



**PROJECT IDENTIFICATION FORM FOR NCSA ENABLING ACTIVITY**  
**PROPOSAL FOR FUNDING UNDER THE GEF TRUST FUND**  
 ( for NCSAs requesting PPG)

**PART I: PROJECT IDENTIFICATION**

EA Title:	National Capacity Needs Self-Assessment for Global Environment Management - Iraq		
Country(ies):	Iraq	GEF Project ID: <sup>1</sup>	
GEF Agency(ies):	UNEP (select)	GEF Agency Project ID:	01224
Other Executing Partner(s):	Ministry of Environment, UNEP/DRC/ROWA	Submission Date:	08/10/2013
GEF Focal Area (s):	Multi-focal Areas	Project Duration (Months)	24
		Agency Fee (\$):	19,000

**A. EA FRAMEWORK**

**EA Objective:** To assess the capacity development needs for the synergetic and coordinated implementation of multilateral environmental conventions in Iraq

EA Components	Expected Outcomes	Expected Outputs	Indicative GEF Grant <sup>a</sup>	Indicative Co-Financing <sup>a</sup>	Total (\$) c = a + b
			(\$ ) a	(\$ ) b	
1. Co-ordination mechanisms	1.1 An inter-ministerial platform to co-ordinate and support the NCSA process 1.2 A multi-stakeholder engagement and co-ordination process	1.1.1 Establishment of an NCSA Co-ordination Committee to provide the political, institutional and administrative guidance and support 1.1.2 Co-ordination between state and federal/governorate levels 1.2.1 All relevant state and non-state stakeholders are informed about or engaged in the NCSA process 1.2.2 NCSA inception workshop is held	50,000	20,000	70,000
2. Stocktaking and gap identification	<b>2.1 Review and documentation of existing information and relevant activities for each thematic area/MEA</b> <b>2.2 Identification of systemic, institutional and individual gaps and opportunities for improved MEA implementation</b>	2.1.1 Information baseline established for the three thematic areas (BD, CC, LD) and other MEA areas as appropriate (to be determined during inception) 2.2.1 Gap analysis and opportunity report produced	20,000	5,000	25,000
3. Thematic and cross-cutting assessments	3.1. Identification of capacity constraints at state and federal levels for the implementation of each targeted MEA 3.2 Identification of capacity constraints for improved implementation	3.1.1 Thematic assessment report developed 3.2.1 Cross-cutting assessment report delivered	70,000	20,000	90,000

<sup>1</sup> Project ID number will be assigned by GEFSEC.

	synergies among MEA and its relevant institutions at state and federal levels				
4. NCSA Action Plan	4.1 A strategy how to address core capacity constraints in close coordination with other ongoing environmental management processes and in line with the National Environmental Strategy and Action Plan	4.1.1 A detailed plan with projects, activities, budgetary requirements and timelines is established for the federal and governorates levels on how to address the core capacity needs at systemic, institutional and individual levels.	30,000	5,000	35,000
5. Monitoring and evaluation	Results-based indicators for progress monitoring	A monitoring strategy is developed to track the implementation progress of the NCSA and to ensure its uptake in national development planning	10,000	2,000	12,000
6.					
7.					
8. Project management costs			20000	8000	28000
<b>Total project costs</b>			<b>200000</b>	<b>60,000</b>	<b>260,000</b>

<sup>a</sup> List the \$ by EA components.

#### B. INDICATIVE CO-FINANCING FOR THE EA BY SOURCE AND BY NAME, IF AVAILABLE (\$)

Sources of Cofinancing	Name of Cofinancier (if known)	Type of Cofinancing	Amount (\$)
National Government	Government of Iraq	In-kind	15,000
Local Government	Governorates of Iraq	In-kind	15,000
GEF Agency	UNEP	In-kind	30,000
(select)		(select)	
(select)		(select)	
(select)		(select)	
<b>Total Cofinancing</b>			<b>60,000</b>

