

CAPaBLE

Scientific Capacity Building and
Enhancement for Sustainable
Development in Developing Countries

Proceedings of the CAPaBLE Programme
Development Workshop 12-13 May, 2003



Foreword

The Scientific Capacity Building and Enhancement for Sustainable Development in Developing Countries (**CAPaBLE**) Programme is a concrete regional initiative to realize parts *107 to 114* of the Plan of Implementation for the World Summit on Sustainable Development (WSSD), and has been registered as a WSSD Type II Partnership/Initiative. The objective of this new 5-year Programme is to develop and enhance scientific capacity in developing countries to improve their decision-making in the target areas related to climate change and water and food security that are directly linked to their sustainable development. In Phase I of this new Programme, i.e. from April 2003-March 2006 (and continued through March 2008) the focus will be on Climate Change. Water and Food Security will be a focus of Phase II of the Programme and is expected to be implemented through April 2006 - March 2008.

Improving the scientific and technical capabilities of nations in the region has been one of the goals of the APN and capacity building projects have been included in the activities since the beginning. Therefore, why does a programme such as CAPaBLE have to be created? It has been created because *we* have to make a difference. In addition to the existing pillar of APN, the Call for Proposals, CAPaBLE is now expected to become the second pillar of APN activities and to play an important role in the transition period from the first phase (1999-2004) to the second phase (2005-2010) of APN activities. The Program Development Workshop (PDW) was convened to discuss how improvements can be made in the scientific capacity and enhancement of developing country scientists in the region and to create an effective implementation strategy and mode of operation for the CAPaBLE Programme in its first phase (April 2003-March 2006).

These proceedings outline the activities undertaken at the CAPaBLE Programme Development Workshop, which was held on 12-13 May, 2003 at the APN Secretariat, Kobe, Japan. The summary provides an overview of the Workshop as well as suggestions for the implementation of all activities outlined in the CAPaBLE proposal endorsed by the 8th APN Inter-Governmental Meeting (IGM), Hanoi, Viet Nam. The 8th IGM-endorsed proposal is contained in *Workshop Report: Appendix I*. The workshop agenda and participants list are contained in *Workshop Report: Appendix II*.

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Section 1: Opening

Meeting Chair: Dr. Andrew Matthews, Co-Chair, APN Scientific Planning Group
The Meeting convened at 9:00am on 12 May, 2003.

Section 2: Welcome Address by APN Director

Mr. Sombo T. Yamamura opened the workshop by welcoming the participants and thanking them for taking the time out of their busy schedules to discuss an implementation plan for CAPaBLE. He referred to his opening paper “Making a Difference” in which he emphasised some aspects as suggestions for discussion during the workshop.

Opening Address: Making a difference

Improving the scientific and technical capabilities of nations in the region has been one of the goals of the APN and capacity building projects have been included in the activities since the beginning. Therefore, why does a programme such as CAPaBLE have to be created? It has been created because *we* have to make a difference.

In addition to the existing pillar of APN, the Call for Proposals, CAPaBLE is now expected to become the second pillar of APN activities and to play an important role in the transition period from the first phase (1999-2004) to the second phase (2005-2010) of APN activities. The Program Development Workshop (PDW) is being prepared to discuss how the differences can be made.

The following aspects are randomly raised as suggestions for the discussions and I hope we can have clear outcomes based on these at the end of this workshop:

- 1. Outstanding science capacity to cope with pressing climate change issues.*
- 2. Developing country participation in a broader manner.*
- 3. Interactions between the science community, decision-makers and policy-makers.*
- 4. Partnership among the member countries and with other networks and global change programmes.*
- 5. CAPaBLE projects and other projects under the existing Call for Proposals.*
- 6. Strategic approaches with clearer objectives.*
- 7. Mode of operation (planning, doing, evaluating and providing feedback).*
- 8. The APN members and, more specifically, the Secretariat's role in CAPaBLE.*

Section 3: CAPaBLE Programme Overview

APN Secretariat's Programme Manager for Scientific Affairs, Dr. Linda Stevenson, provided an overview of the CAPaBLE programme (PowerPoint presentation, Appendix III, p42).

Section 4: CAPaBLE (IGM-endorsed) Proposal

The following points, 1-17, are a record of the general review and discussion session regarding the CAPaBLE IGM-endorsed proposal (Appendix I, p23). These points are provided as a record of the discussion only.

1. Resources should be defined for those activities that will produce publishable results.
2. Capacity Building can be a number of things, e.g. institutional, individual and country, resource capability, scientific, technological, etc.
3. More should be done to interface science and policy; this is different for each country and, therefore, a complicated process.
4. End product for the 5-year programme would be for accountability and communication of the programme.
5. Country involvement at the local /indigenous level is very important.
6. Must try to seek a method of converting knowledge-based interactions in terms of policy relevancy.
7. Train and increase/enhance the capacity of existing senior people and develop junior capacity as well.
8. Benchmark could be set by direct involvement in the IPCC 4AR for Comprehensive Research Projects (CRPs).
9. This benchmark could be in the research outputs of the CRPs, not necessarily the contribution of authors (for which there would not be enough time).
10. IPCC AR4 schedule:
 - 1st scoping meeting in April, 2003. About 100 people attended to start framing of the IPCC AR4;
 - 2nd scoping meeting at the end of August where a skeleton of the structure of the report will be established;
 - General Assembly in November will finalise the skeleton; and
 - Early 2004 - CLAs and LAs will be nominated.
11. Possible APN/CAPaBLE contribution to the IPCC AR4 might be:
 - Mid-way result of the CAPaBLE project (realistic);
 - Human interaction (not so realistic because of the timing); and
 - Pachauri stressed the regionalisation focus of the AR4; other assessments have focussed at the global level. Therefore, AR4 is more applicable to APN activities.
12. Distinction between Comprehensive Research Projects (CRPs) and Capacity Building Activities:
 - CRPs have a “Call for Proposals” with criteria already established (and endorsed at the 7th Inter-Governmental Meeting);
 - Capacity Building activities have no formal process for proposal submission; criteria not yet established (mandate for PDW);
 - In terms of adaptation and mitigation we must try and assess the vulnerability and we also need to recognise that the sophistication of the models we have now are fine at the global level and are now reasonable at the regional level. However, they are ineffective at the sub-regional and local level. Scientific capacity is only starting to be credible at the sub-regional and local levels;

- Work needs to be done which takes the best science available at the regional and sub-regional levels – there is an opening here for CAPaBLE involvement;
 - Distinction made in that there are now 2 pillars in APN which are:
 - Regular Call for Proposals
 - CAPaBLE activities; and
 - Emphasis that APN is in a transition period between 1st and 2nd strategic plans.
13. Relevant Capacity Building Activities:
- Contribution to Earth System Science Partnership (ESSP) encompassing all global change programmes
 - Internal networks
 - Mentoring
 - Literature relevant to IPCC
 - Dedicated Sustainable development through travel support for workshop/seminar/conference support
 - International networking
 - Young scientists
 - Greenhouse gas inventories, carbon accounting, methodologies
 - National methods for accounting
 - National guidelines
 - Small Island Developing States
 - Technology transfer
 - Adaptation Strategies
 - Impacts assessment
 - Vulnerability assessment
 - Adaptation opportunities
 - Integrated assessments and policy options
 - Mitigation (links with C above)
 - Biological pathways
 - Industrial/technological pathways
 - Science-Policy interfacing
 - Policy-relevant scientific agenda
 - Scientifically-sound policy formulation
14. Why is there so much focus on the IPCC?
- To date, the best interface between science and policy has been the IPCC. The way to convince policy-makers of the usefulness of APN is to make a significant difference to the IPCC through APN activities. For the CRPs, in particular, they can contribute directly to the IPCC 4AR;
 - For the CB, there is not expected to be any direct contribution to the AR4, but maybe to future IPCC assessments;
 - Activities can contribute to UNFCCC and IPCC in a different way, through GHG inventories, etc; and
 - Policy-makers are not patient and the financial authorities are particularly impatient, and thus we need to have tangible outputs that appeal to the financial authorities.
15. CAPaBLE Programme overview:

- Mandate has been set for CRPs;
 - More difficult to set the agenda for CB activities;
 - CAPaBLE timeframe is 3-5 years (Phases I-II);
 - More difficult to synthesise or summarise the CB activities after 5 years than it is for CRPs;
 - Robert Watson of WDB (ex-IPCC) has new vision on “feeding the world.” This, in a sense, is directly related to CAPaBLE since climate change is a component of that and water and food security is the specific focus of Phase II of CAPaBLE. Envision a similar process to IPCC but focus on food/water;
 - CAPaBLE should take this on board from the start and try and coordinate these efforts to provide food/other resources for the world;
 - CAPaBLE should evolve “seamlessly” from climate change into Phase II;
 - Moving towards integrated management if discussing water and food security
 - Policy-science interfacing and improvement of decision-making: Should we invite a research proposal in terms of how sustainable development legislation gets into major projects?;
 - Governments in developed countries are putting environmental legislation into their books but there are still no real linkages. This is not making a difference;
 - Capacity building MUST be sustainable;
 - There are very few structured courses in global change and even in environmental science. We must build on this. Is it possible to do this under CAPaBLE?; and
 - Good output would be more interdisciplinary work. If we can get some regional networks going that have strength then it is particularly policy relevant as well. In that sense we will have helped to create that capability/capacity.
16. Suggestions for the review of CRPs:
- External IPCC experts to be involved in the review process;
 - Selected SPG members only according to expertise in climate change;
 - Excellent feedback from IPCC relevant persons in Marrakech scoping meeting; proposals may have to be combined to produce stronger proposal;
 - Reviewers should review and comment on proposals and a specific panel of experts should select proposals for funding (and even suggest combining proposals);
 - Benchmarks must be set that would satisfy donors;
 - Reporting, minimum, on an annual basis;
17. Mechanism for implementing the CAPaBLE Programme
- A committee should be formed to oversee the CAPaBLE programme;
 - A specific group within the committee should have the task of interfacing with the community and talking with policy-makers;
 - 5-year CAPaBLE programme should be viewed as an **initial** part of the Type II partnership;
 - Any committee member should commit for a minimum of 3 years for continuity and overseeing from day one;
 - There exists a need for a separate CB committee within APN (to include CAPaBLE and all other CB activities);

- In terms of the entire structure of APN, a better management structure needs to be incorporated. This should be one of the foci of the 2nd strategic plan; we might want to get separate committees, for example, one on policy-implications;
- Contribution of science to sustainable development is becoming a very important issue. What can science and technology do in the prediction of extreme events, etc? What is the contribution of sustainable development?
- Have to filter through and mainstream the process. As long as a component exists in a programme, funding will be forthcoming;
- In terms of the strategic plan, we are in a transition period and next year a new strategic plan will be developed and submitted at the 10th anniversary. Therefore, APN is still in the first phase, although we have had the CB issue since the Earth Summit;
- A CB committee should be established and we should not have to strictly adhere to the strategic plan in this case. An element of flexibility is required;
- For overall implementation, we should use the current APN framework;
- The Steering Committee should be mandated to monitor and organise the CAPaBLE programme; and
- The Steering Committee is free to develop and form a separate committee for the specific evaluation of CAPaBLE.

