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**Framework Convention  
for the Protection of the Marine  
Environment of the Caspian Sea**

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**CONFERENCE OF THE PARTIES  
Fourth Meeting  
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Item 8 of the provisional agenda

**NATIONAL CONVENTION ACTION PLANS  
SYNTHESIS REPORT**

Note by the interim Secretariat

1. At the second Meeting of the Conference of Parties to the framework Convention for the Protection of the Marine Environment of the Caspian Sea (Tehran Convention), in Tehran, Islamic Republic of Iran, 12 November 2008, the Ministers and High-level officials of the Contracting Parties adopted the Strategic Action Program of the Tehran Convention (SCAP) as a comprehensive 10 year agenda and framework for the implementation of the Convention and its future Protocols, and affirmed their intention to implement the SCAP through national action programs (NCAPs).
2. To that end both the Program of Work adopted at COP2 and the GEF/UNDP CaspEco project, launched in April 2009 provided for a revision and aligning of the existing National Caspian Action Plans developed under the Caspian Environment Program (CEP) with the objectives and requirements of the SCAP and the Protocols to the Tehran Convention.
3. By letter of 10 February 2010 the Ministers/National Focal Points of the Contracting Parties and the CaspEco project were requested to nominate one or two focal points for the updating of the National Caspian Action Plans. It was suggested that in updating special attention would be paid to: the Protocols developed and under development of the Convention; the need for mainstreaming care for the Caspian environment in relevant Government policies and programs and the related institutional coordination arrangements; and the identification of short, medium and long term budget requirements for the full implementation of the NCAPs.
4. An international Consultant was recruited to assist in the preparation of the NCAPs.
5. On 14 and 15 March 2011, in Ashgabat, Turkmenistan, the designated focal points and other Caspian states representatives, reviewed the outlines of the NCAPs prepared by the designated national focal points and concluded the following:

- The NCAP structure and priority setting may differ from country to country;
- The NCAP should be a visionary document, not only include what is already being done;
- The NCAP should clearly demonstrate that its activities are in support of the implementation of specific parts or articles of the Convention and its Protocols;
- The NCAP should include special attention and (partly as annex) elaborated sections on:
  1. internal in country co-ordination arrangements;
  2. short, medium and long term financing requirements;
  3. public participation;
  4. its contribution to and expectation of regional cooperation;
  5. monitoring and evaluation arrangements
- The NCAP should include lists of concrete activities with timelines and budget indications for their implementation;
- While leaving the name and way of approval to the discretion of each individual country, the NCAP should be approved at the highest possible Government level;
- The NCAP should, as and where appropriate, include references to global and regional trends.

6. At COP3, in Aktau, 12 August 2011, the Ministers and High-level Officials of the Contracting Parties “stressed the importance of developing NCAPs, with special emphasis on ways and means to ensure inter Ministerial coordination and mainstreaming concerns for the marine environment of the Caspian Sea in overall Government policy, as well as on short, medium and long term budget requirements”, and “confirmed the intention of their respective Governments to adopt, endorse and initiate implementation of the NCAPs before COP4”.

7. The Program of Work of the Tehran Convention for 2011-2012, adopted at COP3 provided for support to the finalization of the NCAPs, with emphasis on:

- Mainstreaming Caspian concerns in overall national development policy and planning
- Short, medium and long term budget requirements; and
- Stakeholder involvement, public information and outreach.

8. At COP3 the Ministers and High-level Officials furthermore “noted the importance of public participation” and “confirmed their intention to facilitate stakeholder engagement in the protection of the marine environment of the Caspian Sea through National Strategies for Civil Society Engagement in the Protection of the Marine Environment of the Caspian Sea being part of the NCAPs”. The Program of Work for 2011-2012 adopted at COP3 suggested that during the biennium the NPPSs (including lists of stakeholders) would be endorsed and launched (at Caspian Day).

The preparation process of the NPPSs is described in document TC/COP4/Inf.5.

9. At their second meeting, on 24 November 2011, in Ashgabat, Turkmenistan, the focal points and representatives of the Contracting Parties reviewed the state of preparation of the NCAPs. The meeting concluded that, facilitated by the guidelines prepared by the international consultant, all five countries were in a process of finalizing their NCAP. It was agreed that the

text of the NCAPs, including an executive summary and information on the approval process would be submitted to the interim Secretariat which would circulate them for information. The meeting furthermore decided that a synthesis of all the plans would be prepared by the international consultant, with special attention to both internal and regional co-ordination cooperation, and funding. The draft synthesis paper would before the end of 2011, be circulated for comments and “gap-filling” in time for its submission to COP4.

10. The draft synthesis report was circulated end 2011, for comments and “gap-filling”, and the updated draft was circulated in both English and Russian by email of 28 February 2012.

11. At the third meeting in Moscow, 15 March 2012, the international consultant presented and the representatives of the Caspian littoral states reviewed the updated synthesis report. Additional comments were received by mid April 2012 and incorporated in the final version of the draft synthesis report. The meeting furthermore agreed that the international consultant would circulate a questionnaire among the NCAP focal points with the objective to further enhance the synthesis report focusing in particular on receiving additional and reliable information on the countries’ implementation capacity and financial requirements.

The questionnaire was circulated mid September, received back early October and the information were integrated in the final draft synthesis report.

12. The draft synthesis report is contained in Annex I to this Note. Apart from an overview of the NCAPs, it contains a gap analysis and sections analyzing gaps and proposing activities to improve the national capacity of NCAP implementation in the Caspian littoral States.

13. The Conference of the Parties may wish to:

- Welcome the National Convention Action Plans (NCAPs) of the Contracting Parties;
- pledge to ensure full integration, implementation, resource allocation, and regular updating of the NCAP as part of their Governments’ overall national sustainable development policies and programs;
- note the Synthesis Paper annexed to TC/COP4/INF.4, in particular the gap-analysis and proposed activities to improve the national capacity for NCAP-implementation;
- and request the interim Secretariat to promote and coordinate the required capacity-building and regularly update the Synthesis Report based on the national reports of the Contracting Parties.

**The analysis paper  
for National Convention Action Plans (NCAPs)  
of the Tehran Convention for the Caspian Sea  
environment**

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**Ashgabat  
2011-2012**

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**Abbreviations**

AZ	Republic of Azerbaijan
CEP	Caspian Environment Programme
CIP	ANO “Center for International Projects” (Moscow, RF)
COP	Conference of Parties (of Convention)
DoE	Department of Environment (IRI)
IA	Institutional Analysis
IACCI	Inter-agency Commission on Caspian Issues
IRI	Islamic Republic of Iran
KZ	Republic of Kazakhstan
M&E	Monitoring and Evaluation
MENR	Ministry of Ecology and Natural Resources (AZ)
MEP	Ministry of Environmental Protection (KZ)
MNP	Ministry of Nature Protection (TK)
NCAP	National Convention Action Plan
NGO	Non-governmental organizations
NPPS	National Public Participation Strategy
RF	Russian Federation
SCAP	Strategic Convention Action Plan
SECI	State Enterprise on Caspian Issues
TK	Republic of Turkmenistan

## **Introduction. Objectives of the analysis. Methodology**

The main objective of the analysis is to present the “costed” work plans for the implementation of the Tehran convention, adopted by five Caspian littoral states of Azerbaijan, Iran, Kazakhstan, Russian Federation and Turkmenistan in 2004. The report outlines the practical side of the mechanisms for the implementation of the National Convention Action Plans (NCAPs), including internal coordination, integration into the national development strategies. It provides the institutional analysis of the

The analysis is based on draft NCAP documents presented by five Caspian countries. The presented documents included description/introductory parts, tables with the information on activities as well as questionnaires related to the institutional analysis of the NCAP. “The document for structure of NCAP” was prepared and submitted to the country experts to assist the preparation of the text part of NCAPs and the definition of activities.

The analysis included the review of the history of preparation of national action plans in the region, the review of methodology of preparation of the NCAPs, adoption and inclusion of the document into national strategies and the analysis of institutional and capacity issues, mentioned by specialists in questionnaires. Three stages of the process were investigated in terms of capacity building or other support: preparation, adoption and implementation of the action plans. The specific attention was given to possible functions and involvements of the Secretariat in the NCAPs implementation process.

It is worth to mention that the analysis was not performed for the purpose to compare countries’ involvements, but for the comparison of the countries approaches. The results of the analysis, except financial ones, will not be discussed and distributed by countries, in order to avoid the across-country comparison or association. Therefore the author presents the synthesized results for all countries.

The financial analysis was compiled from the analysis of costs of NCAPs, financial arrangements for their implementation, general needs for NCAPs finance for the next 10 years and institutional and capacity issues related to financial mechanisms. Costs of activities were fully drawn from estimates of the country’s national experts. Where the cost estimations for activities were not presented (one country), the rough expert estimations were used.

The draft of this analysis as well as NCAP status had been discussed at the regional expert meetings of the experts of littoral states on July 2011 in Geneva, November 2011 in Moscow, and March 2012 in Moscow and November 2012 in Ashgabat.

The questionnaire, mentioned above, are attached in that document in Annex III.

## Previous NCAP documents

All five countries had previously developed the National Caspian Action Plans with the aim of outlining environmental issues and prioritizing activities in the Caspian Sea. The development of these documents was performed by the governments with the support of the Caspian Environmental Program. The latest versions of NCAPs were prepared between 2007 and 2009. These NCAPs were prepared as planning documents for environmental protection activities in the Caspian Sea, as well as “for mutual awareness and harmonization of activities in solving environmental problems of the Caspian Sea” (Russian Federation).

