reports carried out	1.1. Agree with Director DoE, arrangements for establishment of project office within DoE. 1.2. Prepare TORs and recruit NPC and short-term consultants. 1.3. Conduct induction workshop to introduce project to all stakeholders. 1.4. Conduct planning workshop for NESC. 1.5. Draft TOR for local counterparts to assist the NCSA process. 1.6. Prepare TOR for NESC. 1.7. Organize meetings of NESC 1.8. Review and analyze relevant reports	Funding from UNDP/GEF; office space from DoE and local counterparts from all stakeholders.
2. Thematic Assessment Reports and Profiles completed	<i>Months 6-10, Year 1:</i> - Gaps and root causes for lack of capacity identified. - Evaluation of baseline situation for each thematic area. - Thematic profiles.	2.1. Assessment and analysis of relevant reports. 2.2. Conduct training for local NCSA counterparts 2.3. Conduct evaluation of baseline situation. 2.4. Conduct in-depth assessment of capacity needs for each thematic area. 2.5. Convene meeting of working groups to identify gaps and problems affecting capacity	Funding from UNDP/GEF, short-term consultants and local counterparts.

	<ul style="list-style-type: none"> - An integrated thematic report. - An analysis of problems confronting capacity building initiatives. - An assessment of capacity development needs of Tonga. 	<p>building.</p> <p>2.6. Assess other conventions to determine areas of complementarities and synergies.</p> <p>2.7. Explore linkages with other projects.</p> <p>2.8. Prepare thematic profiles.</p> <p>2.9. Carry out stakeholder consultations to identify mechanisms to address capacity development needs.</p>	
3. Opportunities to address cross-cutting issues and synergies identified	<p><i>Months 6-14, Years 1 & 2:</i></p> <ul style="list-style-type: none"> - Links with other national and regional projects. - Synergies and overlaps with other relevant conventions identified. - Lessons learned from NCSA and other capacity building projects documented. 	<p>3.1. Continue stakeholder consultations and review of existing information.</p> <p>3.2. Recruit short-term expert to assist document lessons learned.</p> <p>3.3. Continue support for NESC as the single coordinating body for all environment projects in Tonga.</p> <p>3.4. Document and publish lessons learned.</p>	Funding from UNDP/GEF, short-term consultants and local counterparts
4. National Capacity Building Plan and Resources Mobilization Strategy completed	<p><i>Months 14-18, Year 2:</i></p> <ul style="list-style-type: none"> - NCSA work plan - Resource mobilization strategy - Monitoring and evaluation system 	<p>4.1. Convene working groups to develop work plan and resource mobilization strategy.</p> <p>4.2. Publicize results and findings of NCSA.</p> <p>4.3. Develop and approve monitoring system.</p> <p>4.4. Initiate fund raising for implementation of NCSA work plan.</p>	Funding from UNDP/GEF, consultants, local counterparts.

Section III. Total and Annual Work Plans

Total Budget and Work Plan

EXPECTED OUTCOMES	Output with corresponding indicators and means of verification for the year of the Annual Workplan (including Monitoring and Project Management)	TIMEFRAME		RESPONSIBLE PARTY	PLANNED BUDGET		
		Year 1	Year 2		Source of Funds	Budget Description	Amount
NCSA Project Office is established and operational within the Department of Environment.	- Arrangements are completed and finalized for the establishment of the Project Office within DoE.			Department of Environment (DoE)	GEF	Miscellaneous expenses, supplies, equipment and furniture	7,000
	- Project Coordinator recruited.			Department of Environment (DoE)	GEF	Local consultants	25,000
	- NCSA launched.			Department of Environment (DoE)	GEF	Miscellaneous expenses	3,000
	- NCSA Induction workshop conducted.			DoE in association with other key stakeholders	GEF	Miscellaneous Expenses	5,000
Capacity assessments in thematic areas are completed and analysed.	- Evaluation of baseline situation for each thematic area completed.			Thematic Working Group, consultants	GEF	International consultants, Miscellaneous expenses	11,000
	- Capacity self-assessments carried out for all NCSA stakeholders.			Thematic Working Group, consultants	GEF	International consultants, travel	35,000
	- Thematic profiles prepared.			DoE, Consultants	GEF	International consultants, print and production costs	4,000
	- Analysis of problems confronting capacity building in Fiji completed.			NCSA Steering Committee	GEF	Local consultants, miscellaneous expenses	2,000