Section 5: Programme Development Workshop Mandate

Specific Writing Tasks for Working Groups I and II

1. Develop and write a Coordination and Implementation Mechanism for Phase I of the CAPaBLE Programme.
2. Develop and write a Monitoring and Evaluation Mechanism for Phase I of the CAPaBLE Programme. This should include a benchmark for the evaluation of the entire Programme.
3. Develop and write a Full timeline for Phase I of the CAPaBLE Programme.
4. Develop and list Co-funding mechanisms.
5. List Capacity Building and Dissemination activities that can be funded under (4b) and (4c).
6. Develop and write selection criteria for the Capacity Building (4b) and Dissemination (4c) activities listed in 5 above.
7. Develop and write a review, coordination, monitoring and evaluation process for (4b) and (4c) activities (including benchmarks for the evaluation).

Joint Tasks for Working Groups I and II

8. Suggestion for Steering Committee on review, coordination, monitoring and evaluation of CRPs (4a).
9. Suggestions for Steering Committee on Review and Selection Criteria for CRPs (4a).

Working Group I

Focus: Questions 1, 2, 3, 4,

Joint: 8, 9

Andrew Matthews (*Group Leader*)

Daniel Murdiyarto

Nobuo Mimura
Hiroshi Ono
Martin Rice
Zhongci Zhao

Working Group II

Focus: Questions 5, 6, 7

Joint: 8, 9

Kanayathu Koshy
Amir Muhammed (*Group Leader*)
Graeme Pearman
Linda Stevenson
Sombo Yamamura

Section 6a: Working Group I Summary

Q1. Develop and write a coordination and implementation mechanism for Phase I of the CAPaBLE Programme

CAPaBLE is an integral part of the APN programme and, as such, it utilizes the existing mechanisms that have already been developed. Establish an overall/expert committee that has a strategic/progressive approach.

The CAPaBLE Standing Committee

- 6 members;
- 2 specialists for Comprehensive Research Projects, one for Capacity Building activities; and
- 3 common members, including the two SPG Co-chair's, one donor representative, e.g. Ministry of the Environment of Japan, and the APN Director as ex-officio.

Questions for further consideration:

- 1. Should the Capacity Building Specialist be an expert in how the policy intervention can take place?**
- 2. Or someone involved in training or teaching – for example an educator?**

Mode of operation

- Mode of operation will be through e-mail, tele- and/or web-conferencing.

Committee Role

- This is a standing committee;
- Planning, review, coordinating, monitoring and evaluation;
- May cover wider area – such as more CB activities, links to policy;
- The role of the committee is to be expanded and elaborated in the APN 2nd Strategic Plan for 2005-2010;

- One committee member would have to be nominated to chair tele/web-conferencing meetings; and
- Principal Investigators of CRPs should submit interim reports to the CRP specialist on the committee. With only two or three projects, this is not a big job and eases extra burden on the Secretariat.

The proposed CAPaBLE Standing Committee (CSC) is outlined in **Figure 1** on page 12. This diagram was established during the discussions that took place following the working group session. A “Terms of Reference” for the CSC will also be established following the programme development workshop and will be drawn up and available for reference at a later date.

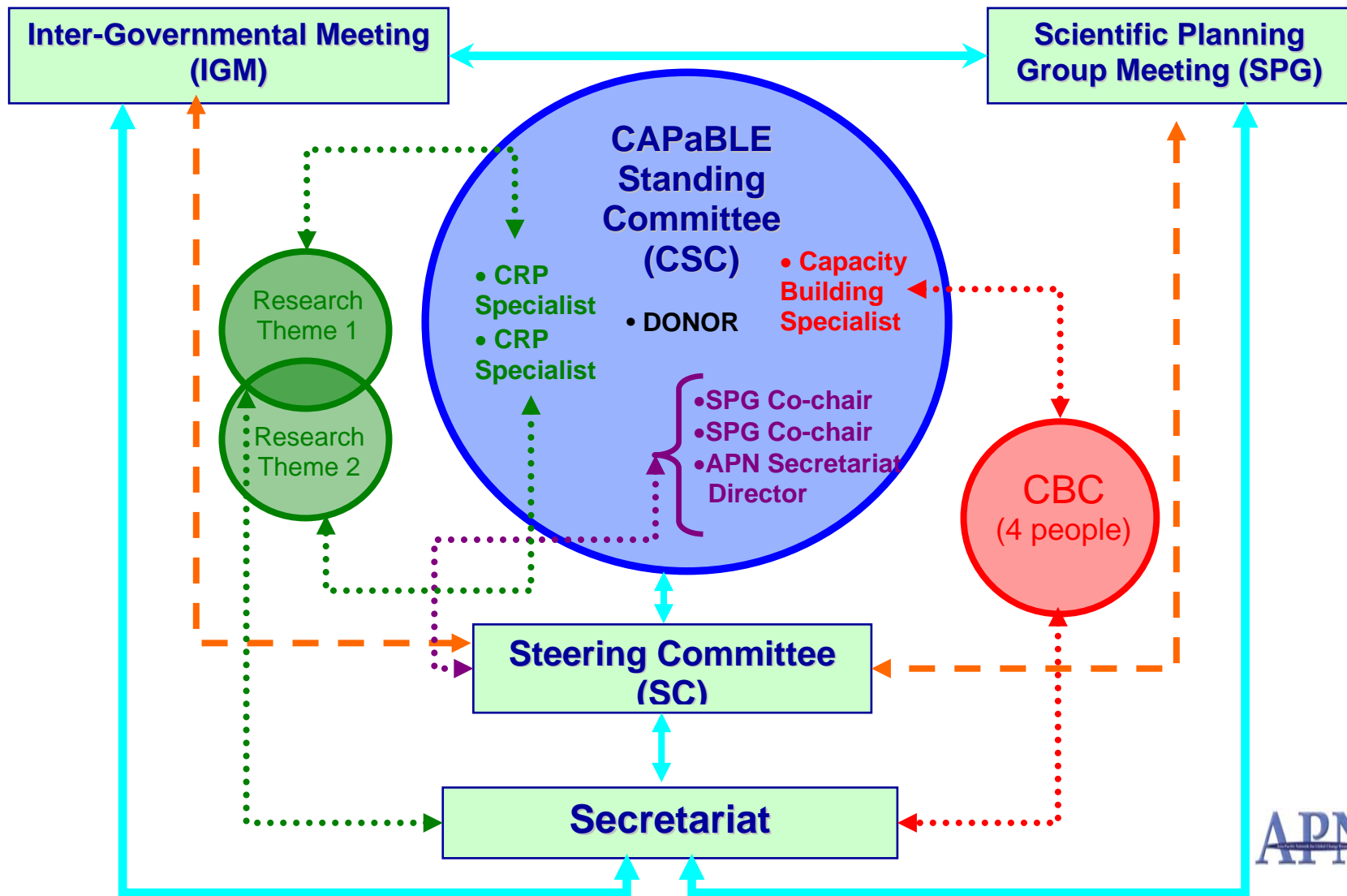


Figure Figure 1: Proposed Diagram of the CAPaBLE Standing Committee

Q2. Develop and write a Monitoring and Evaluation Mechanism for Phase I of the CAPaBLE Programme. This should include a benchmark for the evaluation of the entire Programme.

- Six month report to be submitted by CRP Principal Investigators.
- Use existing criteria:
 - i. High weight 1, 2, 3, 4 and 6
 - ii. Medium 5 and 9
 - iii. Low 7, 8 and 10

In addition to this, it was suggested that the present criteria for eligibility in the CRP “Guide for Proponents” (available from the Secretariat) be edited as follows:

6. Have high potential to create scientifically excellent outcomes in integrated studies on climate change impacts, vulnerability, adaptation and mitigation properties that could be appreciated by the international science community.
7. Have clear vision and scientific components to contribute to the development of the Fourth Assessment Report of the IPCC and other policy-relevant international activities.

The above criteria cannot be incorporated into the Guide for Proponents until after the 15th June deadline since the call has been launched already. However, the revision should be inserted after 15th June. The revision can be placed in the Review Process – Guide for Reviewers.

Q3. Develop and write a full timeline for Phase I of the CAPaBLE Programme.

The Capacity Building Programme of CAPaBLE is seen as being an open-ended call. However, a well managed system may attract additional funds and, therefore, the programme should be implemented carefully. Regular applications (under the Annual Call for Proposals) should focus more on research-type activities. Workshops and conference activities, etc, could be viewed as a potential CAPaBLE Capacity Building activity, assuming that activity meets all of the eligibility criteria.

Q4. Develop and list co-funding mechanisms.

Co-funding mechanism for what proponents have in their proposal, but also the mechanisms for donors to contribute to the CAPaBLE programme. In-kind support from institutions with salary support and equipment, etc. (as in the Annual Call for Proposals) should also be considered.