Two countries, Russian Federation and Turkmenistan, approved the previous versions of NCAPs at the coastal level (governments of Astrakhan oblast, Republic of Dagestan and Republic of Kalmykiya) and at the national level (decree of the President of Turkmenistan No.9541 from 26/02/08) respectively. In Russian Federation, the document was prepared as a reference document, containing information on the priorities and existing actions in the Caspian Sea. Turkmenistan adopted previous NCAP as a separate document outlining state’s environmental interventions in the Caspian region, agreed with the major stakeholders.

The monitoring was performed in two countries by the ministry of ecology and natural resources of Azerbaijan and through the Inter-Agency Commission on Caspian Issues of Turkmenistan (IACCIT), where the Ministry of Nature Protection of Turkmenistan reported on NCAP implementation at quarterly meetings. Moreover under the CEP, these versions of NCAPs, prepared by five countries during 2002-2007, were reviewed in 2007-2008, resulting in the national implementation reports.

## Comparison of the preparation processes

The process of the preparation is the important part of the successful strategy implementation. The more stakeholders involved into the preparatory process, the more chances of their institutional support and contribution at the implementation stage, including financial commitments, could be expected. The more precisely defined activities and justified sources for their financing, the more chances for the successful Implementation of these activities.

The process of NCAP preparation for **Azerbaijan** consisted of the review of existing plans and programs and at desk preparation of the document. On the basis of the previous NCAP documents and in order to develop practical actions, the preparation included the comprehensive study and data collection with consultations with government organizations, NGO and other stakeholders, such as environmentalists and academicians. The hired consultants and the relevant department of the Ministry of Ecology and Natural Resources of Azerbaijan had been working on the preparation of the latest version of the NCAP. According to the national expert, the process of the preparation included meetings with stakeholders to identify and discuss activities, to collect comments on draft document and to generally involve the key decision makers into the planning process.

The NCAP preparation process in *Islamic Republic of Iran* was carried out via series of participatory exercises. It included stakeholder meeting and questionnaires. The aim of the stakeholder meeting was to explain the main objectives of the NCAP to stakeholders and to help stakeholders to position themselves in regard of responsibilities and roles in Tehran Convention



implementation. The questionnaire was designed and distributed among three provincial offices with the main purpose of identification of the public participation strategy at the local level. The NCAP was developed by the hired consultants under the supervision of the Department of the Environment took part in the preparation of the document.

Specialists of the CEP, supported by the Ministry of Environmental Protection, played the primary role in the preparation of the NCAP of the *Republic of Kazakhstan*. The main purpose of the national action plan is “the provision of the ecological safety of the Kazakhstan sector of the Caspian Sea and adjoining areas for safe residence of the population and conservation of the unique biological resources of the sea”. Via desk study, specialists employed the “cause-effect” analysis to present environmental problems and their main causes. The analysis included the review of the implementation of previous NCAP documents, analysis of existing program and priorities.

*The Russian Federation* explored approach based on comparing national strategic documents, including Federal Targeted Programs, sector programs and social-economic development programs of coastal local governments with articles of the Tehran Convention and concentrating on summarizing and analyzing activities within these documents from the point of view of fulfilling Conventions’ provisions. The current NCAP document is based on the review of the previous versions of the NCAP and on the involvement of stakeholders into the planning process. The following stakeholders were involved into the planning process: Service of the nature resource and environmental protection of Astrakhan oblast, Ministries of nature resources and ecology of Dagestan and Kalmykiya, State Marine Passenger Services of the ministry of transport, Caspian scientific research center of Roshydromet. Stakeholders are involved to identify priority environmental issues in the region, to discuss and provide comments for draft document, to provide academic support for preparation of the documents and to involve key decision-makers into the planning process. Unlike other countries, the preparation of the NCAP was led by the non-governmental organization “Center for International Projects”.

*In Turkmenistan*, the State Enterprise on Caspian Issues (SECI) was responsible for the preparation of the National Caspian Action Plan, which should include provisions of the national convention action plan. The plan is prepared both by the SECI and the MNP with the support of the CEP specialist. It was based on the previous NCAP documents, involved relevant stakeholders to draft document, has formally been consulted with key stakeholder organizations in order to approve the developed actions. The list of activities related to the industrial sectors was sent for formal approval to relevant ministries; and, only after formal approval, activities became the part of plan’s actions.

The table 1 is summarizing the methodologies used by the countries in preparation of their NCAP documents.

**Table 1. Methodologies used for the preparation of NCAPs**

	AZ	IRI	KZ	RF	TKM

<b>General methodologies*</b>					
Review of previous NCAPs and their implementation reports	<b>YES</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>
Analysis of sector planning documents	<b>YES</b>	<b>X</b>	<b>YES</b>	<b>YES</b>	<b>YES</b>
<i>Stakeholders(SH) meetings/involvement particularly to:</i>	<b>YES</b>	<b>YES</b>	<b>X</b>	<b>YES</b>	<b>YES</b>
• Identify/discuss activities	<b>Yes</b>	<b>Yes</b>	<b>X</b>	<b>X</b>	<b>Yes</b>
• Discuss/collect comments on the draft document	<b>Yes</b>	<b>Yes</b>	<b>X</b>	<b>Yes</b>	<b>Yes</b>
• Approve the draft NCAP document	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>Yes</b>
• Provide the academic support	<b>X</b>	<b>X</b>	<b>X</b>	<b>Yes</b>	<b>X</b>
• Involve key decision makers into the planning process	<b>Yes</b>	<b>X</b>	<b>X</b>	<b>Yes</b>	<b>X</b>
<b>Type of SH tools used **</b>					
Stakeholder meetings or consultations	<b>YES</b>	<b>YES</b>	<b>X</b>	<b>X</b>	<b>X</b>
Questionnaires	<b>X</b>	<b>YES</b>	<b>X</b>	<b>X</b>	<b>X</b>
Approval of activities with stakeholders	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>YES</b>
Public consultations	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>	<b>X</b>

Source. \*- NCAP Institutional Assessment (IA) questionnaires (for IRI based on the latest draft NCAP text submitted), \*\* - NCAP draft documents submitted by countries.

There is no formally adopted methodology for planning National Convention Action Plans in a single country. In most cases, the planning methodology depended on the purpose of the document within the system and on available support for the document from chief environmental agencies. Since the status of the document was not legally adopted by countries, the importance of the document was in most cases stressed by and the necessity of its preparation underlined by the Convention's COP.

There is obvious *lack of participatory approach* in planning process in most of countries, which could result in low status within industrial sectors/branches and authorities, low awareness of the document and thus insufficient implementation efforts. Of course, ideally, the countries should develop and, where possible, adopt guidelines for NCAP preparation at the national level to include and to accept critical planning activities, such as the involvement of key stakeholders, provision of proper support (including financial) and involvement from the government. The elaboration and approval of such documents by the conference of parties is also possible. It will also help to synchronize actions by using similar approaches and provide necessary guidance to follow the SAP and convention's reporting requirements. Such document will also help to identify and to secure the required support at the national and local levels, including the sources required.

## Summary of NCAP documents

From the latest draft NCAP documents submitted, the number of NCAP activities ranges from 22 (Turkmenistan) to 84 (Russian Federation). The expected time for implementation covered by document is from 2011 to 2020 latest. The analysis of activities shows that the maximum number of activities falls into the "Investments" (43% of total) and "Capacity Building" (27%) categories (see Table 1). Investment activities include reconstruction of existing coastal

infrastructure and industry to reduce the pollution level, activities on recovery of polluted areas, increase of the capacity to recover fishery stocks and investments into environmental services. Activities on capacity building vary from policy development to training, from development methodologies to preparing regional cooperation plans.

The next category by size (19%) is “Other (research, awareness) which consists of 53 national level actions. This category outlines mostly research activities, which vary from performing “research of seismological threat due to extraction of hydrocarbons” to “identification and assessment of the status of the rare and endangered species”.

**Table 2. Comparative analysis of NCAP actions by type (Nos of actions)**

Country	NCAP activities				Total NCAP
	Investment	Legal	Institutional /Capacity building	Other (research, awareness)	
Azerbaijan	13	2	7	6	<b>28</b>
Iran, Islamic Republic of	17	13	2	13	<b>45</b>
Kazakhstan	8	9	44	20	<b>81</b>
Russian Federation*	73	0	5	6	<b>84</b>
Turkmenistan	1	5	11	5	<b>22</b>
<b>Total</b>	<b>112</b>	<b>29</b>	<b>69</b>	<b>50</b>	<b>260</b>

*Source. Tables in Annex II of IA questionnaire filled by national specialists. Estimation for type of activity for AZ and RF was made by IE.*

Finally, the smallest number of activities is under “Legal” category (11% of total). Legal activities include countries’ support for the development of protocols, strengthening legislation for protection of biodiversity, reduction of pollution and strengthening the enforcement.

The total number of activities in all NCAP plans is 260. The terms of NCAPs activities implementation varies from 2013 to 2020.

### **Status and Adoption of the planning documents**

The countries have differently approached the approval of final documents. The main issue was to define the status of the NCAP in the national planning system. The status of the NCAP would then identify the level of approval, implementation and monitoring mechanisms.

Four countries’ specialists recognized their NCAPs as a part of the National social-economic strategy and action plan. One country, Russian Federation, provides to the NCAP the status of

the informational document, which combines all priorities programs and actions related to the Caspian Sea environment.

Out of five countries, three countries approve the NCAP document or plan to do so at the level of the leading environmental agencies (AZ, IRI and RF). In order to make the NCAP the part of the national development strategy, one country will need the approval at the Cabinet of Ministers (KZ). Finally, one country will pass the final draft of the document via the Inter-Agency Commission on Caspian Issues (TK).

By the November, 2012 one country, Russian Federation approved the NCAP document at the level of stakeholders, e.g. Ministry of natural resources and ecology of Republic of Dagestan, the Government of Republic of Kalmykiya and the Government of Astrakhan oblast.