**C. GEF RESOURCES REQUESTED BY FOCAL AREA(S) AND COUNTRY\***

Focal Area	Country Name/ Global	(in \$)		
		GEF Grant (a)	Agency Fee (b)	Total (c=a+b)
NDI/CSP	Iraq	200,000	19,000	219,000
(select)				
(select)				
(select)				
<b>Total NCSA Resources</b>		200,000	19,000	219,000

**D. EA MANAGEMENT COST**

Cost Items	Total Estimated person weeks	GEF(\$)	Other sources (\$)	EA total (\$)
Local consultants*	50	20,000		20,000
International consultants*				
Office facilities, equipment, vehicles and communications**			8000	8,000
Travel**				
<b>Total</b>	50	20,000	8000	28,000

\* This table is a summary of aggregate person weeks and dollar amounts for consultants. Detailed information should be provided in Annex A.

\*\* Provide detailed information and justification for these line items in Annex A.

If costs for office facilities, equipment, vehicles and communications, travels are requesting for GEF financing, please provide justification here:

**PART II: ENABLING ACTIVITY JUSTIFICATION**

**A. ENABLING ACTIVITY BACKGROUND AND**

**CONTEXT** (Provide brief information about projects implemented since a country became party to the convention and results achieved):

Iraq's ecosystems are of global significance, yet very fragile and vulnerable. Due to three decades of wars, Iraq has been isolated and has limited knowledge of global environmental issues, their consequences on Iraq's environment and opportunities for technological advances and capacity development. Only in 2008 and 2009 Iraq began acceding to the UNCBD, UNCCD, and UNFCCC, and is in the process of ratifying other MEAs. Environmental degradation in Iraq is the result of an accumulation of inappropriate policies, fragmented management and a low priority on the pressing development agenda. The challenges for Iraq's ambitious environmental goals are overwhelming and expected to be long-lasting. Therefore, Iraq is in critical need of international support, e.g. technical know-how, capacity development and best practices in environment management.

In June 2013, Iraq's government adopted its first National Environment Strategy and Action Plan (NESAP), developed jointly by the Ministry of Environment, various line ministries and supported by UNEP, UNDP and the WHO. The NESAP establishes a framework for action for federal and governorate institutions as well as the civil society, private sector and academia. The strategy includes ten objectives, strategic indicators, and covers activities and projects for priority environmental components (air, water, land, marine environment, biodiversity, waste management, oil pollution, radioactive contamination and chemicals management) to protect its natural assets. It also addresses institutional and legal frameworks.

With GEF support, Iraq initiated three enabling activities; the NCSA is a timely opportunity to engage with and build on those processes to maximize multiple focal area synergies and benefits.

NBSAP: Iraq is the 192nd party of the CBD (2009). Since ratification, Iraq submitted its First National Report in July 2010, only six months after accession and following a 4NR training workshop with SCBD and UNEP-ROWA. Developing the NBSAP in line with the CBD Strategic Plan 2011-2020 is the first GEF biodiversity project for Iraq. The project will address Iraq's most urgent needs and priorities while bringing its activities up to international standards, building foundational capacities and meeting the obligations of the CBD.

INC: The project will assist Iraq to prepare and submit its Initial National Communication to the UNFCCC. Since Iraq has only recently joined the UNFCCC, emphasis is given to the establishment of core institutional capacities to mainstream and sustain reporting requirements to the Convention. The design and implementation of the project builds on experiences and lessons learnt so far from the preparation of national communications in other developing countries. The project will be executed by the Ministry of Environment in close collaboration with other relevant ministries and stakeholders.

The NAP (2012) was drafted following Iraq's accession to the UNCCD in 2010. It sets out a strategy, projects and activities to address drought and land degradation. However, it still requires considerable adjustment and alignment with UNCCD 10-Year Strategic Plan. UNEP is supporting the NAP alignment process through funding from the GEF umbrella project.

**B. ENABLING ACTIVITY GOALS AND**

**OBJECTIVES** (The proposal should briefly justify the need for the project.

The dual goal of the NCSA is to identify, through a country-driven consultative process, a) the priorities and needs for developing systemic, institutional and individual capacities to improve environmental management and compliance with MEA guidance and b) to set forth an action plan to address the identified capacity development needs and priorities.