Q8. Suggestions for Steering Committee on review and selection criteria for CRPs (4a)

While IGM has already established criteria, a double dipping clause is needed, e.g., “Nor where this activity will replace existing support.” Working at a centre of excellence would result in a proposal being graded higher than similar proposals that didn’t feature centre of excellence involvement.

Section 6 b: Working Group II Summary

Q5. List Capacity Building and Dissemination activities that can be funded under (4b) and (4c).

1. Key Meeting Travel Grant
2. Young Scientists Travel Fellowship

Specific criteria to be established (poster/paper presentations, climate change-related, under 35, report on outcomes, training workshops, etc.).

3. Sub regional/national meetings/workshops etc. on climate change
4. Training courses:
 - Current programmes
 - New programmes
 - Set aside CAPaBLE funds
 - Fund the writing of a specific course related to climate change
 - Impacts/vulnerability/adaptation/mitigation
 - Online courses – e-Learning
5. Capacity building activities in local language
6. Awareness raising activities
7. Specific Topics under climate change:
 - GHGs
 - SIDS
 - Impacts/vulnerability/adaptation/mitigation
8. Other Partnerships:
 - IAI-APN – not SIDS but perhaps ENSO, Climate Extremes or Agriculture
 - DIVERSITAS/IGBP/WCRP/IHDP - ESSP
 - ESSP's Monsoon Asia Integrated Regional Studies
 - START
 - CGIAR has launched various Challenge Programmes including rainforests, food and water, which may match well with the CAPaBLE programme

The above comments are to be elaborated further under the CAPaBLE Standing Committee.

Science-Policy Interfacing

Dissemination of APN activities at specific fora such as the Pacific Islands Forum, ECO ASIA, the Asia-Pacific Seminar on Climate Change, COP, IPCC, UNFCCC, etc., was discussed. Although relevant to an extent, is this the best way to create the policy-science interface? This is a very complicated process and we should perhaps consider the following:

1. SPG/IGM overlap – specific agenda item and force the issue.

2. Bring together a group of scientists and policy-makers that could discuss how best to interface. (Appendix IV, p49 highlights an idea presented by Graeme Pearman.)
3. Develop activities based on the outcome which might include:
 - Fora for APN dissemination
 - Involvement of APN national Focal Points
 - Mode II Science (knowledge generation)
 - Civil society – unsure – too many differences at each country-level.

Q6. Develop and write selection criteria for the Capacity Building (4b) and Dissemination (4c) activities listed in 5 above.

Criteria

Criteria for what will make a difference – to be discussed and elaborated further.

Basic Criteria Eligibility

1. Relate to an area within climate change.
2. The proponent must be based in an APN approved country.

Specific Criteria for Eligibility

1. Relate to climate change.
2. The APN is prepared to support activities relating to:
 - Travel Support – 2 elements
 - National country activities
 - Sub-regional activities
 - Training workshops/courses
 - Awareness raising activities
 - Scoping workshops for proposal development in climate change as related to CAPaBLE, etc.
3. APN will not support:
 - Running costs of institutions
 - Administration salaries
 - Long-term monitoring/observation.

Eligible proposals might then be considered under the following criteria (to be elaborated further).

Weighted Criteria

- Criterion 1. Must involve at least one APN approved country.
- Criterion 2. Where they exist, the proposal should be supported by the Scientific Planning Group member and/or national Focal Point of the proponent's native country.
- Criterion 3. Demonstrate clear linkage to policy- and decision-making activities.

Criterion 4. The proposal should have developing country leadership with association from developed countries for technical support, etc., as appropriate.

Criterion 5. Joint capacity building activity with APN and a developed country should have specific criteria for co-funding mechanisms that should be considered and elaborated. This would be on a case-by-case basis and criteria should be discussed between relevant parties, as appropriate.

Criterion 6. Technical soundness and degree of consistency and sustainability.

Criterion 7. Clear strategy on how capacity can be built following the activity and how the activity will become self-sustainable.

Criterion 8. Adequate administrative support.

Criterion 9. Adequate consideration of funding options.

Criteria to be further developed by the CAPaBLE Standing Committee

Q7. Develop and write a review, coordination, monitoring and evaluation process for (4b) and (4c) activities (including benchmarks for the evaluation)

Mechanism of Implementation and Coordination:

1. Development of a Capacity Building Committee (CBC).

Qualification of CBC Member and Job of Committee:

1. Commitment of 3 years initially.
2. Well versed in APN activities.
3. Climate change expert.
4. 4 people including a Secretariat member.
5. Audit country CB needs (establish a framework based on the audit).
6. Major input here from Secretariat.
7. Terms of Reference/Review/Evaluation is a CSC mandate.

The CBC position under the CSC is highlighted in Figure 1 (p12).

CBC Terms of Reference to be developed by the CAPaBLE Standing Committee

Section 7: Discussion on Working Group Recommendations

A detailed discussion on the previous days work based on the summary outlined in the previous pages was carried out. As a result, it was suggested that the following will be developed:

(a.) CAPaBLE Phase I

1. Mechanism for Coordination & Implementation

A CAPaBLE Standing Committee is to be formed under the APN Steering Committee as outlined in Figure 1 (p12).

2. Monitoring & Evaluation

See IGM-endorsed proposal, Item 7 (p30) for initial information (will be developed and elaborated further).

3. Timeline for Phase I

(b.) Capacity Building Activities

1. Selection, Review, Coordination, Monitoring, Evaluation.

Timeline for finalised PDW documents for IGM approval:

CAPaBLE Programme Development Workshop	2003												
	April		May			June			July				
Draft Agenda	18												
Feedback		25											
Agenda/Papers to all Participants			02										
CAPaBLE Programme Development Workshop				12 & 13									
Secretariat Report of Workshop to Participants					16								
Interaction/Feedback between Secretariat & Participants													
Finalise Report											15		
SPG/IGM Member Approval of CAPaBLE Implementation Plan													31

Section 8: Proposals and Concept Papers

This Section highlights those proposals that were submitted to APN for consideration of funding under the Capacity Building and Dissemination pillars of the CAPaBLE Programme*. Six proposals were discussed and recommendations made. These are highlighted below:

(i) *Capacity Building Workshop on Climate Change Mitigation with Locally-owned Technology*

This proposal was introduced by Mr. Sombo T. Yamamura, Director of the APN Secretariat and is a partnership activity by the APN Secretariat and donor, Hyogo Prefectural Government. The proposed project would start from April 2004 and last for 3 years. US\$ 45,000 has been requested for the first year. Mr. Yamamura pointed out that in some countries climate change is not well highlighted and we should make broader efforts to include mitigation to some extent. The dissemination of information on the vulnerability and impacts should be included.

Recommendations of the Programme Development Workshop:

- Be re-written in the correct format (to be established) before submission;
- Have clear description of the output of the work and the team of collaborators;
- Capacity Building is comprehensive and it must be clearly stated what the capacity building entails in this project;
- Is technology exchange feasible for APN? Will there be scientific capacity building in this project? The proposal may be misleading and should be re-worded (the title specifically) to avoid any confusion; and
- The target audience should be clearly stated.

The proposal, in its final formatted is to be submitted to the CAPaBLE Standing Committee for review. If successful, the proposal will be put forward for endorsement at the 9th SPG/IGM meetings in Australia.

(ii) *Capacity Building for Greenhouse Gases Inventory Development in Asia-Pacific Developing Countries*

This proposal was introduced by Hiroshi Ono (Ministry of the Environment of Japan) and is expected to be a partnership activity between the APN Secretariat and the National Institute for Environmental Studies. The Ministry of the Environment, Japan will provide co-funding for the project. The proposed project would start in fiscal year 2003 and last for 3 years until the end of the Japanese fiscal year, 2005. US\$ 40,000 has been requested for each year of the project. Similar to proposal (i), it was also pointed out that in some countries climate change is not well highlighted and broader efforts to include mitigation should be made. The dissemination of information on the vulnerability and impacts should be included.

Recommendations of the Programme Development Workshop:

* CAPaBLE Programme budget details can be found on page 31, Section 9

- Be re-written in the correct format (to be established) before submission;
- Have clear description of the output of the work and the team of collaborators;
- Show that there is no duplication with previous work done by GEF on GHG inventories;
- Be seen as a partnership activity between NIES and APN, with funding coming from the MOEJ and APN;
- To consider the expectations of the project further. Are they too high considering the limit of budget requested?;
- Consider that the collaborators mentioned in the proposal are highly active scientists who may not be suitable if this is simply a data-collection proposal;
- Research and capacity building element of the project must be clearly established and indicated in the proposal; and
- Consider and state how the proposal will develop meaningful methodologies for the developing countries involved.

The proposal, in its final formatted version is to be submitted to the CAPaBLE Standing Committee for review. If successful, the proposal will be endorsed this year by the standing committee and results disseminated to the APN members. (Andrew Matthews will meet with the Principal Investigator, Hideaki Nakane in Tsukuba for further discussion).

- (iii) *An Integrated Approach to Climate Change capacity Building/ Enhancement for the Pacific Island Countries – Kanayathu Koshy*
- (iv) *Training Institute on Climate and Extreme Events in the Pacific – Eileen Shea*

The two proposals were introduced by APN members Andrew Matthews and Kanayathu Koshy. The proposals were discussed together since Koshy's proposal also incorporated Eileen Shea's as a major component. The combined proposal would have a number of outcomes including a fully revised training course on vulnerability and assessment for the PICs and SIDS in general, a new training mechanism for disaster management, climate change & variability computer model that is SIDS-friendly, a food and water security project (for Phase II of CAPaBLE, the timing of which might be brought forward) and publications for awareness and lasting capacity building.

Recommendations of the Programme Development Workshop:

- Be re-written in the correct format (to be established) before submission;
- The 2 proposals be combined and include a budget and timeline; and
- Have clear link with climate change and variability.

The proposal, in its final format is to be submitted to the CAPaBLE Standing Committee for review. If successful, the proposal will be endorsed for funding in

2003 or put forward for endorsement at the 9th SPG/IGM meetings in Australia for funding from 2004 - this will depend on the available budget.