*In Azerbaijan*, the NCAP is supposed to be approved at the ministerial level (Ministry of Ecology and Natural Resources, MENR) and would become a guiding document for the solution of environmental problems in the Caspian Sea. As a part of the State Program on Socio-Economic Development of Regions of the Republic of Azerbaijan, It is “meant to represent a set of actions, as well as guiding activities envisaged to put in effect the relevant provisions of the Framework Convention on the protection of marine environment of the Caspian Sea”<sup>1</sup>. After the adoption by the Ministry, the NCAP implementation will fall under the Coordination Center under the MENR.

*In Islamic Republic of Iran*, it is expected that the NCAP will be approved after the stakeholder meeting in August 2012. The stakeholder meeting will ensure the acceptance of the NCAP and the NPPS by three provinces and their key local stakeholders. Preliminary, the document will be approved by the Department of Environment in March 2012. Local experts propose to move the approval to the higher level by creating Caspian High Council under the Parliament with participation of key ministers and heads of sector agencies. Most activities will require collaboration/coordination by the Department of Environment (more than 80% of total); however some of the activities will be led by other ministries and government organizations such as Fisheries Org. or Ports and Maritime Organization, and others. The National Tehran Convention Secretariat under the Department of Environment (Deputy of Marine Affairs) will be then responsible for monitoring of NCAP implementation. There is definitely need for strengthening the existing national liaison office for the Convention to become the Secretariat for the Convention.

The *Kazakhstan’s NCAP document* is planned to be a part of the National Development Strategy till 2030, therefore there is no need for approval of the document. One of the options for adoption of the document is to include it as a chapter into the State Program for development of the Kazakhstan sector of the Caspian Sea. The introduction of plan’s activities into the sector and local government programs, such as strategic programs on natural resources management for Atyrau and Mangistau oblasts will also ensure their implementation. The responsibility for the implementation of the NCAP is assigned by the government to the Ministry of nature protection of Kazakhstan. The Ministry will perform the routine coordination of the implementation

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<sup>1</sup> From country’s presentation on NCAP in Ashgabat, November 24, 2011.

process. It will report the NCAP implementation progress to the Ministry of foreign affairs and to the government within the general reporting on international agreements implementation.

Since the NCAP document in *Russian Federation* is developed as a reference document, not as a separate planning document or the part of the national development strategy, there is no strong need for its formal approval. The NCAP has a combination of priorities and tasks which are arising from the state environmental policy in the Caspian region and from social-economic objectives of coastal regions of the country. Therefore it corresponds with the national and regional policy, reflecting, at the same time, provisions of the Tehran convention. According to the notion of the document, it is to be used by local and nation-decision makers who will be dealing with environmental and other issues in the Caspian. It was formally endorsed by its main “users”, coastal environmental agencies and governments.

Finally, in *Turkmenistan* the current draft of the NCAP was developed “to harmonize efforts to solve national and trans-border issues”. It is aimed at “strengthening environmental policy and relevant institutions for the improvement of the environment of the Turkmenistan sector of the Caspian Sea and its coastal area”. The document is said to be development in accordance with the current “Strategy of social economic development of Turkmenistan to 2030” as well as with the National Program for transformation of the social conditions of the population of villages, towns, regions and regional centers for the period to 2020”. The approval of the document will take place at the meeting of the Inter-agency commission on the Caspian Sea issue (IACI), comprising of 19 key ministries and agencies related to the Caspian Sea. Once approved, the NCAP document foresees that its text part will form “the base” for development of actions which could be changed or expanded by ministries and agencies via the IACCI.

Table 3 summarizes the approval processes of all countries.

**Table 3. The approval process for NCAPs of Caspian countries**

Country	Approval needed	Approving body (central level)	Level of approval (coastal)
Azerbaijan	Yes	MENR, Cabinet of Ministers	Not needed
Iran	Yes	DoE	Administration of provinces
Kazakhstan	Yes	MEP	Not needed
Russian Federation	No	MNRE	Coastal government and environmental agencies
Turkmenistan	Yes	Inter-State Commission on Caspian Issues	Sectors of economy

In overall the countries placed the responsibility for adoption of the document on the middle higher (ministerial) level of the government authority. Together with the Tehran Convention, this provides the convention action plans with political assurance, but might not guarantee the implementation responsibility. As a guiding document, for all countries the NCAPs will help governments at the local level to direct their efforts in conformity with the national and regional environmental priorities.

## **Implementation arrangements. Monitoring and evaluation.**

The implementation arrangements include the assignment of responsible organization, originating from the organizational structure of the environmental and development planning institutions, implementation structure as assigned by the status and legislation and mechanism of revision and monitoring (M&E).

The primary and overall responsibility for the implementation of the National Convention Action Plan of *Azerbaijan* will be placed on the Ministry of Environment and Nature Resources (MENR). The monitoring and evaluation will be performed annually by the MENR. The results of the M&E will be solely used the MENR according to the national specialist.

In *Iran*, the newly created National Secretariat for Tehran Convention under the Department of Environment will perform the coordinating function for NCAP implementation. It will perform the periodic monitoring and will issue reports on NCAP implementation status. Depending on nature, activities will be led by agencies, including Department of Environment itself, sectors' ministries and organizations (such as Shilat, Port Management Organization and etc.).

Since *Kazakhstan's* NCAP is planned to be incorporated into the country's program of development, the implementation of it will be compulsory for the whole country. The ministry of environmental protection (MEP) itself will coordinate the implementation and will involve other ministries into implementation, including Ministries of foreign affairs, emergencies, agriculture, transport and communications, oil and gas as well as local authorities of Mangistau and Atyrau districts. According to the questionnaire, the monitoring and evaluation should be performed semiannually with the involvement of the stakeholders mentioned above. The main recipient of the monitoring results is the MEP.

For *Russian Federation* the ministry of nature resources and ecology of Russian Federation is responsible for the implementation of the Tehran Convention, therefore will be responsible for the NCAP as well. It is working via ANO "Center of International Projects" (CIP) which provides information, analytical and organizational support to the Ministry in realization of the Tehran Convention. The monitoring will be done twice for the period of NCAP implementation, by the CIP with the involvement of stakeholders. Results of the monitoring will be submitted to TC Secretariat and to relevant donors, if necessary.

As a part of the wider efforts, the NCAP of *Turkmenistan* will be implemented by the relevant ministries and agencies. The SECI will be responsible for the coordination of implementation efforts among stakeholders as well as for the monitoring and evaluation, which will take place on quarterly bases. The monitoring reports will be available for the meetings of the IACCI which meets twice a year.

## **"Costing" Convention Plans**

The proper identification of financial requirements and sources of finance would serve to the successful justification of funding for the NCAPs before government authorities of the Caspian

littoral states. Therefore the questionnaire, submitted to country experts, contained the requests both for identification of activities, their costs and sources of funding.

The national experts, through questionnaires, provided some estimation for the costs of their countries' plans. They were asked to consult their respective government and coordinate with them the presented numbers. Out of five countries, four countries provided financial estimations for NCAP activities. For the fifth country (TK), the author's estimates were provided, based on expert's knowledge or:

- a. lower possible cost for each intervention;
- b. for interventions of uncertain nature the lower cost category was selected (for instance, between investment or capacity building type of projects, capacity building was selected).

The results of the financial analysis were presented at the Preparatory Committee to COP4 in Ashgabat on 9 November, 2012.

The total financial requirement for the NCAP was estimated at \$ 1,164 million US dollars for all five countries. The distribution of financial requirements by country is presented in the Table 4.

**Table 4. Financial requirements and potential sources of finance for NCAP (in ths of US Dollars)**

Country	Duration, years	Cost of plan	Primary sources of finance
Azerbaijan	2011-2017	\$ 170 220	Government
Iran	2011-2020	\$ 437 175	Government
Kazakhstan	2012-2020	\$ 25 441	State budget
Russian Federation	2011-2013	\$ 470 615	State and coastal budgets
Turkmenistan	2012-2015	\$ 60 750	State budget
<b>TOTAL</b>		<b>\$ 1 164 201</b>	

*Source. For costs of the plan: Results of questionnaires for AZ, IRI, KZ, and RF; for Tkm – author's estimations; for sources of finance – results of questionnaires.*

The total cost of the NCAP of *Azerbaijan* is \$170 million US Dollars for 27 activities. The largest investment of the plan amounts 100 million USD and aimed at “Establish ship borne waste reception/treatment facilities in all major ports”. The smallest contributions do not exceed 10,000 USD for adoption of TC protocols. 85% of the finance, or about \$145 million, are designated for “Prevention, reduction and control of pollution” section of the plan, with remaining 15%, or \$ 25 million, is for “Protection, preservation and restoration of the marine environment”.

Total financial requirements of the NCAP of *Iran* are estimated by national experts at 437 million USD for 45 activities. Two largest investment actions, \$175 million and \$100 million each, are aimed to prevention and reduction of the pollution from land-based sources, specifically

to apply treatment to municipal and industrial wastewater. The smallest activity amounting \$10 thousand belongs to environmental awareness part of the plan, specifically to « Publishing of a book on saving the Caspian Seal». Around 88% of the NCAP finance is designated for « Prevention, Reduction and Control of Pollution »(\$386.1 million) ; 2% of the required finances are for activities under «Protection, Preservation and Restoration of the Marine Environment»(\$7.6 million). The residual 10%, or \$43.5 million, were distributed under the section «capacity strengthening», which includes building capacities in EIA, regional cooperation, monitoring, research and development and access to the information.