	- An integrated thematic report produced.			DoE, Consultants	GEF	International consultants, print and production costs	5,000
Cross-cutting issues relevant to capacity building have been properly analysed.	- Synergies and linkages with other relevant conventions identified.			Thematic Group, Steering Committee	GEF	Local consultants, miscellaneous expenses	18,000
	- Lessons learned from NCSA documented.			DoE, Consultant	GEF	International consultants, travel, print and production costs	30,000
Mechanism for regional cooperation agreed.	- Regional NCSA post established within a regional institution.			UNDP	GEF	International consultant, travel	25,000
Capacity Building Work Plan developed.	- A national capacity building work plan developed for Tonga.			DoE, Steering Committee	GEF	Local consultant, print and production costs	10,000
	- A resource mobilization plan prepared to support the work plan.			DoE, Steering Committee	GEF	Local consultants, print and production costs	10,000
Arrangements for monitoring and evaluation are discussed and adopted.	- A monitoring system developed and implemented for NCSA in Tonga.			DoE, Steering Committee	GEF	Local consultants, miscellaneous expenses	10,000

Annual Work Plan – Year 2005 and 2006

Annual Work Plan – Year 2005									
EXPECTED OUTPUTS & MONITORING ACTIVITIES	KEY ACTIVITIES	TIMEFRAME				PARTNER	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Source	Description	Amt
Initiate and coordinate the NCSA planning process	Set up Project Office					DoE	GEF	Equipment	8,000
	Prepare TOR and recruit NPC					DoE	GEF	Personnel	20,000
	Conduct NCSA induction workshop					DoE	GEF	Personnel	5,000
	Conduct planning workshop for NESC					DoE	GEF	Personnel	2,500
	Prepare TORs for local counterparts and consultants					DoE	GEF	Personnel	1,500
	Reaffirm NESC as NCSA Steering Committee					DoE	GEF	Misc. expenses	1,000
	Finalize list of stakeholders					DoE	GEF	Misc. expenses	1,000
	Determine stakeholders' degree of participation and process					DoE	GEF	Misc. expenses	1,000
	Conduct training for local counterparts					DoE	GEF	Personnel	5,000
	Organize and conduct meetings of NESC					DoE	GEF	Misc. expenses	300
	Prepare NCSA implementation plan for approval of NESC					DoE	GEF	Misc. expenses	2,000
	Review and analyze relevant reports					DoE	GEF	Local Consultants	3,000
	Regional coordination					DoE	GEF	Contractual services	10,000
Thematic Assessments	Conduct evaluation of baseline situation					DoE	GEF	Personnel	6,500
	Assessment of other conventions to determine synergies.					DoE	GEF	Local Consultants	2,000
	Assessment of problems facing capacity building.					DoE	GEF	Personnel	4,000
Cross-cutting issues and synergies	Explore linkages with other CB projects.								
	Document and publicize lessons learned								
Sub-total									\$72,800