- (v) *Building Capacity of Mekong River Countries to the Study of Impacts from Climate Change - Case Study approach on Assessment of Community Vulnerability and Adaptation to the Impacts of Climate Change on Water resources and Hydrological Extreme Events*

This proposal, which was submitted by Suppakorn Chinvanno of Thailand, originated from the 2002 Call for Proposals and was short listed for funding. This project has been proposed to run for 2 years with a requested amount of US\$ 40,000 in Year 1 and US\$ 50,000 in Year 2. It was suggested at the IGM that this proposal fitted the objectives of CAPaBLE and should be considered for funding under CAPaBLE instead of the regular Call for Proposals. The proposal was resubmitted accordingly and expanded to include other countries in Southeast Asia, such as Cambodia and Viet Nam along with Thailand and Lao PDR.

Recommendations of the Programme Development Workshop:

- Be re-written in the correct format (to be established) before submission; and
- Approved for funding. Amount of the award subject to standard APN-PI budget negotiations.

(vi) *APN-IAI Joint Activity*

It was suggested that a SIDS project may not be the best route for APN and IAI to take. However, an ENSO-related or climate extreme impact study be considered with perhaps an agricultural theme. APN Secretariat to explore further with IAI. While, it is expected that a project will come together, this will probably not happen, realistically, until the next fiscal year (i.e. after April 2004)

Note:

Following the discussion of capacity building activities, it was pointed out that the proposals presented were not necessarily being approved for funding, and that any funding granted would be subject to the submission of a formatted proposal, further review and endorsement by the CSC (or the SPG/IGM depending on year of funding). Funding for the above projects, with the exception of the Thailand proposal, is not guaranteed.

Section 9. Meeting Close-out

Meeting was concluded at 12:30pm on Wednesday 13th May, 2003

Section 10. Closed Session for Steering Committee

This session was convened to discuss the review process and selection criteria specifically for Comprehensive Research Projects. A summary follows below:

CRP proposal review process and reviewer guidelines

1. Reviewer Candidates

- Andrew Matthews – SPG co-chair
- Graeme Pearman – SPG member
- Lou Brown – SPG member and national Focal Point
- Subra Moten – SPG member
- Nobuo Mimura – SPG member
- START – SPG member (Roland Fuchs and/or Hassan Virji)
- Relevant IPCC experts

2. Summary of the Review Process

- Reviewer will be given proposals related to Theme I or Theme II only – not both
- Current Review Process will be used with modifications as necessary
- Timeline to be developed
- Minimum of 3 reviewers per proposal
- Stage One of reviewers – one month
- 10-point scale to be used
- Stage 2 – rated list, comments and individual scores will be available for the CAPaBLE standing committee
- Proponents will be given one week to respond to reviewers' comments
- Reply to comments will go to the committee and not to the individual reviewers

3. Guide for Reviewers

The guide will be based on the current guide for reviewers for the regular proposals process, with modifications below incorporated.

- Is the project really specific to each research theme?
- Does the project contribute towards the goals of CAPaBLE?
- Is it scientifically/methodologically sound?
- Does it meet the criteria? (Essential criteria to be added).
- Is it achievable?
- Does it represent good value for money?
- How could it be improved?
- Word the text appropriately - "It is important that the full range of scores that are available are used"
- Scoring system – force scores in terms of the weighting. Then, ask the reviewer to select their top three
- Weighting of criteria – available in Working Group I summary

Section 11: Documents to be generated as a result of the Programme Development Workshop

1. Capacity Building Proposal Template.
2. A set of Eligible Criteria and appropriate guidelines for appropriate Capacity Building Activities and Science-Policy Interfacing activities.
3. A Review Process and Guidelines for the Capacity Building Activities.
4. A Review Process and Guidelines for the Comprehensive Research Project proposals.
5. A list of reviewers for the Comprehensive Research Project proposals.
6. Timeline for Phase 1 of the CAPaBLE Programme.
7. Terms of Reference for the CAPaBLE Standing Committee (CSC).
8. Terms of Reference for the Capacity Building Committee (CBC).
9. Framework for the CAPaBLE Programme (this is expected to be a mandate for the CSC and to be written and presented for endorsement at the 9th SPG/IGM meeting).

The above documents are in the process of being generated.

- End of summary -

Workshop Report: Appendix I

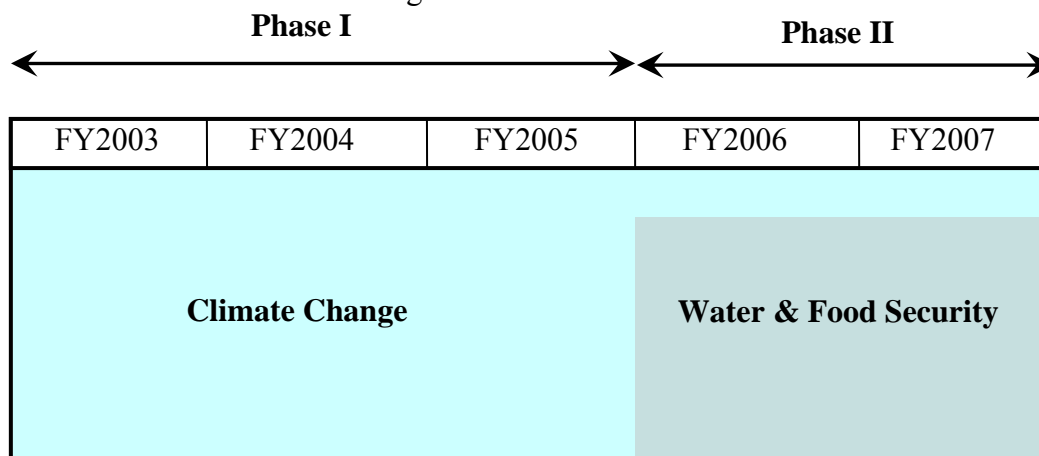
Scientific Capacity Building/Enhancement for Sustainable Development in Developing Countries - CAPaBLE - (IGM Endorsed Proposal)

Ministry of the Environment of Japan and Hyogo Prefecture
in collaboration with the APN Secretariat

1. Objectives of the Programme

The Ministry of the Environment of Japan and Hyogo Prefecture are proposing to launch a new Programme - Scientific Capacity Building/Enhancement for Sustainable Development - or 'CAPaBLE,' under the framework of the APN from FY2003. The objective of this new 5-year Programme is to develop and enhance scientific capacity in developing countries to improve their decision-making in the target areas related to climate change and water and food security that are directly linked to their sustainable development. In Phase I of this new Programme, i.e. from Japanese FY2003-2005 (and continued through Japanese FY2007) the focus will be on Climate Change. Water & Food Security will be a focus of Phase II of the Programme and is expected to be implemented through Japanese FY2006-2007. This document will focus mainly on Phase I implementation of the Programme. Phase II will be developed at a later stage during the Programme.

The basic timeframe of the Programme is outlined below:



The CAPaBLE Programme is a concrete regional initiative to realize parts 107 to 114 of the Plan of Implementation for the World Summit on Sustainable Development (WSSD), and has been registered as a WSSD Type II Partnership/Initiative. *Please refer to Appendix 1 (page 10) for a detailed description of Parts 107 through 114 of the Implementation Plan.*

Of particular relevance in the WSSD Plan of Implementation to the proposed Programme is part 111:

111. Establish regular channels between policy makers and the scientific community for requesting and receiving science and technology advice for the implementation of Agenda 21, and create and strengthen networks for science and education for sustainable development, at all levels, with the aim of sharing knowledge, experiences and best practices, and building scientific capacities, particularly in developing countries.

The objectives of **CAPaBLE** are expected to be achieved through a two-track approach, i.e.

- **Capacity building for young and/or aspiring scientists, and**
- **Capacity enhancement for experienced leading scientists.**

Proposed activities include:

Capacity Building

- Targeting specific countries
- Targeting specific topics
- Partnership activities with other networks, programmes, APN member & approved countries and other interested stakeholders
- Dissemination for policy-makers and civil society

Capacity Enhancement

- Comprehensive Research Activities planned and implemented by leading developing country scientists targeting specific topics

Programme End-Product

- An APN publication as an end-product (this may be in the form of an edited book that will bring together the activities and outcomes that resulted from this Programme).

The proposed Capacity Building activities could be designed by integrating with the current APN Networking and Capacity Building Programme so as to conduct these activities in a more strategic and efficient manner.

The final decision to launch this Programme will be subject to the approval of the Inter-governmental Meeting of the APN. The Steering Committee (SC), held on 9-10 December 2002, intensively considered the preliminary draft proposal, and strongly supported this initiative. The comments and suggestions by the SC have already been reflected in this elaborated proposal.

2. Expected Results

Expected results include:

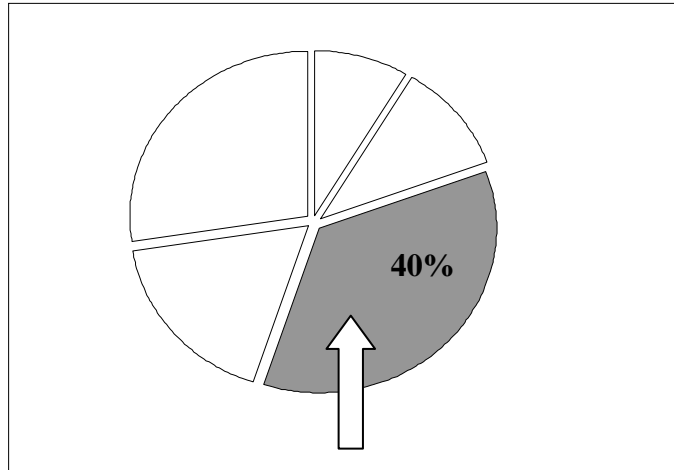
- Capacity enhancement of leading researchers in developing countries to produce comprehensive scientific information on climate change impacts, vulnerabilities, adaptation and mitigation opportunities which are made available for policy makers in developing countries and contribute to international scientific exercises such as the Fourth Assessment Report of the IPCC due in 2007.
- Capacity building of aspiring scientists through enhanced sharing of knowledge,

experience and scientific information on quality data collection and analysis, impacts, vulnerability, adaptation and mitigation to climate change within the Asia-Pacific region and between regions in the world.