The total cost of the activities of the latest version of the NCAP in Kazakhstan is about US\$25.4 million for 62 activities. 22 activities of Kazakhstan's NCAP are shown as not requiring finance or requiring further clarifications. Activities among them such as liquidation of historical pollution sites, liquidation of oil barns or reclamation of tailing dump "Koshkar-ata" could have significant financial requirements, considerably increasing total financial demands of the plan. The largest investment in amount of \$8.1 million is designated to "Conservation and liquidation of flooded oil wells", while the smallest amounts of \$10,000 are designated for agreeing, signing and adoption of two TC protocols. Activities under "Reduction of risk of the pollution and creation of bases for the improvement of the conditions of the ecosystem of the Caspian Sea" require 66% of total finance, or about \$16.8 million, while "Creation of bases for balanced use of biological and landscape diversity" would require \$6.5 million. Remaining financial commitments will go to "Integrated coastal zone management" activities (\$1.7 million or 7%) and to "Public participation" section of the plan.

The presented activities included into the NCAP of Russian Federation are timed for the period of 2011-2013 and estimated at \$471 million. For 2011, the NCAP designates 197.6 million US Dollars which should already be used. For 2012-2013 the cost of the NCAP remained at \$273 million. Out of 113 activities presented in the NCAP document, only 40 activities had "cost" tag on them. The rest of activities were either presented in delivery terms (tons, cubic meters etc.) or are required the financial estimation and allocation of the sources. The largest spending, in accordance to the plan, is designated to "Construction and reconstruction water supply system and other objects to provide the population with drinking water" and amounts to \$176 million. The smallest in financial size activity is "Protection of forests from pests" and requires \$4.7 thousand. The largest share of finance, \$403.6 million (86% of total) goes to "Protection and rational use of water, land and forest resources, air protection, waste management" part of the NCAP. For development of the protected areas and reproduction of fishery resources the plan designates \$ 48.6 million or 10%. The residual amount of the defined financial commitment in amount of \$18.5 million is under "Commissioning of nature protection and resource-saving facilities" section of the plan.

Turkmenistan's draft of the NCAP does not provide cost estimations, requiring more complex approach in identifying costs (performance of feasibility studies, agreement with financial agencies and etc.). Therefore, the estimation based on author's knowledge of existing program and projects on the Caspian and on own estimations were provided. The estimation financial requirements for NCAP Turkmenistan estimated at \$ 60.75 million. The largest share of investment is designated to the protection of the Caspian Sea from the pollution and to the creation of the capacity for emergency response under the Protocol for regional preparedness, response and cooperation in the case of oil spill incidence. The activity includes the renovation

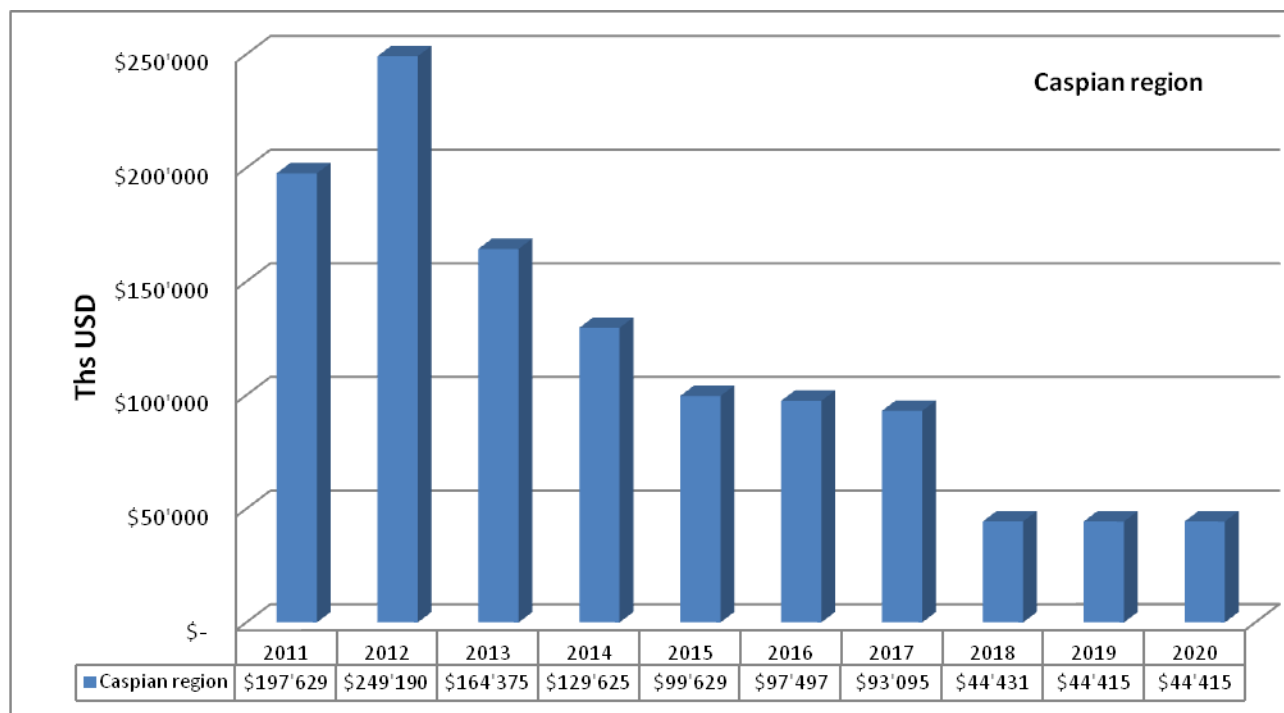


of the ports of Turkmenistan to process wastes from ships as well as procurement of the specialized fleet to serve incoming ships and to respond on oil spills. The rest of the activities vary in size from \$10 to \$ 50 thousands and aimed at the improvement of legal and institutional framework to improve the Caspian Sea environment.

There are certain limitations to the presented analysis. First of all, costing of some activities needs more precise estimations and economic feasibility approach. For instance, cleaning of oil polluted areas (land reclamation), oil products dump site cleaning or associated gas utilizations, could require larger investments than estimated in this document; at the same time, in these projects the extraction of oil products, gypsum and other chemicals will provide the cash flow or even could be profitable, which will mitigate costs or even dispose of the financial requirements (by involving private sector investments). Secondly, many of estimations, which were not predefined by programs or other documents, might be over-/under-estimated, since they were not provided with more precise description of activities, main expected results and quantifying indicators. In most cases, activities, like soil reclamation in Azerbaijan, abandoned well conservation in Kazakhstan and other, were under-estimated.

The Graph 3 presents summarized financial requirements for the whole Caspian region for implementation of National Convention Action Plans. The most (63%) of the required finance will be utilized (required) until 2013 (\$700 million); about 87% - until the end of 2015(\$960 million).

The distribution of required finance over the time is presented in Figure 1. Financial demands of all activities were equally distributed over their implementation period. The most demand for the finance commitments is going to take place in the first trimester (2012-2014), when the implementation of NCAPs will require more than \$543 million, or 47 of total NCAP requirements. The second trimester (2015-2017) will require only 25% of total NCAP budgets or over \$290 million. Finally at the last trimester (2018-2020), the financial demand for NCAP implementation could be as much as \$133 million (or 11%).

**Figure 1. Total financial requirements for NCAPs for Caspian countries (ths US\$)**

Source. AZ, IR, KZ, RU - national experts' response to questionnaires, TK –experts' estimations; total NCAP amounts distributed equally over duration of each activity

The Annex II presents the chart showing the distribution of the financial requirements of all Caspian States over the NCAPs' implementation period.

## Financial Strategy

The availability and success of financial mechanism will primarily depend on effectiveness of the NCAP preparation, especially the involvement of those relevant stakeholders at the NCAP's planning and adoption stages. Visions on how plans will be financed and implemented, laid during the preparation stage, will help to secure the financial mechanism at later stages. Neither of the Caspian littoral states has proposed or described the financial strategy to tackle possible issues in obtaining finance for NCAP implementation.

Azerbaijan will elaborate the financial strategy after the NCAP document is endorsed by the Ministry of Ecology and Natural Resources. While it is clear that the government will be one of the leading contributors to finance the NCAP, the inter-relations of different government agencies and/or industry sectors, the role of NGO should be outlines in the financial strategy in order to provide clear picture of interactions.

While Iran has clearly defined its financial sources as plainly "governmental finance", it is not clear if the sources of finance will be originated from the local government or the central. The distribution of financial responsibilities between the level of governance and various sectors could also cause the future complications, if not defined and described in financial strategy.

The financial strategy for Kazakhstan's NCAP is "unclear" and should be defined in the future. While the most of the finance should be secured and come from the government, provided that the NCAP is endorsed as a part of the national social economic development strategy, the need for financial and other forms of support from coastal governments, donor community or from oil companies should also be described. The financial mechanism of their financial involvement should be clear before the NCAP implementation.

Since the Russian Federation's NCAP is based on endorsed plans and adopted strategies, the NCAP's financial provisions are included at the level of central government and government of coastal subjects of the Federation. However, there is a clearly expressed need for "the use of mixed form of finance. Depending on the character each project, in addition to the federal and regional budgetary finance, non-budgetary resources of economic entities, co-financing and subsidies should be considered among potential instruments of environmental investments". It is related, first of all, to activities, whose financial demands are not identified or which are not included into the endorsed programs.

Finally, Turkmenistan sees the financial support for its activities from local and central government.

Azerbaijan, Iran and Kazakhstan will elaborate the financial strategy after their NCAP documents are adopted by the Ministries (Department of Environment for Iran). Azerbaijan and Iran will deal with financial issues through the created Convention (coordination) Centers under their chief environmental agencies. These centers will be responsible for communicating activities to other sectors of the economy, search of finance and reporting the plan's implementation status to the ministry and other relevant higher authorities (including the convention).