Iraq is at the moment equally establishing strategies and reporting processes for the three Rio conventions and considering to accede to other MEAs (e.g. CITES, Basel/Stockholm/Rotterdam, Mercury). The NCSA will build on the momentum created by the NESAP and national reporting exercises and will underpin environmental decision making in Iraq with a sound baseline and assessment of existing data and information as well as related capacity development needs.

Both the legal and institutional frameworks for environmental management in Iraq are being shaped right now. Engaging different organisations and players in a joint capacity assessment exercise will not only improve the cohesiveness among the existing structures, but also contribute to creating opportunities for future synergistic implementation of diverse MEAs through different actors. Assessing data management and capacity needs and opportunities will lay the foundation for a common approach to information management, building on results-based strategic indicators across various institutions and for different MEAs and their respective reporting requirements. This is also emphasized in the NESAP as one of the most pressing needs during the implementation of the NESAP to measure progress on environment performance.

A third justification for the need of an NCSA lies in the decentralization process which progressively transfers implementation authority to the 18 governorates of Iraq. While environmental strategies and plans are being developed at state level, the required institutional structures and capacities at the federal and governorate levels are still to be determined. Undertaking the NCSA exercises with institutions at both state and federal levels will allow for appropriate action planning and budgeting, without which the integration of environmental management into development planning would be impossible. Engaging the governorates in the NCSA process will be a key to its success - initial discussions on the coordination and implementation of the NESAP at governorate level were conducted in a NESAP implementation workshop in Erbil, 1-3 September 2013. The outcome of the workshop is an agreed road map to develop Governorate Environment Action Plans (GEAP) to compliment NESAP implementation. Through the NCSA, issues in relation to global environment and MEAs could be well integrated into such processes at the decentralized level.

**C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION**

(discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A above).

The NCSA process in Iraq is planned for a period of 24 months. The NCSA team will work under the lead of the Ministry of Environment, and be supported by the UNEP Regional Office for West Asia, located in the Region, which has worked extensively with Iraq on a number of initiatives including NESAP, NBSAP, NAP, State of Environment Reporting and INC. The process will be guided by the NCSA principles as outlined in the GEF Strategic Approach to Capacity Building and the NCSA Resource Kits (GEF, UNDP, UNEP and UNITAR, 2005). The following outputs are foreseen under five distinct components:

Component 1 aims at achieving broad organizational and stakeholder ownership for the NCSA process by utilizing existing inter-ministerial coordination mechanisms at governorate and federal level that were established for the NESAP. This mechanism will also be fully integrated into the EA projects. Additional platforms, such as activities and committees of the other EA projects (NBSAP, INC, NAP, etc) will be used for full stakeholder engagement.

Component 2 will review conventions-related national policies, legislation, projects, activities, plans and establish a baseline or database for further use in the thematic and cross-cutting assessments.

Component 3 will a) review national obligations under each MEA against past and ongoing activities, projects, programmes, policies, strategies and legal frameworks; b) identify priority capacity needs and opportunities for capacity development for each thematic area, at the individual, organizational and systemic levels; c) assess performance strengths and weaknesses against convention obligations and specific national environmental aims and needs; d) identify priority opportunities for linkages and synergies in implementing the Rio Conventions and other MEAs being considered; and e) determine priority capacity needs and possible linkages and synergies which are cross-cutting for global and national environmental management and sustainable development.

Component 4 will a) establish a capacity development strategy based on the thematic and cross-cutting assessments with goals, objectives and priority areas that will lead to measurable improvements in the management of global and national environmental issues; b) identify possible short, medium and long-term actions to address the above capacity development goals and objectives; and c) obtain approval and support for the Action Plan from high-level officials and key stakeholders

These components will be backed by a results-based monitoring and evaluation approach (Component 5) to ensure a) timely implementation of the NCSA itself; b) the full ownership of the process by the relevant stakeholders; and c) to strengthen the incorporation of NCSA outputs and results into sectoral planning and national and local development planning.