- Improvement of informed decision-making in developing countries by disseminating the outcomes of the research activities to policy makers, and by enhancing collaboration between scientists and policy makers.

3. Review of Climate Change Research Activities by the APN

The highest priority goal of the APN is to “support regional cooperation in global change research on issues particularly relevant to the region.” In the APN Strategic Plan, one of the key activities to be conducted under this goal is the systematic identification of Key Scientific Priorities (KSPs) for the region. With this in mind, at the 5th APN Inter-Governmental Meeting in 2000, Climate Change & Variability was identified as one



of two KSPs (Human Dimensions of Global Change being the other). Climate Change and Variability has continued to be an APN KSP with statistics that confirm its relevance. For example, between 1998 - when APN first funded projects - and 2002/03, over one-third of APN funded projects have or have had a Climate Change & Variability theme. Indeed almost 40% of 2002/03 APN funded projects covered this theme. This leaves Climate Change & Variability with the most hits out of APN's five research themes.

Some recent successful climate-change projects are highlighted below:

98003, 99013, 2001-01, 2002-01

Indices and Indicators for Monitoring Trends of Climate Extremes

99012, 2001-12

The Network System for Monitoring and Predicting ENSO Event and Sea Temperature structure of the Warm Pool in the Western Pacific Ocean

2000-04, 2001-10

APN Workshop on Climate Variability and Trends in Oceania

2000-05, 2001-05, 2002-02

Regional Climate Model Intercomparison for Asia

2000-09 APN/SURVAS/LOICZ Joint Conference on Coastal Impacts of Climate and Adaptation

2000-11 Recent Sea-level Change and Coastal Management Implications in Oceania

2000-15 Policy Design of Climate Change Collaboration in Northern Asia: Possible Options and Constraints for Co-op. between Russia, Japan, China, Republic of Korea

4. Description of Expected Activities under the CAPaBLE Programme

In this Programme, scientific capacity building and capacity enhancement of developing countries will be achieved, in particular, through:

- Planning and implementation of selected comprehensive research projects by leading developing country scientists.
- Participation of developing country experts in inter-regional, regional, sub-regional and local workshops and other activities organized in collaboration with APN national Focal Points and other regional networks and programmes.
- Participation of policy makers in meetings/workshops/seminars for outreach of the outcomes.

In its first phase (Japanese FY2003-2005), all of the activities will focus on climate change (and climate change related issues) because it is considered as one of the biggest threats to sustainable development and APN activities have already created a sound research capacity on climate change enabling the proposed activities.

Descriptions of the above-mentioned activities are proposed in the following:

(a) Comprehensive Research Projects for Scientific Capacity Enhancement

¹This activity aims to produce scientifically excellent research outcomes that could be highly appreciated by international science communities and thus contribute to the development of the fourth assessment report of the IPCC and informed decision-making of the countries in the region. Planning and implementation of comprehensive research projects will offer opportunities for further enhancing scientific capacity of developing country leading scientists. The projects will last for 30 months, and will be planned and implemented primarily by developing country scientists with the assistance of experienced developed country scientists, as appropriate.

In support of the IPCC, the IPCC Third Assessment Report (TAR) clearly states that further research is required to strengthen future assessments and to reduce uncertainties in order to assure that sufficient information is available for policymaking about responses to possible consequences of climate change, including research in and by developing countries. TAR also suggests high priorities for further narrowing gaps between current knowledge and policy-making needs some of which are identified as specifically relevant to developing countries.

¹ Although contribution to the development of the IPCC AR4, which is due for completion in 2007, would be an integral part of the comprehensive projects of Phase I & II, priority will not only be given to research but will also be given to Partnerships and Capacity Building Activities as shown in sections 4(b) and 4(c).

Two research topics are proposed from the suggested research priorities in IPCC TAR, taking into account the needs of policy-makers and relevance to Asia-Pacific developing countries. The proposed topics are:

- I. Integrated assessment of climate change impacts, vulnerabilities and adaptation opportunities in vulnerable countries/areas such as the small island developing states, mountainous states and regions, and highly populated coastal areas with low-altitude*
- II. Integrated model development and analysis of the potential of mitigation options and sustainable development opportunities*

The first proposed topic is taken from the suggestions in the Summary for Policymakers of TAR WGII. These areas are considered extremely vulnerable and are already being affected by sea-level rise and melting of glaciers due to climate change. An integrated assessment of impacts, vulnerabilities and adaptation is highly expected to investigate interactions between components of natural and human systems and the consequences of different policy decisions.

The second proposed topic is taken from the suggestions in the Summary for Policymakers of TAR WGIII. Inclusion of sustainable development context in evaluating climate mitigation options is considered to be particularly important for developing countries. Research activities under this topic are highly expected to address this issue through a comprehensive study including the development of climate-socioeconomic integrated models, emissions and other data collection, and assessment of mitigation opportunities fully incorporating developing countries circumstances.

(b) Joint Activities with Networks, Global Change Programmes, Member & Approved Countries and Others for Scientific Capacity Building

This activity aims to provide researchers (in particular, young and/or aspiring scientists) with opportunities for scientific capacity building on climate change. An opportunity to develop joint initiatives will be explored by APN in collaboration with the APN Focal Points/SPG members/Liaison Officers and other regional research networks (such as IAI, ENRICH, MEDIAS, START) and the Global Change Science Programmes (DIVERSITAS, IGBP, IHDP, WCRP). All countries will benefit from the capacity building activities in the exchange of information and experiences as well as in seeking opportunities for joint research activities

The following preliminary proposal would be elaborated at the Programme Development Workshop to recommend concrete proposals of the capacity building activities and their selection procedure.

Mode of the capacity building activities may include, but not be limited to:

- (i) Regional Capacity Building Workshops/Seminars
- (ii) Partnership Activities with Other Regional Research Networks
- (iii) Country Capacity Building Activities (including capacity building/training workshops in local language).

Options for these activities might include:

(i) *Regional Capacity Building Workshops/Seminars*

- Programme Development Workshop to develop a framework of systematic capacity building activities (see Section 5)
- Research scoping regional workshops

(ii) *Partnership Activities with Other Regional Research Networks*

- Joint APN/IAI activities targeting issues relating to climate change and Pacific Small Island developing states
- Joint activities with other regional research networks targeting issues relating to climate change.

(iii) *Country Capacity Building Activities (including capacity building/training workshops in local language)*

- Training on quality data collection and analysis for improving national capacity in QA/QC of greenhouse gas emissions/removals measurements and inventory development
- Awareness raising symposia in SPG/IGM host countries between SPG and IGM meetings

These capacity building activities should be separated from the regular call for proposals. Besides the APN Secretariat, the APN national Focal Points, in consultation with SPG members and Liaison Officers, are eligible for proposing the capacity building activities. The APN Secretariat will invite proposals from the APN National Focal Points (in consultation with the SPG members and Liaison Officers) and fund selected activities according to the new criteria to be developed for these activities. APN Secretariat will also organise capacity building activities with other interested partners/stakeholders. Proponents are highly encouraged to provide contributions for their proposed activities including co-financing and in-kind support in order to maximize the benefit of APN funding and enhance the sense of ownership.

(c) *Synthesis and Dissemination Activities for Awareness Enhancement of Policy-makers and Civil Society*

The APN Secretariat will explore every opportunity to provide policy makers and civil society with the outcomes of relevant APN activities for improved informed decision making through bridging the APN scientific activities and policy making process. In this regard, existing fora in which Asia-Pacific policy makers are participating, such as the Pacific Islands Forum (PIF), the Environmental Congress for Asia and the Pacific (ECO ASIA), the Asia-Pacific Seminar on Climate Change, COP/SBSTA of UNFCCC, IPCC workshops, etc. should be used as a vehicle for this purpose at the maximum level. The APN Secretariat is encouraged to approach these fora to report the results of APN activities to policy-makers and other stakeholders.

5. Requirements and Inclusion Procedure for CAPaBLE Programme

The following proposed procedures and requirements are for the APN Secretariat and the Comprehensive Research Projects. Concrete procedures and requirements for the Capacity Building activities would be elaborated at the Programme Development Workshop.

- **Research activities under the CAPaBLE Programme should:**
 - ◇ Meet the description outlined in Section 4.