### **Identified gaps and inefficiencies at the national and regional levels**

The analysis of the institutional gaps and inefficiencies was performed two ways. Initially, the international consultant performed the analysis based on the existing drafts of NCAP documents from the countries. Thereafter, the institutional analysis questionnaire was distributed among country experts who filled them in coordination of the responsible environmental authorities. The results of both are combined the chapter below.

There are three levels at which gaps and inefficiencies have to be analyzed and presented. The summary of gaps, their potential causes, mitigation measures and potential interventions (projects) are presented in Table 4.

#### ***At preparatory stage***

The analysis of the preparatory stage reveal few obstacles including the lack of physical personal, lack of support from other government organizations. The lack of developed and approved mechanisms for NCAP preparation could be named as one of the major root cause in preparing feasible and operational document. While at preparatory stage, all countries were provided with the basic methodology on developing their documents to start with, the lack of

acceptable and adopted procedures do not facilitate experts in employing relevant methodology to ensure:

- a) the inclusion of the comprehensive participatory mechanism sufficient to provide the financial and institutional support for the NCAP implementation
- b) the adoption at the higher level of governmental hierarchy to have relevant enforcement mechanism for plan's implementation.

Besides the methodological issues, the proper capacity for elaborating action plans should be at place. While specialists producing the plans were of highly quality and motivation and received all necessary support from their institutions, the certain areas which are beyond their competency (not beyond interest) were requiring some additional capacity building efforts. These areas include the identification and formulation of activities, indicative planning, project finance, financial analysis and estimation of activities' costs and possible profits, organization of effective stakeholder participation. Otherwise results of some activities could not be clearly defined; and so that their costs could not be estimated correctly.

#### *At adoption stage*

The level of NCAPs' adoption plays the important role in designation of resources and in the implementation success. If during elaboration the document received low support from key stakeholders, their involvement during the implementation would be difficult to arrange.

In all five Caspian countries, NCAPs were elaborated as a document for consideration by relevant stakeholders. Even in Turkmenistan where activities went through the process of acceptance by relevant ministries/agencies or in Iran where NCAP objectives were discussed at wider stakeholder consultation at coastal level, the NCAP will be a guiding document, supplemental to existing sector strategies and programs.

Besides the lack of human resources to perform approval process, national experts identified the lack of support from other state organizations, difficulty to introduce the NCAP into the existing SE development framework or significant time requirement as the main obstacles during the adoption process.

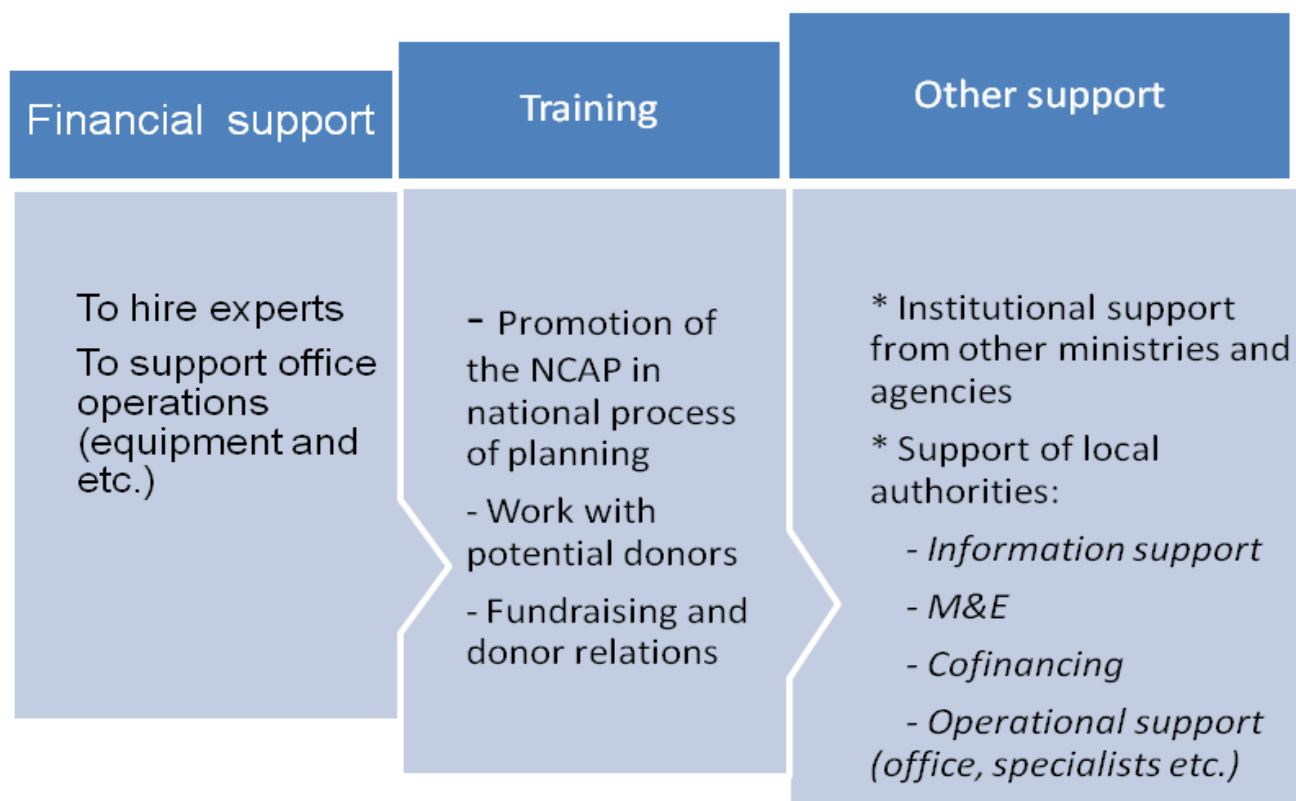
Among possible reasons are the low awareness among key stakeholders about the existence of such plan and its main objectives and the lack of participatory mechanism during elaboration and adoption. At this stage of the NCAP realization, when the adoption process is already known and valid, the increase of the awareness about the Tehran Convention, its objectives and action plan would help to minimize impacts listed above. Another way of introducing NCAPs into the existing plans and programs could be raising the capacity of key stakeholders (development planners, such as from key industrial branches and local government) in introducing environmental issues into plans and programs that either under development or developed. In this case, the countries could avoid the participatory approaches for NCAP elaboration, which could be costly, especially in highly populated coastal areas. Finally, the legalized mechanism for development and introduction of the NCAP at the government would help to reduce the approval time, to clearly specify human and other resources.

*At implementation stage*

There are clearly several gaps identified as potential during the implementation stage of the NCAP. Since the implementation of NCAPs has not started almost in all countries, the analysis arises from previous NCAPs implementation experience, from the analysis of implementation structures presented in the draft NCAP documents. The questionnaire does not directly ask for gaps but inquires about support, needed for successful implementation of present NCAPs.

One of them is the lack or insufficiency of the institutional capacity, including technical capacity, designated and trained human resources, institutionalized implementation structures (National Convention Centers, Development Environmental Planning Departments or similar). The technical capacity means the existing and operating National Secretariats for Tehran Convention. The staff should be designated at the national and local levels for these Secretariats and should be trained in coordinating, M&E (monitoring and evaluation) and reporting under the NCAP. Training of existing specialists on the promotion of the NCAP in the national planning process, donor relations basics is also demanded in the region (Figure 2). The capacity building on strategy revision and adaptive management could be applied as mitigating to the lack/insufficiency of revision mechanisms of the NCAPs. The revision mechanisms, based on lessons-learnt, could be adapted at the local level through building national-level expertise.

Figure 2. Support needed for successful implementation of NCAP by Caspian littoral states



Source. The questionnaires filled by national consultants.

Another issue which could hamper the NCAP implementation is the absence of the strong financial mechanism and supplementary financial strategy of the plan. There is also need for finance to support institutional structures of NCAP implementation (Figure 2). In most cases, it is the result of the lack/absence of participatory mechanism during NCAP elaboration. The elaborated NCAPs are not owned by key stakeholders, except ministries of environment, but were prepared as a reference or guiding document. Another reason for the lack of the solid financial base of NCAPs could be hidden in the insufficient capacity of existing planning institutions in developing financial strategies. Intermediary mitigation actions could include encouraging locally-originated regional projects for using local expertise and project management capacity; to support the transfer of the knowledge among countries. For instance, promoting and supporting existing water-quality monitoring and fish population survey programs at the coastal level would significantly save costs, compared to the initiations large-scale regional projects. Supporting academic exchange and cooperation, as well as creation of networks of specialized institutions in all five countries (for instance, protected areas network for monitoring migratory species or for habitats quality monitoring), could foster the exchange of the scientific information, transfer of technologies (methodologies) and avoid “re-inventing the wheel” in less technologically developed countries. Finally training programs for existing institutions and specialists should be aimed at providing skills in outsources, financial strategy development, fundraising, inter-sector coordination of financial issues and financial monitoring and reporting.

The available specialists should be also trained on how to involve non-governmental resources, including co-financing and subsidies

In the long-run, the significant increase of the capacity of coastal and national planning institutions, working on NCAPs, in developing sound financial strategies, including comprehensive analysis of financial sources and proposing means of exploring new financial methods and mechanism, should be performed in the Caspian region. Presently the involvement and the support from the coastal authorities is sought by NCAP development specialists, specifically in information sharing, monitoring and evaluation, co-financing projects and in maintaining operations or presence at the local level (see figure 2).

The lack of cooperation among countries, outlined in NCAP documents, could be the result, among others, of lacking the vision of countries' regional roles and insufficient cooperation among countries' coastal agencies. Again, national implementation of regional programs/projects could promote the regional cooperation and transfer of knowledge among countries, if such programs/projects will be run under the recognized regional "flagship" institutions. The creation of Caspian centers of excellence (CoE) on various regionally important issues, such as fishery (sturgeon, non-sturgeon), pollution monitoring, biodiversity conservation, protected areas and etc., would help to use the limited resources more efficiently.