Annual Work Plan – Year 2006

KEY OUTPUTS & MONITORING ACTIVITIES	KEY ACTIVITIES	TIMEFRAME				PARTNER	PLANNED BUDGET		
		Q1	Q2	Q3	Q4		Source	Description	Amt
Initiate and coordinate the planning process	Recruit short term technical experts					DoE	GEF	Personnel	20,000
	Conduct planning workshop for NESC					DoE	GEF	Personnel	4,500
	Conduct training for local counterparts					DoE	GEF	Personnel	12,000
	Organize meetings of NESC					DoE	GEF	Misc. expenses	1,200
	Regional coordination (Tonga's contribution to regional NCSA mechanism)					DoE/ SPREP	GEF	Contractual services	15,000
Thematic Assessments	Inventory and analysis of existing reports					DoE	GEF	Personnel	5,000
	Identification of gaps in capacity building					DoE	GEF	Personnel	4,000
	In-depth assessment of stakeholders capacity in thematic areas					DoE	GEF	Personnel	24,000
	Preparation of thematic report					DoE	GEF	Personnel	5,000
Cross-cutting issues and synergies	Explore linkages with other capacity building projects					DoE	GEF	Personnel	3,500
	Identify and document lessons learned					DoE	GEF	Personnel	10,000
	Publicize and promote lessons learned					DoE	GEF	Misc. expenses	4,000
National Action Plan and Resources Mobilization Strategy	Prepare national work plan					DoE	GEF	Personnel	5,000
	Prepare resources mobilization strategy					DoE	GEF	Personnel	5,000
	Presentation of Action Plan and Resources Mobilization Strategy					DoE	GEF	Misc. expenses	1,000
Monitoring and evaluation	Preparation of monitoring and evaluation system					DoE	GEF	Personnel	1,000
	Prepare TOR for final evaluation					UNDP	GEF	Misc. expenses	500
	Recruit evaluation team					UNDP	GEF	Misc. expenses	5,000
	Conduct final evaluation					UNDP	GEF	Personnel	1,500
Sub-total								\$127,200	
GRAND TOTAL								\$200,000	

Annex 1:

Terms of Reference National Environmental Steering Committee

Objective

The Government of Tonga has received funding through the UNDP/GEF to assist with the assessment of local capacity to meet Tonga's obligations under the CBD, UNFCCC and the UNCCD. An important part of this project is the establishment of a Project Steering Committee to provide oversight and advice in the implementation of the project.

It is expected that the National Environmental Steering Committee (NESC) which involves representatives from other existing Steering Committees such as in the NBSAP, Climate Change, and Biosafety, will act as the Steering Committee for the NCSA. The NESC will be made of equal numbers of men and women, and will be chaired by the Director of Environment. In addition to its other existing duties and responsibilities, the NESC will carry out the following specific functions for the NCSA.

1. Provide policy advice and guidance to the DoE, Project Coordinator and NCSA consultants in the implementation of the NCSA.
2. Ensure self-assessments are carried out by their own agencies in accordance with NCSA work plan and budget
3. Facilitate and participate in national consultation workshops involving the NCSA stakeholders.
4. Meet at least every three months to review progress in implementing the project.
5. Facilitate inter-agency sharing of information and experience relating to capacity building and the NCSA.
6. Provide quality control of reports and publications produced under the project.
7. Review and endorse NCSA reports to UNDP and GEF.
8. Help identify other potential sources of support for the implementation of the NCSA Plan of Action.
9. Help evaluate the success or otherwise of NCSA activities.
10. Other duties as agreed by the Committee from time to time.

Annex 2

Terms of Reference

NCSA Project Manager

Objective

The Government of Tonga has received funds through the UNDP/GEF to assist with the assessment of Tonga's capacity to meet its obligations under the CBD, UNFCCC and UNCCD. An important part of this project is the appointment of a Project Manager to have overall responsibility for the management and implementation of the project. In this regard, the government of Tonga has identified the Director of Environment as the Project Manager for the NCSA. The Project Manager will be responsible for the following tasks:

1. Have overall responsibility for the management and implementation of the NCSA project.
2. Recruit and supervise a Project Coordinator to be responsible for the day-to-day operation of the NCSA. Recruitment procedure must give equal opportunity to men and women.
3. Convene and chair the meetings of the National Environmental Steering Committee.
4. Approve the TOR and recruitment of NCSA consultants.
5. Ensure that there is close coordination between the NCSA and other environmental and capacity building projects in Tonga.
6. Review and endorse NCSA progress and financial reports to UNDP and the National Environmental Steering Committee.
7. Ensure NCSA resources are effectively used.
8. Assist secure additional resources in support of the NCSA; and
9. Set other duties as deemed necessary for the success of the NCSA.