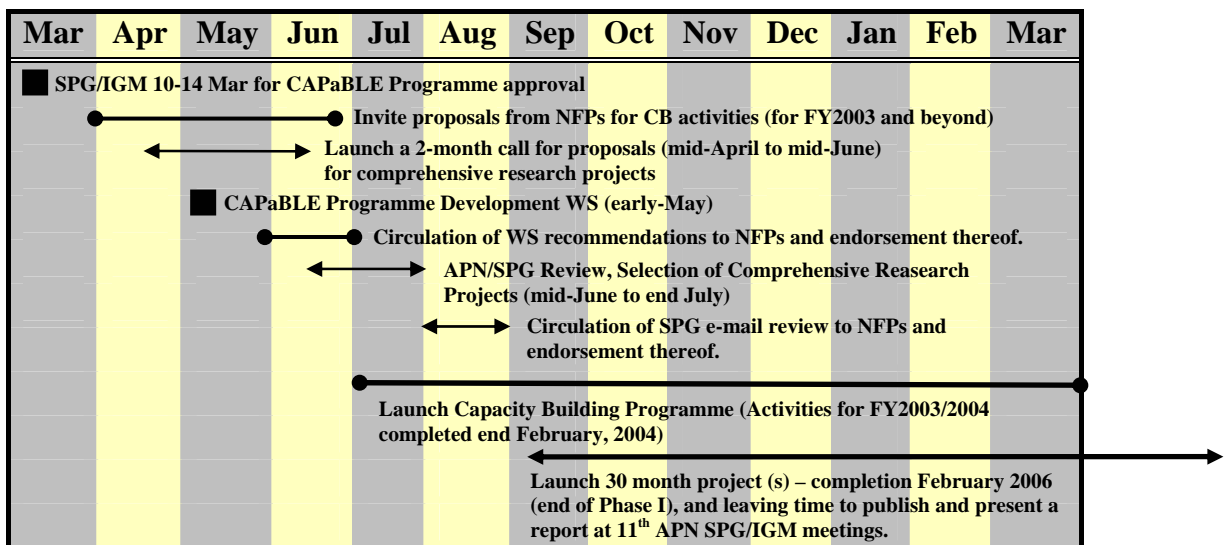
- **The APN Secretariat should:**
 - ◇ Launch, in FY2003 (mid-April), a 2-month call for comprehensive research project proposals (for the Capacity Enhancement element of CAPaBLE). The project description(s) and main criteria will be elaborated and agreed upon at the SPG/IGM meetings in March, 2003. The establishment of a “Programme Development Workshop” and its mandate should also be agreed at the SPG/IGM meetings.
 - ◇ Organize, in FY2003 (early-May), a “Programme Development (PD) Workshop” with the participation of interested member countries, SPG members and other partners (e.g. IAI, START, GC Programmes etc.), to recommend to the member countries the implementation mechanism of the Programme, and selection criteria for and prioritized options of joint capacity building activities under the Programme. The implementation mechanism of the capacity enhancement activities will also be discussed at the PD workshop.
 - ◇ Conduct, in FY2003 (mid-June/July), an SPG email review to select recommended comprehensive research projects to the member countries. One project from each research topic (e.g. two projects in total) will be selected within the budget available.
 - ◇ Circulate, in FY2003 (June) PD workshop recommendations to the member countries (national focal points) for seeking their endorsement.
 - ◇ Circulate, in FY2003 (August), the recommendations of the SPG email review to the member countries (national focal points) for seeking their endorsement.
 - ◇ Explore synthesis and dissemination opportunities to outreach the outcomes of the APN activities to policy makers and civil society.
 - ◇ Organize a climate change synthesis activity focused in the AP region with timing and focus of the synthesis being carefully considered according to the agenda of IPCC toward its Fourth Assessment report.
 - ◇ Seek opportunities to hold inter-regional joint capacity building workshops in collaboration with other regional research networks on specific topics such as climate change impacts and vulnerability.

- **The Comprehensive Research Projects should:**
 - ◇ Be reviewed and selected, through email review, by relevant SPG members and external experts as appropriate according to the project topics, selection criteria, and basic budget allocation agreed at the IGM in 2003, and established with the endorsement of the member countries.
 - ◇ Be only composed of leading developing country scientists from different countries (with the assistance of developed country scientists, as appropriate).

- ◇ Be led by developing country experienced scientists who meet at least one of the following criteria:
 - Contribution to the relevant IPCC reports and technical papers as Coordinating Lead Author (CLA) and/or Lead Author (LA), but preferably CLA;
 - Involvement in established international research programmes such as DIVERSITAS, IGBP, IHDP and WCRP, and;
 - Have experience in planning, implementing and coordinating international research projects in the relevant field.
- ◇ No duplication with currently implemented APN-funded projects
- ◇ Have, in their project proposal, a clear description of policy-relevant questions to be answered, organizational arrangements of the research team, and publication and dissemination plan in addition to the currently required components.
- ◇ Be coherent to the SPG/IGM, e.g. periodic reporting on progress to the SPG/IGM and seeking their guidance.
- ◇ Have clear vision and scientific components to contribute to the development of the Fourth Assessment Report of the IPCC and other policy relevant international scientific activities.
- ◇ Include awareness raising and capacity building as one of their research activities e.g. outcome dissemination for policy makers through seminars, peer-review journals and other publications, internet-websites, etc.

6. Main Timeline and Mandates of the SPG/IGM, Steering Committee and PD Workshop for the CAPaBLE Programme

The main timeline for the initiation of Phase I in the first year is shown below. The mandates of the 8th SPG/IGM Meetings, the Steering Committee, and the Programme Development Workshop are proposed in Appendix 2 (page 12).



KEY FOR TIMELINE ABOVE

- ←→ Capacity Enhancement Programme (Comprehensive Research Projects)
- Capacity Building Programme
- Fora for CAPaBLE Programme discussion and development

7. Programme Monitoring & Evaluation

- Current APN mechanism (i.e. IGM, SPG, SC) will basically be used to monitor and evaluate the implementation of the Programme. The APN may wish to develop an additional monitoring and evaluation mechanism, as appropriate.
- A Phase-II plan will be developed at the 10th SPG/IGM and thereafter, taking into account the performance of Phase-I activities.

8. Coordination and Implementation Mechanism

- Current APN mechanism (i.e. IGM, SPG, SC) will basically be used to coordinate and implement the Programme.
- Additional mechanisms (*such as the establishment of an external advisory group for the Comprehensive Research Projects, and a capacity building coordination opportunity which could be a continuation of the Programme Development Workshop*) may be developed at the Programme Development Workshop taking into account its characteristics that differ from current activities.
- In addition to the organized activities developed under this Programme, a mechanism should be created in which member countries could easily contribute including a co-funding mechanism. An example of such co-funding mechanism may include the provision of a subsidy (say 50%) with selected Country Capacity Building Activities (meaning remaining 50% is co-funded by the proponents).
- **If possible**, the additional administrative costs to manage this Programme should be kept to a minimum through the maximum utilization of existing APN mechanism and Secretariat resources.

9. Programme Budget

- The budget for the first year, i.e. from April 2003 to March 2004, is preliminarily pledged from the Ministry of the Environment of Japan and Hyogo Prefecture and is expected to be in the region of 60 Million Japanese Yen (US\$480,000).
 - (Note) 1. 1 US\$ = ca. 125 Japanese Yen
 - 2. Total contribution from MOEJ to the APN is expected to increase from 148.5M JY (US\$1.19M) in FY2002 to about 178.4M JY (US\$1.43M), in FY2003, while that from Hyogo Prefecture is expected to remain at the same level.
- As discussed at the Scientific Steering Committee Meeting, held in Malaysia, December 2002, previous APN Capacity Building activities (carried out through the Networking & Capacity Building Programme) can be linked with CAPaBLE for a more systematic development of APN Capacity Building activities. With this

in mind, a further 6M Japanese Yen (US\$48,000) will be available for the CAPaBLE Programme in FY2003.

- The Australian Greenhouse Office and Environment Australia has kindly committed to contributing AUS\$30,000 (US\$18,000) for this Programme.
- The government of New Zealand has kindly committed to contributing NZ\$10,000 (US\$6,100) for this Programme (announced at the 8th IGM by New Zealand FP).

The financial and in-kind commitments and contributions from other APN member (& approved) countries and other interested partners/stakeholders are also highly appreciated. Co-funding to the Country Capacity Building Activities might be a good entry for such contributions.

Appendix 1

Parts 107-114 of the Plan of Implementation for WSSD

107. Assist developing countries in building capacity to access a larger share of multilateral and global research and development programmes. In this regard, strengthen and, where appropriate, create centres for sustainable development in developing countries.

108. Build greater capacity in science and technology for sustainable development, with action to improve collaboration and partnerships on research and development and their widespread application among research institutions, universities, the private sector, governments, NGOs and networks, as well as between and among scientists and academics of developing and developed countries, and in this regard encourage networking with and between centres of scientific excellence in developing countries.

109. Improve policy and decision-making at all levels through, inter alia, improved collaboration between natural and social scientists, and between scientists and policy makers, including through urgent actions at all levels to:

- (a) Increase the use of scientific knowledge and technology, and increase the beneficial use of local and indigenous knowledge in a manner respectful of the holders of that knowledge and consistent with national law;
- (b) Make greater use of integrated scientific assessments, risk assessments and interdisciplinary and intersectoral approaches;
- (c) Continue to support and collaborate with international scientific assessments supporting decision-making, including the Intergovernmental Panel on Climate Change, with the broad participation of developing country experts;
- (d) Assist developing countries in developing and implementing science and technology policies;
- (e) Establish partnerships between scientific, public and private institutions, and by integrating scientists' advice into decision-making bodies in order to ensure a greater role for science, technology development and engineering sectors;
- (f) Promote and improve science-based decision-making and reaffirm the precautionary approach as set out in principle 15 of the Rio Declaration on Environment and Development, which states: "In order to protect the environment, the precautionary approach shall be widely applied by States according to their capabilities. Where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation."

110. Assist developing countries, through international cooperation, in enhancing their capacity in their efforts to address issues pertaining to environmental protection

including in their formulation and implementation of policies for environmental management and protection, including through urgent actions at all levels to:

- (a) Improve their use of science and technology for environmental monitoring, assessment models, accurate databases and integrated information systems;
- (b) Promote and, where appropriate, improve their use of satellite technologies for quality data collection, verification and updating, and further improvement of aerial and ground-based observations, in support of their efforts to collect quality, accurate, long-term, consistent and reliable data;
- (c) Set up and, where appropriate, further develop national statistical services capable of providing sound data on science education and research and development activities that are necessary for effective science and technology policy-making.

111. Establish regular channels between policy makers and the scientific community for requesting and receiving science and technology advice for the implementation of Agenda 21, and create and strengthen networks for science and education for sustainable development, at all levels, with the aim of sharing knowledge, experience and best practices and building scientific capacities, particularly in developing countries.

112. Use information and communication technologies, where appropriate, as tools to increase the frequency of communication and the sharing of experience and knowledge, and to improve the quality of and access to information and communications technology in all countries, building on the work facilitated by the United Nations Information and Communications Technology Task Force and the efforts of other relevant international and regional forums.

113. Support publicly funded research and development entities to engage in strategic alliances for the purpose of enhancing research and development to achieve cleaner production and product technologies, through, inter alia, the mobilization from all sources of adequate financial and technical resources, including new and additional resources, and encourage the transfer and diffusion of those technologies, in particular to developing countries.