There are many activities, concurring in NCAPs of different countries and requiring the knowledge and expertise, which already exists in the region. These activities include, but not limited to, issues of invasive species, various research and survey (water quality, sea level fluctuation), emergency response systems, and environmental impact assessment. The logical responding action would be combining efforts in research and monitoring through creation of regional monitoring and research programs. However without the knowledge sharing mechanism, even combining countries' efforts would not be efficient.

Almost all countries showed in their NCAPs the need for establishment of Caspian information system, data-banks or information exchange systems. Therefore, the establishment of information centers, through Web portals or by other means (magazines, electronic letter, and regular experts' meetings) which will provide the information sharing in regard of the best technologies, practices and methodologies should be considered. Moreover, many technological issues could be transferred with the attraction and with the support of the private sector. For example, regular Caspian Environment Technology forums, supported by private sector and supplemented by exhibits, investment groups meetings, and work of scientific support groups, would not only provide the relevant transfer of the commercially-viable technologies but will promote Caspian regional efforts within scientific and business communities of all five Caspian states.

Table 3 provides the analysis of the NCAP institutional gaps and need and provides some possible interventions.

### ***Secretariat support***

The distributed questionnaires required to look at needs and expected support from the TC Secretariat for successful implementation of NCAPs. In operational work, country specialists

need to be supported on report preparation and monitoring and evaluation. The significant contribution of the secretariat is expected in liaison with existing and potential donors to search for the finance. The Secretariat is expected to help the national NCAP coordination and implementation staff to liaise with other countries. There is also need for awareness raising on Tehran convention within the region, both at the national and coastal level.



Table 1. Analysis of gaps in National Convention Action Plans

<i>State of process</i>	<i>Gap/Issue</i>	<i>Possible primary causes</i>	<i>Responding/mitigating actions</i>	
Planning	Lack of participatory mechanism does not provide the involvement of key stakeholders	1. Lack of the participatory planning capacity of planning authority 2. Absence of adopted planning methodology for NCAPs 3. Lack of awareness among stakeholders	<ul style="list-style-type: none"> <li>● Capacity building in participatory planning</li> <li>● Develop and, if necessary, approve NCAP planning methodology</li> <li>● Possible wider involvement into implementation of the NCAP</li> </ul>	1. 1. Unbuilding strategy 1.2. Ad and ad method
Adoption	Adoption at the ministry level does not provide the ownership of the plan	1. Low awareness of the Convention at the local level and among national institutions 2. Absence of the participatory mechanism (ownership of the plan)	<ul style="list-style-type: none"> <li>● Increase the awareness of the Convention, action plan and its implementation</li> <li>● Increase the capacity of the implementing agencies on coordination issues</li> </ul>	2.1. Ca in Tehr Secreta 2.2. Cap official environ and pro
Implementation	Lack of implementation capacity, including coordination, reporting, monitoring and evaluation	1. Specific institutional capacity of Tehran Convention is not in place 2. Lack of awareness and capacity in implementing Convention's action plans at the local level	<ul style="list-style-type: none"> <li>● Increase the capacity of the Tehran Convention National Secretariats</li> <li>● Increase the awareness of the convention and its plan of action among key stakeholders and general public in coastal areas</li> </ul>	3.1.1. C stakeho monitor environ implement 3.1.2. C relation instituti 3.1.3. C of environ SE dev (mainst
Implementation	Lack or insufficiency of the revision mechanism	1. The revision is not included into NCAP and not formalized	<ul style="list-style-type: none"> <li>● Build the capacity inside the National Secretariats on revision and adaptive management</li> </ul>	3.2. Ca Convent
<i>State of process</i>	<i>Gap/Issue</i>	<i>Possible primary causes</i>	<i>Responding/mitigating actions</i>	
Implementation	Lack of strong financial mechanism	1. Lack of participatory mechanism during NCAP elaboration 2. Unclearly defined financial strategy, including	<ul style="list-style-type: none"> <li>● Regionalizing programs in order to provide costs saving, use locally available expertise</li> <li>● Arrange knowledge transfer among countries</li> </ul>	3.3.1. R by loca 3.3.2. A cooperati instituti

		comprehensive stakeholder analysis	<ul style="list-style-type: none"> <li>● Consider national implementation of regional programs</li> </ul>	<p>3.3.3. R through instituti</p> <p>3.3.4. 7 authorit issues</p> <p>3.3.5. C relation instituti</p> <p>3.3.5. C of environ SE deve (mainst</p>
Implementatio n	Lack of outlined cooperation among countries	<ol style="list-style-type: none"> <li>1. Unclear vision for regional roles of countries</li> <li>2. Lack of cooperation among countries at coastal level</li> </ol>	<ul style="list-style-type: none"> <li>● Promoting local implementation of regional programs</li> <li>● Support projects and programs which aimed at the regional cooperation at local, coastal level</li> </ul>	<p>3.4.1. C in subje knowle</p> <p>3.4.2. S exchange trans-bo pollutio</p>
Implementatio n	Lack of knowledge sharing mechanism	<ol style="list-style-type: none"> <li>1. Different level of technological and socio-economic development</li> <li>2. Historical specialization in key industrial (environmental) issues</li> </ol>	<ul style="list-style-type: none"> <li>● Combining efforts on research and monitoring of all Caspian States</li> <li>● Initiating and supporting academic information sharing and cooperation</li> <li>● Creating the mechanism for sharing scientific achievement and technological solutions for environmental issues</li> </ul>	<p>3.5.1. C program</p> <p>3.5.2. C program seismic reflecte</p> <p>3.5.3. S and cre specific</p>

## **Annex I. Proposed activities to improve the national capacity of the NCAP implementation (by countries)**

### Azerbaijan

1. Capacity building in participatory planning for environmental strategic planning (national level)
2. Elaboration and approval of methodology for NCAP planning
3. Capacity building in financial sustainability and financial resources for NCAP (environmental) planning
4. Capacity building on public/private involvement and stakeholders' management for environmental strategy implementation.
5. Capacity building for monitoring and management of revision process in NCAP implementation
6. Capacity building (technical, HR and institutional) of Tehran Convention secretariat (National Convention Secretariat or NCAP Center)
7. Information (awareness) campaigns on Tehran Convention and NCAPs (local administration, communities, industry)

### Islamic Republic of Iran

1. Environmental planning at the local level or Mainstreaming Caspian environmental issues to the local administration planning (for local administration planners)
2. Creation and Management of Stakeholders' groups at the local (provincial) level
3. Institutional capacity building for Tehran Convention (or NCAP) implementation at the provincial level (Mainstreaming convention implementation into local plans of actions); adoption of single methodology for planning of NCAP or environmental planning documents in general
4. Province level awareness campaigns on Tehran convention, its provisions and plan of action
5. Support (technical, HR capacity building and other) for National Convention Center at the Department of Environment

6. Capacity building and support of the work of the Caspian Working group (as proposed in NCAP)
7. Initiation of the knowledge transfer banks (Internet-based) and academic exchange programs between academic and research institutions.

#### Kazakhstan

1. Strengthening the capacity on environmental planning at the national and local level;
2. Elaboration and adoption of planning methodology for NCAP
3. Mainstreaming environmental issues into the development planning (for decision makers at the national and local levels)
4. Developing the capacity for regional cooperation in trans-boundary emergency response and water quality monitoring (could be sub-regional projects with Russian Federation and Turkmenistan, with support of oil companies)
5. Support of Caspian technology forum(-s), related to off-shore exploration issues and environmental compliance
6. Nation-wide and Caspian-level awareness and educational campaigns on Tehran Convention's issues (via NGOs)
7. Establishment and support of regional NGO forum for protection of the Caspian Sea environment

#### Russian Federation

1. Awareness campaign at the level of coastal subjects of Russian Federation on Tehran Convention's objectives and its plan of action
2. Environmental planning and monitoring of environmental projects for local administration and industry representatives
3. Capacity building in stakeholder involvement into environmental planning and implementation
4. Development of capacity on elaboration and implementation of financial strategy, including private sector involvement
5. Support of implementation of regional research programs, such as regional environmental monitoring (water quality), regional fish population surveys