<p><b>D. DESCRIBE, IF POSSIBLE, THE EXPECTED <u>COST-EFFECTIVENESS</u> OF THE PROJECT:</b></p>	<p>The NCSA will employ the most cost-effective approach possible by utilizing existing information channels, stakeholder engagement mechanisms and ongoing initiatives at federal and governorate levels in Iraq.</p> <p>The recently adopted national environment strategy created momentum and ownership for environmental management within various ministries at national and governorate levels. These structure will be further used to communicate the NCSA approach and seek a broad-based involvement in the assessments, analysis and action planning.</p> <p>Similarly, the decentralization process will provide various opportunities to bring the capacity assessment for environmental management to the attention of decision makers at state and federal levels, while integrating global environmental issues and the required capacity needs into national and local sustainable development planning.</p> <p>Further, the ongoing exercises for convention reporting and planning will offer entry points and stakeholder platforms to most efficiently and effectively assess and address related capacity development needs and for feeding the results into national strategies and activities.</p>
<p><b>E. DESCRIBE THE BUDGETED M&amp;E PLAN:</b></p>	<p>The project will follow United Nations Environment Programme (UNEP) and Global Environment Facility (GEF) standardized requirements for project monitoring, reporting, evaluation processes and procedures. Substantive and financial project reporting requirements are an integral part of the UNEP legal instrument, that will be signed with the Executing Entity. Evaluation of the project's success in achieving its outcomes will be continuously monitored throughout the project; key pillars include:</p> <ul style="list-style-type: none"> <li>a) a Project Steering Committee (PSC)</li> <li>b) a budgeted M&amp;E plan as shown in Annex B</li> </ul>
<p><b>F. EXPLANATION FOR DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):</b></p>	

**PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

**A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):**

(Please attach the [country endorsement letter\(s\)](#) with this template).


NAME	POSITION	MINISTRY	DATE (Month, day, year)
Dr Ali Al-Lami	Deputy Minister & GEF OFP	MINISTRY OF ENVIRONMENT	09/18/2013

**B. CONVENTION PARTICIPATION**

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yy)	NATIONAL FOCAL POINT
UNCBD	10/26/2009	DR. ALI AL-LAMI
UNFCCC	7/28/2009	MS. SUZAN SAMI AL BANAA
UNCCD	5/28/2010	MR. IBRAHIM JAWAAD SHAREEF MR. MOHAMED RASI MOHAMMED SAHID
STOCKHOLM CONV.		

**C. GEF AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the standards of the GEF Project Review Criteria for NCSA Enabling Activity approval.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Maryam Niamir-Fuller Director, GEF Coordination Office, UNEP		10/08/2013	Ludgarde Coppens, Programme Officer, DEWA Capacity Development Branch	+254- (0)20- 762-4158	Ludgarde.Coppens @unep.org



## CONSULTANTS TO BE HIRED FOR THE PROJECT

<i>Position Titles</i>	<i>\$/ person week</i>	<i>Estimated person weeks</i>	<i>Tasks to be performed</i>
<b>For Project Management</b>			
Local			
NCSA project manager	400	50	overall project management, evaluation and reporting
International			
<b>For Technical Assistance</b>			
Local			
3 thematic specialists (CC, LD, BD)	300	60	under the supervision of the PM, conduct the stocktaking, thematic and cross-cutting assessments
capacity development specialist	300	30	under the supervision of the PM, support the stocktaking, thematic and cross-cutting assessments and lead the action planning;
International			

**OPERATIONAL GUIDANCE TO  
NATIONAL CAPACITY SELF-ASSESSMENT (NCSA) ENABLING ACTIVITIES**

[Operational Guidelines for Expedited Funding of National Self Assessments of Capacity Building Needs, September 2001](#)

[A Guide for Self-Assessment of Country Capacity Needs for Global Environmental Management, September 2001](#)