114. Examine issues of global public interest through open, transparent and inclusive workshops to promote a better public understanding of such questions.

Appendix 2

SPG/IGM Meeting and PD Workshop Mandates

SPG/IGM Mandate

- Endorse the Programme Objectives, Components and Main Timeline for Phase I
- Endorse the Research Topics of the Comprehensive Research Projects
- Endorse main Selection Criteria for the Comprehensive Research Projects and main mechanisms for implementation
- Endorse the Basic Budget Allocation for Year 1 (amount of funding for comprehensive research projects, joint capacity building activities such as workshops/seminars etc., and Secretariat costs)
- Endorse the Programme Development Workshop and its mandate
- Discuss a co-funding mechanism

Steering Committee Mandate

- Establish a “Call for Proposals” for the Comprehensive Research Projects (CRPs) based on the criteria set in the CAPaBLE proposal.
- According to the criteria set in the CAPaBLE proposal, the steering committee should:
 - Establish a formal review process;
 - Select suitable SPG and external reviewers, as appropriate;
 - Establish guidelines for the reviewer.

Programme Development Workshop Mandate (2-3 days)

- Develop and recommend a Programme Mechanism for implementation of all activities (*See Sections 4(a), 4(b) and 4(c)*) that would include selection criteria for *Sections 4(b) and 4 (c)***, review, coordination and monitoring processes, financial guidelines (current APN financial guidelines could be used) etc.
- Elaborate and recommend priority joint capacity building activities and their selection procedure
- Develop and recommend Full Timeline for Phase I
- Develop and recommend co-funding mechanism(s)

** Main selection criteria for 4(a) will be a mandate for the IGM

Based on these recommendations, endorsement by member countries will be sought by mail

Appendix 3

SPG Recommendations for the CAPaBLE Programme

The SPG considered the “Scientific Capacity Building/Enhancement for Sustainable Development in Developing Countries” (CAPaBLE) Programme an excellent opportunity that is compatible with APN objectives and could facilitate APN’s approach to capacity enhancement and capacity building in a more systematic manner. The SPG congratulated the Ministry of the Environment of Japan on this exciting proposal.

The SPG noted that an element of flexibility and dynamism in the system will be required because of the newness of the programme and, although the current APN mechanism will be used to implement this programme, revisions must be made to these guidelines to accommodate both the objectives of APN and the objectives of CAPaBLE. It was also suggested that consideration be given to funding relevant infrastructure that may be required to undertake funded activities. Furthermore, the SPG recommended that the Scientific Steering Committee develop a streamlined “Call for Proposals” for the Comprehensive Research Projects. When doing so, the Steering Committee should also streamline the review process, the selection of reviewers and the guidelines for those reviewers involved in the review process, as appropriate.

The SPG highlighted the importance of support from developed country experts in aiding the activities in the developing country-led projects, as appropriate. The SPG recommended that the CAPaBLE Programme become an integral activity of APN.

Workshop Report: Appendix II

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Agenda

Monday 12th May

CHAIR: Dr. Andrew Matthews

- 9:00** **Welcome Address by APN Director** *Sombo Yamamura*
- 9:10** **CAPaBLE Programme Overview** *Linda Stevenson*
- 9:25** **CAPaBLE (IGM-endorsed) Proposal** *General Review & Discussion*
- Distinction between CRPs and CB activities.
 - CRPs – the review process; suggestions from participants (to be taken into consideration at closed SC session).
 - CB activities – discussions on similar, successful programmes.
 - Evaluation after 3-5 years; benchmark for evaluation
 - Overview of PDW mandate.

- 10:45** **PDW Mandate**
- **(as taken from the IGM-endorsed proposal)**
 1. Develop and recommend a Programme Mechanism for Implementation of all activities under the CAPaBLE IGM-endorsed proposal (*sections 4(a), 4(b) and 4(c)*) that would include:
 - selection criteria for *Sections 4(b) and 4 (c)*;
 - review, coordination, monitoring and evaluation processes for 4(a), 4(b), 4(c);
 - financial guidelines etc.
 2. Elaborate and recommend priority joint capacity building activities and their selection procedure.
 3. Develop and recommend a Full Timeline for Phase I.
 4. Develop and recommend Co-funding mechanism(s).
 - **(Additionalopen for discussion with participants)**

- 11:30** **Workshop Strategy to develop CAPaBLE for Systematic Capacity Building and Capacity Enhancement in Phase I**
Discuss a workshop strategy for the next 2 days. Forms 2 Working Groups based on mandates and the morning's discussions and consider specific tasks for these working groups.

- 13:30** **Breakout Working Groups - Session I (to be elaborated)**

- 15:45** **Breakout Working Groups – Session II (to be elaborated)**

17:00 **WG Summary Preparations**

17:30 **WG Presentations by Group Leaders (15 minutes each)**

Tuesday 13th May

CHAIR: Dr. Andrew Matthews

08:45 **Panel Discussion on WG Summaries**

09:30 **Finalise CAPaBLE Programme for Phase I for APN member endorsement**

Timeline, mechanism for coordination & implementation, monitoring & evaluation, activities under CAPaBLE and their selection, review, coordination, monitoring and evaluation.

10:35 **Proposed Capacity Building Activities for 2003/2004 and beyond**

Presentations of proposals received to date

- 10:35 APN Secretariat (Sombo Yamamura)
- 10:45 Japan (Hiroshi Ono)
- 10:55 NZ/USA - (Andrew Matthews)
- 11:05 Fiji (Kanyathu Koshy)
- 11:15 Thailand - 2002-38 proposal (Linda Stevenson)
- 11:25 IAI-APN (presenter TBA)

11:35 session **Open discussion on proposed CB activities, next-steps and wrap-up**

(Chair – Andrew Matthews)

12:25 **Closing Remarks** (APN Director – Sombo Yamamura)

14:00 **Closed Session for APN Steering Committee:**

Review Criteria and Reviewer Selection for CAPaBLE CRP “Call for Proposals” taking into consideration comments from PDW workshop.

Participants

- Andrew Matthews
- Amir Muhammed
- Linda Stevenson
- Invited experts

Workshop Report: Appendix III

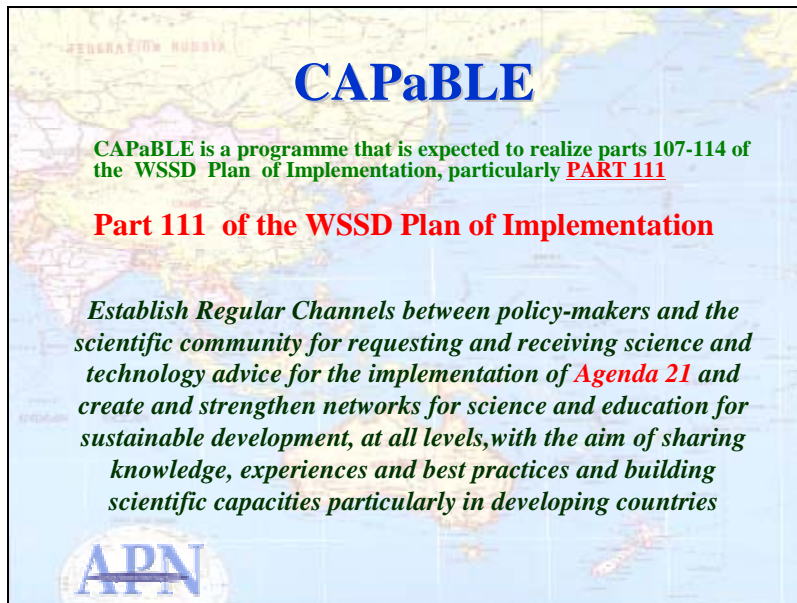
Slide 1



Slide 2



Slide 3




CAPaBLE

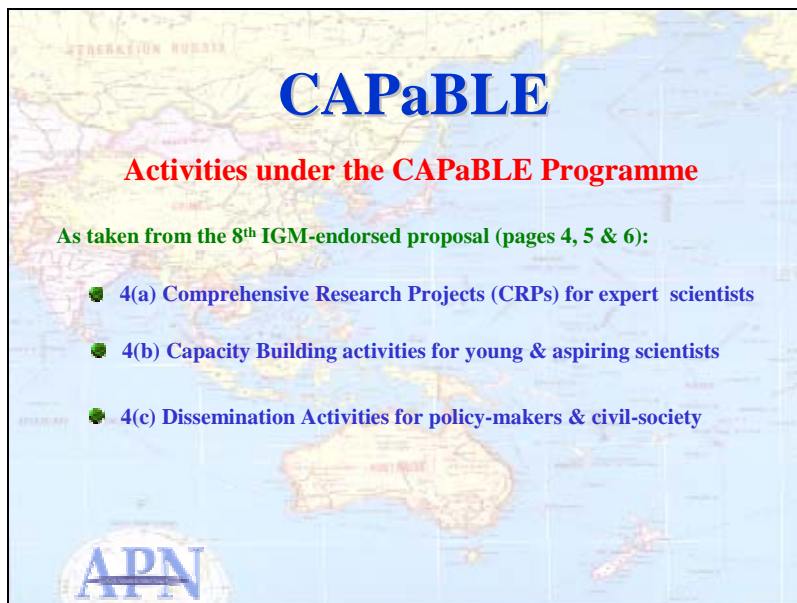
CAPaBLE is a programme that is expected to realize parts 107-114 of the WSSD Plan of Implementation, particularly **PART 111**

Part 111 of the WSSD Plan of Implementation

*Establish Regular Channels between policy-makers and the scientific community for requesting and receiving science and technology advice for the implementation of **Agenda 21** and create and strengthen networks for science and education for sustainable development, at all levels, with the aim of sharing knowledge, experiences and best practices and building scientific capacities particularly in developing countries*



Slide 4




CAPaBLE

Activities under the CAPaBLE Programme

As taken from the 8th IGM-endorsed proposal (pages 4, 5 & 6):