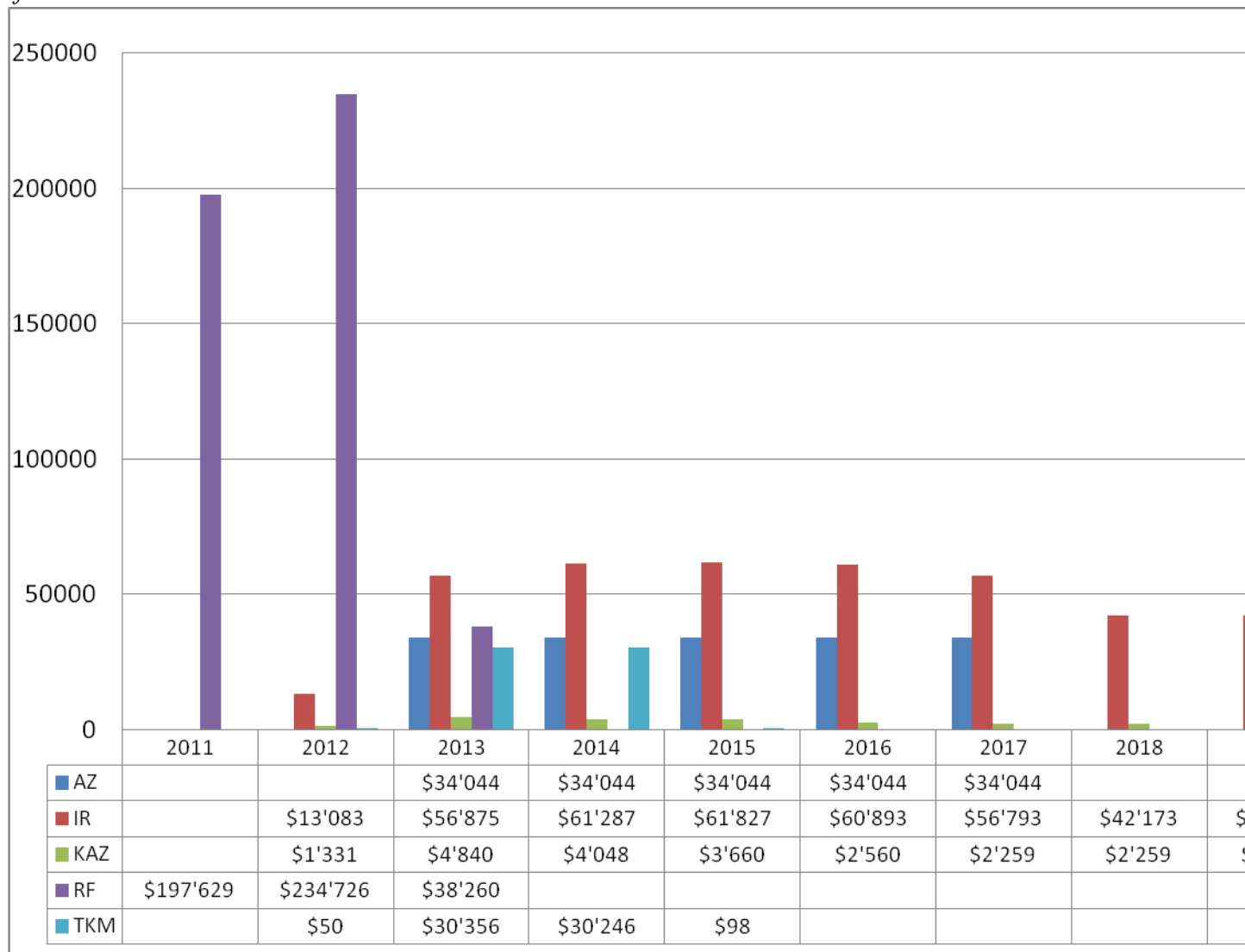
6. Initiation and the support of the regional knowledge banks (fishery, water quality etc.), academic exchange programs (via CaspNirh, Fishery Technological University, University of Astrakhan)
7. Development of sub-regional information and research networks such as water quality monitoring (with Kazakhstan and Azerbaijan), seal and fish habitat conservation (with Kazakhstan)

#### Turkmenistan

1. Capacity building in environmental strategic planning (national and local level)
2. Capacity building for mainstreaming of environmental issues into industry's strategic planning
3. Environmental planning at the level of local coastal administration and communities
4. Capacity building for implementation of the NCAP and other plans at the national level (support of the creation of the national convention center under MNP and SECI)
5. Awareness raising campaign for Tehran Convention and NCAP among coastal and national stakeholders, as well as local Caspian communities
6. Support of scientific, academic and administrative institutions to participate in regional exchange programs on fishery, integrated coastal zone management, water quality monitoring, seal monitoring and other issues
7. Support of regional investment and technological forums on sustainable use of off-shore natural resources.

### Annex II. Timeline for financial requirement for implementation of NCAPs by Caspian Countries

Source. Based on equal distribution of estimated finance for activities over the declared period of time



## Annex III. The questionnaire on the institutional capacity assessment for the implementation of the Tehran Convention by littoral Caspian States

### General objectives of the exercise

The general objectives of the study is “to prepare a comprehensive and clear synthesis paper summarizing and comparing the NCAPs of the Caspian littoral states for endorsement at COP4”. One of the ways of achieving this objective is to perform the assessment of the current capacity of Caspian littoral states to implement provisions of the Tehran convention documents. Specifically the ToR of this assignment states the following.

*“Designing and coordinating inputs to a questionnaire in order to obtain lacking information for the paper identified during the NCAP Meeting in Moscow, 15 March 2012. The consultant should, thereby, especially focus on information:*

- *for the gap analysis on financial and related institutional requirements for the short, medium and long term implementation of the Tehran Convention as well as on the measure of integration of the NCAP elements in relevant national development strategies and budget plans;*
- *about reliable sources for the cost estimations of the NCAP implementation to ensure credibility of the presented figures;*
- *about the practical implication and significance of the information provided by the national consultants and responsible government officials.”*

The preliminary prepared document “The analysis paper for National Convention Action Plans (NCAPs) of the Tehran Convention for the Caspian Sea environment “included the analysis of the existing drafts of the National Caspian Action Plans. It included the analysis of the preparatory process, approval mechanism and financial status in terms of estimated planned resources. However it did not included the analysis of existing capacity of planning and implementation institutions of the littoral states to implement the NCAPs, to integrate it into the national planning process. Moreover, some financial estimation of activities was provided on *ad hoc* bases which made them unreliable. The document was sent for commenting to specialists of the Caspian States for comments and review; the revised version of the document was presented in the CEP meeting in Moscow in March 2012. During the meeting the specialists from countries committed to complete their NCAP drafts and raised questions about the analysis document. It was decided to create and distribute the questionnaire reg. institutional capacity and gaps in financial estimations between specialists in order to prepare the more updated documents to present and approve by the conference of parties.

### Methodology

The organizational capacity could be defined as an ability to implement its functions. Core organizational capacities as mentioned in *Mizrahi, 2004* could include the following.

1. The capacity to set objectives
2. The capacity to develop strategies
3. The capacity to draw action plans

4. The capacity to develop and implement appropriate policies
5. The capacity to develop regulatory and legal frameworks
6. The capacity to build and manage partnerships
7. The capacity to foster an enabling environment for civil society
8. The capacity to mobilize and manage resources
9. The capacity to implement action plans
10. The capacity to monitor progress

(Mizrahi, 2004)

For the implementation of the Tehran Convention, the organizational capacity could be defined as an ability of the country to organize the process of planning, adaption, legal and organizational framework, financial support for the implementation and mechanism for monitoring and revision. In the prepared survey we will concentrate on the following components of the NCAP implementation process:

- 1) Preparation: capacity (physical, technical), timing, involvement of relative stakeholders
- 2) Adoption: proper awareness, involvement of relative stakeholders, level of approval of the document,
- 3) Implementation: capacity to promote NCAP among various stakeholders, fundraising and awareness building, monitoring and implementation.

The attached survey consists of two parts. The first part is general, required for filling by all countries. It covers issues mentioned above and proposes the options for capacity building and the support of the implementation process. It tries to clarify the country's status of the NCAP and its institutional framework for implementation. The second part includes specific questions for each country. It was compiled to confirm NCAP activities (taken from the latest draft of the document available) and to provide the cost estimate for each activity and the plan in general.

*Reference. Mizrahi 2004: Yemile Mizrahi, Capacity Enhancement Indicators, Review of the Literature, The International Bank for Reconstruction and Development /The World Bank, Washington DC 2004*

## **PART I . General survey of institutional capacity for the implementation of the National Convention Action Plans**

### **Introduction**

This survey is aimed at the identification of the gaps in the process of preparation, approval and implementation of the National Caspian Action Plans of five littoral states under the Convention on Protection of Caspian Sea Environment (Tehran Convention, 2004). Please read carefully and answer the questions below. The second part of the document includes questions on preparatory, approval and implementation status of the NCAP, asking about needs for the improvement and capacity building. The second part has specific questions for your country's NCAP. In most cases you will have to review activities (taken from your latest draft NCAP provided) and provide/approve the financial estimation for each activity. Your answers and financial estimation will be used **as final** in the analysis document. Please **attach the latest NCAP draft** or final document to the questionnaire.

The estimated time for filling out the questionnaire is 2-4 hours.



## Survey

### 1. Preparation of the NCAP

#### 1.1. Who has prepared the NCAP?

- Hired expert (-s) /consultants
- CEP Specialists
- Ministry of Environment, head office
- Ministry of environment, branch office/division
- Other ministry
  - o Please state the ministry
- Working group consisting of representatives of several organizations
  - o Which ministries, organizations were present in the group

- Other organization (private, NGO etc.)
  - o Please state

#### 1.2. Had the previous version of the document existed?

If yes, when the previous version of the NCAP were prepared

#### 1.3. Were previous versions of the NCAP adopted by the government?

##### 1.3.1. If yes, then when and whom? Please provide details

##### 1.3.2. Was the previous NCAP(s) adopted as :

- Strategic document for Caspian area development
- Strategic document for development of particular industry on the Caspian
- Planning document for environmental protection activities in the Caspian
- Reference document, containing information on the priorities and actions in the Caspian
- Other, please explain

##### 1.3.3. Was the implementation of the previous NCAPs monitored/reviewed?

Yes No

If yes, please provide when and by whom

1.3.4. During NCAP preparation, what methods used/activities performed from the following list? (please mark, if necessary, more than one)

- Review of previous NCAP documents
- Review of previous NCAP implementation
- Stakeholders meeting(s) performed to:
  - Identify/discuss environmental issues/problems
  - Identify/discuss activities
  - Discuss/collect comments on the draft document
  - Approve the draft NCAP document
  - Involve donors into planning process to secure their financial commitments
  - Provide the academic support / Brainstorm for issues/solutions
  - Revise documents within academic circles
  - Involve key decision makers into the planning process

1.3.5. During NCAP preparation process, what were the main obstacles/hardships? Please mark, if necessary, more than one

- Lack of physical personnel to perform the process
- Lack of support by the governmental organizations
- Lack of financial backup
- Lack of skills within existing and participating personnel in:
  - Strategy (plan) preparation techniques
  - Participatory planning process
  - Preparation of activities/measures
  - Assessing financial needs for the strategy (plan)
  - Organizing effective SH involvement
  - Other topics, please explain

- Existing legislation does not allow to perform planning process effectively
- Other obstacles/hardships. Please explain.

