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IHB File CBC-1

2 December 2008

To: All Chairmen of Regional Hydrographic Commissions  
(Distribution List on p.2)

Dear Hydrographers,

1. Capacity Building Committee Procedures.

The IHO Capacity Building Committee has been working since 2003 to provide support and partial funding to projects submitted by the IHO Regional Hydrographic Commissions which, once they have been endorsed by the Committee at its annual meeting, are included in the IHO Annual Work Programme.

The effectiveness of this important function of the Committee is highly dependent on the RHC's analysis and prioritization of capacity building needs in their areas. The whole process benefits from a good liaison between the CBC and the RHCs and thorough discussions on Capacity Building at their meetings. The CBC expects proposals for Capacity Building assistance to have been assessed critically by the RHC.

The CB Committee has agreed that it is essential to establish procedures to assess the requests for CBC support at different stages, involving the Regional Hydrographic Commissions, the IHB and the CBC. These procedures are :

- PROC 1 "Procedure and model for submitting a request for support to the CBC".
- PROC 2 "Procedure to be followed by RHCs before submitting requests for support to the CBC"
- PROC 3 "Review process to be followed by the IHB, prior to including the request in the Draft Management Plan".
- PROC 4 "CBC evaluation procedure of submissions made by RHCs".
- PROC 5 "Procedure for performance assessment". This includes the study and development of the existing Tables of Performance Indicators discussed.

The text of the first two procedures has already been approved by the CBC, while work continues with the other three procedures. PROC1 and PROC2 can therefore be consulted at the CBC page under "Committees and Commissions" on the IHO Web site and applied by the IHO Regional Hydrographic Commissions. The text is herewith included. The three remaining procedures are being finalized by the CBC members and are under "Miscellaneous - Working Documents" on the same web page.

An important part of Procedure 5 under development is the form to be used to report after having finalized each implemented project. It is expected that Project Leaders will complete this report and submit it to the CBC - via the IHB - and the relevant RHC Chairman, detailing information, conclusions and recommendations of value to assess its achievement and improve CB management.

Chairmen of the IHO RHC are kindly requested to provide comments to the CBC Chairman on the procedures approved by **1<sup>st</sup> March 2009** and to **consider the application of PROC1 and PROC2 when submitting any proposal to the CBC.**

2. Amendments and modifications to the CBC Work Programme 2009 and preparation of the CBC Work Programme 2010.

The CB Work Programme for 2009 is contained in Programme 2 in the IHO WP approved by Member States, the final text of which was circulated with CL97/2008, dated 25 November 2008. All projects confirmed/approved by the CBC were also communicated in advance to all relevant RHC Chairmen with letters dated 25 and 26 June 2008. In some cases clarification and/or amplification of the projects submitted were requested.

Chairmen of the IHO RHC are kindly reminded that any proposal to change or modify CBWP 2009, clarification/amplification requested in June 2008 and details of projects to be considered in the CBWP 2010 **should be sent to the Chairman of the CBC by 1<sup>st</sup> April 2009, following PRO 1 and PRO 2.**

Yours sincerely,



Captain Hugo GORZIGLIA  
CBC Chairman

Distribution List:

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# CAPACITY BUILDING COMMITTEE

## PROCEDURE 1

<p style="text-align: center;"><b>PROCEDURE AND MODEL</b> <b><u>FOR SUBMITTING REQUEST OF SUPPORT TO THE CBC</u></b></p>
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**PROCEDURE 1** has been established by the CBC to facilitate both the submission and evaluation procedures, aiming at allocating the available limited resources in the most effective and efficient way, privileging those activities that in the general IHO concert will comply most with the Mission and Objectives of the IHO.

### **Explanation:**

**Part 1** of this document contains the **standardized procedure** that must be followed for all proposals requesting support from the CBC.

**Part 2** of this document provides the **submission model** to be used when applying for support from the CBC.

<p style="text-align: center;"><b>PART 1</b> <b>STANDARDIZED PROCEDURE</b></p>
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Any country, or group of countries, deciding to develop a project who feels that support is required from other sources should ideally discuss its needs within the RHC in which it participates, aiming at finding a solution within the region.

If a regional solution cannot be found, the corresponding RHC might decide to request support from the CBC, but before doing so, the RHC shall assess the demand, evaluate its details and finally identify its priority at the RHC level. In case a RHC submits more than one proposal, it should indicate the relative priority in respect to other submitted projects. The RHC shall have a prioritized register of all demands for support (management plan) submitted to the CBC for consideration and keep a monitoring system to follow progress.

If a country due to exceptional circumstances (to be explained in the demand) submits a request for support directly to the CBC, such a request shall be examined by the CBC that might decide to:

- a) return it to the country requesting more information and/or clarifications and to re-submit it to the CBC.
- b) return it to the country requesting that the submission be presented through the RHC to find a regional solution or to have it submitted by the RHC after their internal analysis.
- c) provide the support requested (totally/partially) through the CBFund following the priorities assigned by the CBC.
- d) provide possible alternatives to find a viable solution.

Another important condition that countries and RHCs seeking resources from the CBFund must bear in mind is that the Capacity Building Fund is to be used in the following four main streams:

### **Technical Assistance**

**Concept:** These funds will support technical visits to Member States to assess hydrographic surveying, nautical charting and nautical information status; provide guidelines for the development of local hydrographic capabilities and/or to discuss and advise on technical matters pertaining to hydrographic projects. The technical visits to Non Member States are also considered under this concept. In brief, the resources under this topic are to be used to implement visits and related capacity building activities **consistent with the IHO Work Programme**.