Annex 3:

Terms of Reference

National Project Coordinator

Location: Department of Environment, Tonga

Duration: January 2005 to June 2006

Objective

The Government of Tonga has received funding through UNDP/GEF to assist with the assessment of local capacity to meet Tonga's obligations under the CBD, UNFCCC and UNCCD. An important part of this project is the recruitment of a Project Coordinator to the Executing Agency (i.e. DoE) to provide, facilitate and oversight the implementation of the NCSA project according to UNDP-GEF guidelines under the supervision of the Director of Environment. In this regard, the Director of DoE, who shall be the Project Manager for this project, will recruit a Project Coordinator to be responsible for carrying out the following tasks:

1. Liaise closely with the Project Manager and UNDP on matters relating to the project.
2. Facilitate and supervise the overall implementation of the project including the preparation of work plans and budgets.
3. Report, through the Project Manager, to the NESC on all matters relating to the implementation of the project.
4. Ensure the timely delivery of financial and progress reports to the Project Manager and UNDP.
5. Ensure close collaboration between the project and its stakeholders.
6. In consultation with the Project Manager, ensure appropriate and adequate support, including office space, is provided for consultants from time to time.
7. In consultation with the Project Manager, facilitate the recruitment and work of local and expatriate consultants.
8. Foster and establish links between the NCSA and other capacity building initiatives in Tonga.

9. Ensure NCSA activities are carried out in accordance with work plans, and NCSA project will produce sufficient output.

10. Other duties as may be assigned by the Project Manager from time to time.

Qualifications

- A baccalaureate or advanced degree in a field of relevance to the objectives of the project;
- At least two years of working experience related to project management, capacity building and government;
- A good understanding of environment and conservation issues in Tonga and the Pacific;
- Good understanding of the CBD, UNFCCC and the UNCCD;
- Good written communication and reporting skills; and
- Good understanding of local institutions and stakeholders.

Annex 3.

Terms of Reference

NCSA Project Consultants

Objective

The Government of Tonga has received funding through UNDP/GEF to assist with the assessment of local capacity to meet Tonga's obligations under the CBD, UNFCCC, and UNCCD. An important part of this project is the recruitment of consultants with expertise in self-assessment to assist the carrying out of the following tasks, but it is noted that specific TORs will be prepared for each consultant based on the specific needs of the project.

1. Provide training and mentoring for self-assessment counterparts as identified by the stakeholders.
2. Develop self-assessment methodology and assist the conduct of self-assessments by the stakeholders.
3. Document the self-assessment process noting successes, constraints and especially lessons learned.
4. Assist the conduct of self-assessment workshops by the stakeholders as required.
5. Provide technical assistance as required to local counterparts and other staff in carrying out their work relating to self-assessments.
6. Preparation and production of NCSA awareness raising materials.
7. Assist the conduct of workshops and meetings for the purpose of promoting the self-assessment as a management tool.
8. Assist the Project Coordinator in the organization and conduct of NCSA meetings and workshops.
9. Review reports by other programmes and provide comments to the Project Coordinator.
10. Assist the Project Coordinator develop a capacity building database based on available information from past and ongoing activities.

Qualifications

- An advanced degree in a field of relevance to the objectives of the project;

- At least five years of working experience in capacity building, institutional strengthening, self-assessments or other relevant fields;
- A good understanding of environment and conservation issues in Tonga and the Pacific;
- Good understanding of the CBD, UNFCCC and the UNCCD;
- Good communication and reporting skills; and
- Some understanding of local institutions and stakeholders.