## 2. Approval of the NCAP document.

2.1. What is the level of approval planned for NCAP? Please mark the relevant answer from the listed below.

- \_\_\_ Parliament  
 \_\_\_ Head of the State or his apparatus  
 \_\_\_ Cabinet of ministers  
 \_\_\_ Leading State Environmental Agency (Ministry of natural resources, of nature protection etc.)  
 \_\_\_ Other environmental agency. Please explain.

- \_\_\_ Other Ministry (such as local development, industrial and etc.). Please explain.

- \_\_\_ Department of relevant Leading State Environmental Agency (Ministry of natural resources, of nature protection etc.)

- \_\_\_ Department of other environmental agency. Please explain.

- \_\_\_ Department of other Ministry (such as local development, industrial and etc.). Please explain.

- \_\_\_ Regional level local authority in the coastal area (district, province, oblast, akimat, velayat etc.) Please name the area and organization approving NCAP

- \_\_\_ Other governmental body, agency or NGO . Please explain.

2.2. Is the final draft NCAP document approved at the time of this survey?

Yes

No

2.3. If not, at what stage is the approval process of the latest version of the NCAP? Please select

- \_\_\_ The process of preparation and approval of NCAP in our country is cancelled. Please explain why.

- The final draft document is not ready and being prepared
- The final draft document is ready but awaiting the approval of the leading responsible organization
- The final draft document has been sent for comments to stakeholder organizations (interested parties)
- The final draft document has been sent to responsible parties for approval
- The final draft document is under the process of approval. The expected date for approval is \_\_\_/\_\_\_/\_\_\_\_\_
- Other. Please explain.

2.4. Is the NEAP the part of the social-economic development process?

Yes No

2.5. If yes, then in what form/capacity? Please check the proper answer from listed below.

- NCAP is the part of the national social-economic document strategy and action plan. Please state the name of the strategy.

- NCAP is the part of other social-economic or environmental planning document, for instance regional development. Please state the name of the strategy and the level of its approval.

- NCAP is an independent document, solely serving the purposes of Tehran Convention implementation.
- NCAP is not planning document and serves for information purposes only.

- Other (please explain).

2.6. What activities should be implemented to ensure that the NCAP is the part of the larger country's development in the Caspian region? Please select or add what is appropriate.

- Awareness raising among the government institutions (financial and development agencies etc.)
- Improvement of the legal status of the NCAP, adoption of the law/order/decree on the NCAP (please explain)

- Other activities (please describe)

2.7. During NCAP approval process, what were the main obstacles/hardships? Please mark, if necessary, more than one answer.

- Lack of support of the government organizations (outside the leading agency)
- Lack of human resource capacity to perform the approval process
- Lack of skills and knowledge within the personnel working on approval, specifically in
  - Procedures to approve and to promote the Convention within the government circles
  - Methods of involvement of relevant stakeholders into approval process
  - Introduction of the planning document into the existing SE planning
  - Building the capacity for institutional and other support during the approval process
  - Methods and forms of awareness raising among government circles
  - Other. Please explain

### 3. Implementation

3.1. Who will be responsible for the implementation of the NCAP?

- Ministry of foreign affairs
- Agency, responsible for the preparation of the NCAP
  - Specific department/division
  - Newly created dept./division. Please explain.

NCAP (  Newly created administrative agency, created specifically for execution of the please explain)

- Inter-ministerial branch/group. Please explain who is included into the branch/group

3.2. If the newly structure to be created, do you have enough capacity to create and run such structure?

Yes No

3.2.1. If not, in what field the newly created organization will need the support? You may check more than one answer from the list below.

- Financial support to open new office facility, including procurement of the equipment, equipment and office maintenance etc.
- Financial support to hire and support the personnel, experts etc.
- Other support. Please describe below

- Skills training in the following subjects (if necessary select more than one)
  - Promoting of the NCAP within the national planning process
  - Preparation of implementation reports
  - Monitoring and evaluation of the NCAP implementation
  - Financial monitoring and evaluation of NCAP
  - Awareness raising within general public
  - Awareness raising within government institutions
  - Working with potential donor organizations for NCAP
  - Fund raising and donor relations for NCAP implementation
  - Other subjects. Please describe.

- Technical (ongoing) support from the secretariat in the following issues:
  - Reporting (if necessary select more than one)
  - Liaising the with existing and potential donors
  - Communicating with other countries
  - Awareness raising on Tehran convention within the region
  - Implementation monitoring and evaluation
  - Other support from the secretariat. Please explain

- Government support at the higher level of the government authority (from supervising governments agencies and institutions)
- Institutional support from other (parallel) governmental ministries and agencies
- Support from the local coastal authorities for the implementation, including
  - Support in raising awareness within institutions and communities at the coastal area
  - Financial support for implementation of local projects (co-financing)
  - Support for operations at the local level (office space, operations support etc.)
  - Experts and administrative support (staff) for implementation monitoring and evaluation
  - Informational support for implementation monitoring and evaluation
  - Other support. Please describe.

3.3. For the successful implementation, what kind of capacity building and skills training is needed for the personal, responsible for the implementation of the NCAP? You may mark more than one option, if necessary.

- Skills training in the following subjects (if necessary select more than one)
  - Promoting of the NCAP within the national planning process
  - Preparation of implementation reports

- Monitoring and evaluation of the NCAP implementation
- Financial monitoring and evaluation of NCAP
- Awareness raising within general public
- Awareness raising within government institutions
- Working with potential donor organizations for NCAP
- Fund raising and donor relations for NCAP implementation
- Other subjects. Please describe.

- Technical (ongoing) support from the secretariat in the following issues:

- Reporting (if necessary select more than one)
- Liaising the with existing and potential donors
- Communicating with other countries
- Awareness raising on Tehran convention within the region
- Implementation monitoring and evaluation
- Other support from the secretariat. Please explain

- Government support at the higher level of the government authority (from supervising governments agencies and institutions)
- Institutional support from other (parallel) governmental ministries and agencies
- Support from the local coastal authorities for the implementation, including
  - Support in raising awareness within institutions and communities at the coastal area
  - Financial support for implementation of local projects (co-financing)
  - Support for operations at the local level (office space, operations support etc.)
  - Experts and administrative support (staff) for implementation, monitoring and evaluation
- Informational support for implementation, monitoring and evaluation
- Other support. Please describe.

3.4. What is financial status for the NCAP at the time of survey? Please select what is appropriate.

- NCAP financial provisions are included into the state budget at the central governmental level
- NCAP financial provisions are included into budgets of coastal authorities
- NCAP financial provisions are secured from other sources of finance, such as
  - non-government sources (private sector, NGO etc.)
  - local donor organizations
  - international donor organizations
  - other sources (please describe)

- NCAP financial needs are not identified yet

- NCAP financial strategy is not definite and needs to be further elaborated
- NCAP financial strategy will be elaborated after the document is approved

3.5. What support, if any, is needed to (further) develop the financial strategy for NCAP implementation? Please select from or add to options below.

- Support from the convention secretariat in raising awareness of the government on financial needs of the NCAP
- Skills' training for specialists and administrators, responsible for NCAP, implementation in:
  - Development of financial strategy for NCAP
  - Fund raising for development projects
  - Inter-agency coordination of financial issues for NCAP implementation
  - Budgeting and project cost estimations
  - Financial monitoring, analysis and reporting
  - Other (please explain)

3.6. What is duration of the implementation of the NCAP?

From \_\_\_/\_\_\_/20\_\_\_ TO \_\_\_/\_\_\_/20\_\_\_

3.7. How often the monitoring and evaluation will take place?

- Monthly
- Quarterly
- Semi-annually
- Annually
- Once in two years
- Twice for the period of NCAP (mid-term and final)
- Once at the end of the implementation period
- Never

3.7.1. What organizations will be responsible for monitoring and evaluation of the NCAP?

- Agency/organization/body responsible for implementation of the NCAP
- Newly created agency/organization/body. Please explain

- Other Agency/organization/body (please describe)

3.7.2. Where the results of the monitoring and evaluation be presented to? (You may select more than one, if necessary)

- To the ministry/agency/body responsible for NCAP implementation?
- To relevant stakeholders at the national and local level
- To the relevant supervisory authority
- To the general public
- To the TC secretariat and donors
- To no one



— Other (please specify)

3.7.3. Will there be provisions for revision of the NCAP?

Yes      No

3.7.4. If yes, for the implementation period how often the NCAP will be revised?

- Annually  
 — Once in two years  
 — Twice for the period of NCAP (mid-term and final)  
 — Once at the end of the implementation period  
 — Never

3.7.5. Will revision results be of advisory or compulsory (outlined as legal obligation) nature?

- Compulsory (outlined as legal obligation)  
 — Advisory only. The relevant organizations will have to correct their plans  
 — Other (please explain)

**Thank you very much for your time!**

***PLEASE ATTACH THE LATEST VERSION OF THE NCAP DOCUMENT TO THAT QUESTIONNAIRE AND SEND TO THE SECRETARIAT!***

## **PART II. Country specific issues reg. the implementation of the National Convention Action Plans**

### Introduction

Please find attached the MS Excel file with actions from your country. These actions were originated from the earlier draft of your NCAP and were partially estimated by the international consultant (IC). You are kindly asked to go through actions and correct them if necessary, add more if there are some changes in the draft plan. Please also provide the information about the financial details of **each action**. Please note that the data presented in the table **will be final and will be used as “the data agreed with the national consultants”**. The previous estimations provided by you and the IC are provided as well for your revision, but you might want to delete this data and insert the new one.