- 4(a) Comprehensive Research Projects (CRPs) for expert scientists
- 4(b) Capacity Building activities for young & aspiring scientists
- 4(c) Dissemination Activities for policy-makers & civil-society



Slide 7



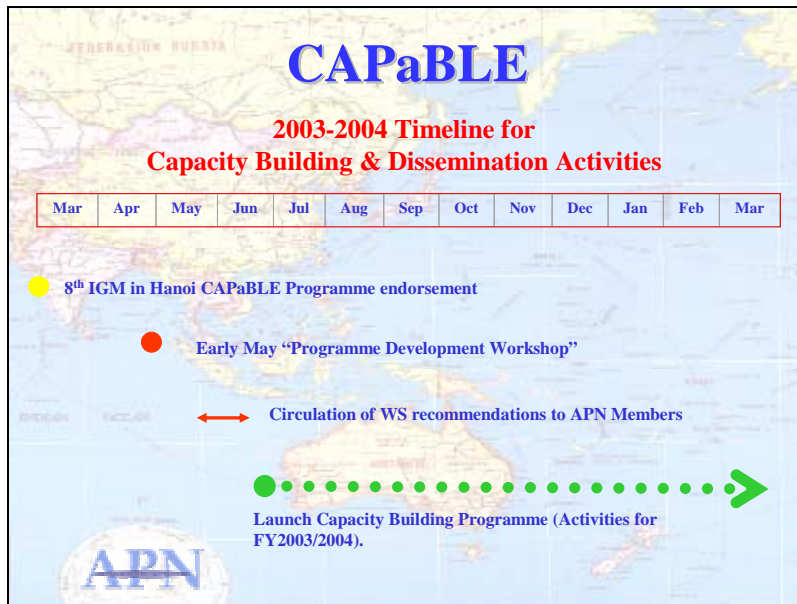
CAPaBLE

4b/4c Capacity Building & Dissemination Activities

- Regional Capacity Building Workshops and Seminars
- Partnership activities with other regional global change research programmes and networks
- Country capacity building activities that would include capacity building/training workshops in local language
- Dissemination activities to policy-makers and civil society

APN member countries (nFPs) and other organisations in collaboration with the Secretariat may propose activities

Slide 8



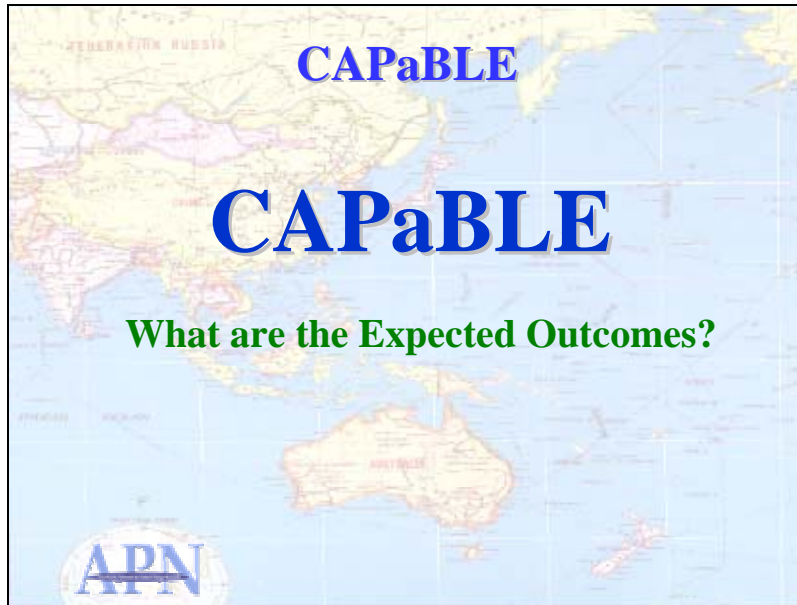
CAPaBLE

2003-2004 Timeline for Capacity Building & Dissemination Activities

Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
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- 8th IGM in Hanoi CAPaBLE Programme endorsement
- Early May "Programme Development Workshop"
- ↔ Circulation of WS recommendations to APN Members
- Launch Capacity Building Programme (Activities for FY2003/2004).

Slide 9

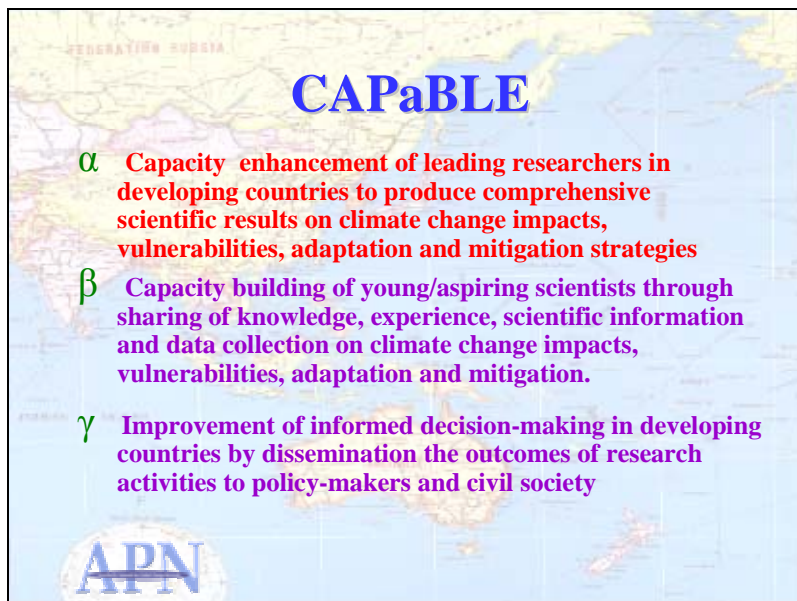


CAPaBLE

CAPaBLE

What are the Expected Outcomes?

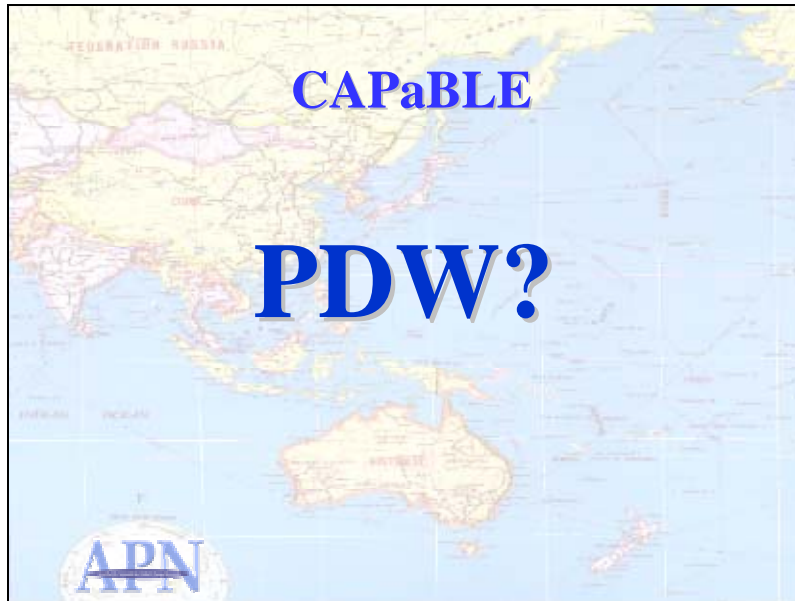
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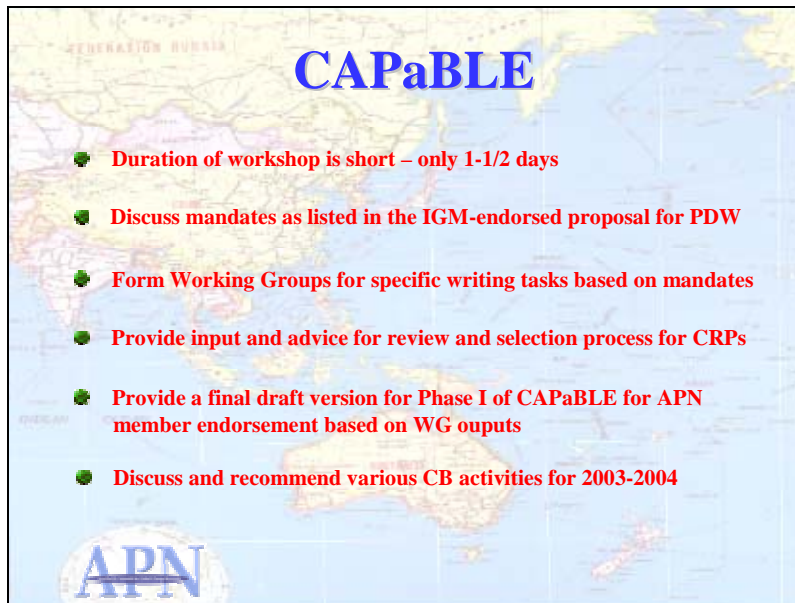
CAPaBLE

- α Capacity enhancement of leading researchers in developing countries to produce comprehensive scientific results on climate change impacts, vulnerabilities, adaptation and mitigation strategies**
- β Capacity building of young/aspiring scientists through sharing of knowledge, experience, scientific information and data collection on climate change impacts, vulnerabilities, adaptation and mitigation.**
- γ Improvement of informed decision-making in developing countries by dissemination the outcomes of research activities to policy-makers and civil society**

Slide
11



Slide
12



SCIENCE

Primary and Secondary Education

Tertiary Education

Research Institutions

Infrastructure/equipment

Networks global partnerships

Policy/national priority relevance

INSTITUTIONAL

Bricks and mortar
–Schools
–Universities
–Institutions

Cultural
–Understanding of pluralistic contribution of science
–Commitment to scientific/technological literate society
–Education with science/technology

Governance
–Science/technology portfolio in government
–Application of science in decision making

SCIENCE/ POLICY INTERFACE

•Mode II Science
•Multi-sectoral decision making process

Workshop Report: Appendix V

Workshop Session Photographs



Above: Participants at the Opening Session



Above: Participants during the Working Group Sessions

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