### Training and Education

*Concept:* These funds will support the implementation of hydrographic, nautical cartography and other related training and education initiatives **consistent with the IHO Work Programme.**

### Financial Assistance

*Concept:* These funds will support Member States' representatives to attend courses and/or technical meetings as necessary in the interest of the Organization, **consistent with the IHO Work Programme.**

### Start-up Projects

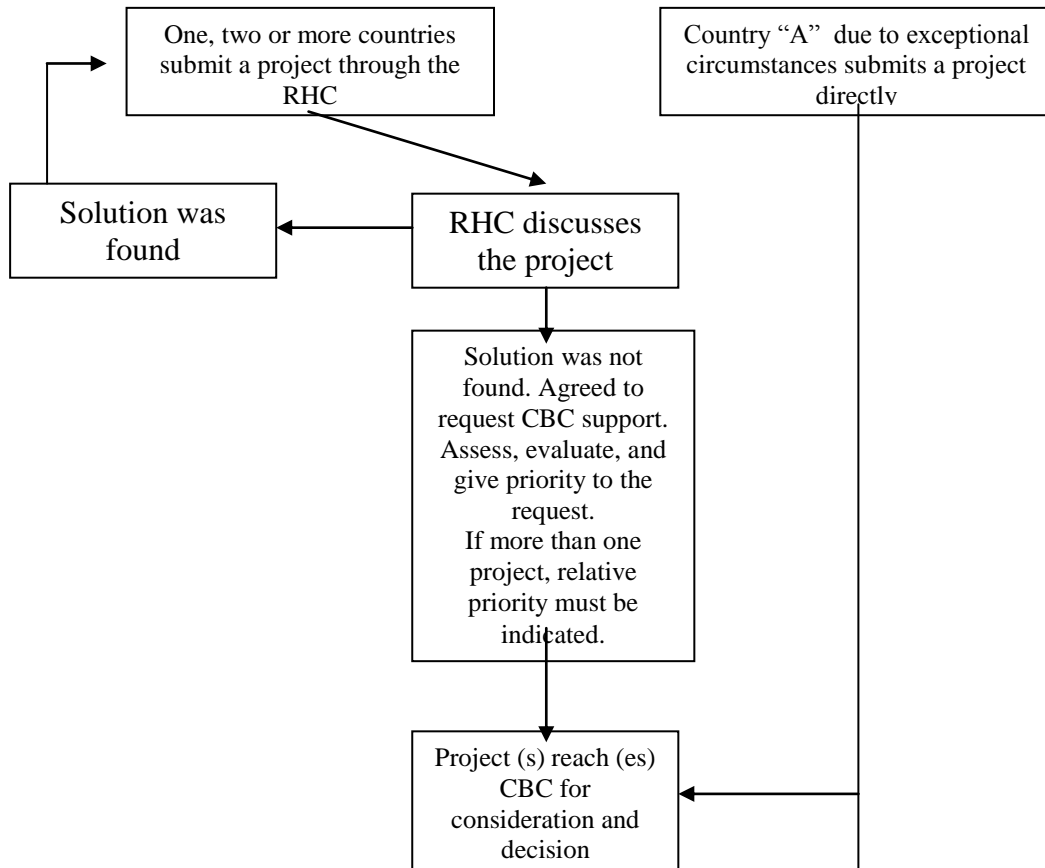
*Concept:* These funds will support the very first steps of the implementation of high priority hydro-cartographic projects **consistent with the IHO objectives.**

The CB FUND does not fund the purchase of any sort of goods, as for example instruments, equipment, hardware, software, etc. Also the CB Fund does not fund long term courses or the attendance at administrative meetings, as for example IH Conferences, RHC Meetings, CBC Meetings or similar. Therefore, submissions **must** not request support from the CBFund to fund activities as indicated (or equivalent).

Finally, irrespective of the origin of a submission, the structure and content must contain all the information detailed in Part 2 "Submission Model". Requests are to be submitted to reach the CBC by 01 April for the inclusion in the CBWP of the following year.

Ref.: a) IHO A.R. R 6.3 Uses of the Capacity Building Fund  
b) IHO Capacity Building Strategy

# FLOW CHART



PART 2 SUBMISSION MODEL

**IDENTIFICATION**

**Project Number :** (to be filled by CBC)

<b>Project Name:</b>	
<b>Submitting RHC/ (priority):</b>	
<b>Date of Submission:</b>	
<b>Institution executing the project:</b>	
<b>Name of responsible:</b>	
<b>Address:</b>	
<b>Telephone:</b>	
<b>Fax:</b>	
<b>e-mail:</b>	

**GENERAL SPECIFICATIONS**

(Please provide detailed information in Annex of no more than three pages)

<b>Background information</b>	
<b>Justification of the project</b>	
<b>Countries involved</b>	
<b>Explanation of the problem</b>	
<b>General objective</b>	
<b>Specific objectives</b>	
<b>Outputs/Products</b>	
<b>Other deliverables</b>	
<b>Achievements and awaited benefits</b>	
<b>Schedule of activities</b>	
<b>Past and/or current related projects supported by CBC or other sources</b>	

**RESOURCES**

<b>Contribution by countries involved</b>	
<b>Contribution from other sources</b>	
<b>Contribution requested from CBCFund</b>	
<b>Total Cost (euros)</b>	
<b>Breakdown of costs</b>	
<b>a) From CBCFund (item and amount)</b>	
<b>b) From other parties (item and amount)</b>	

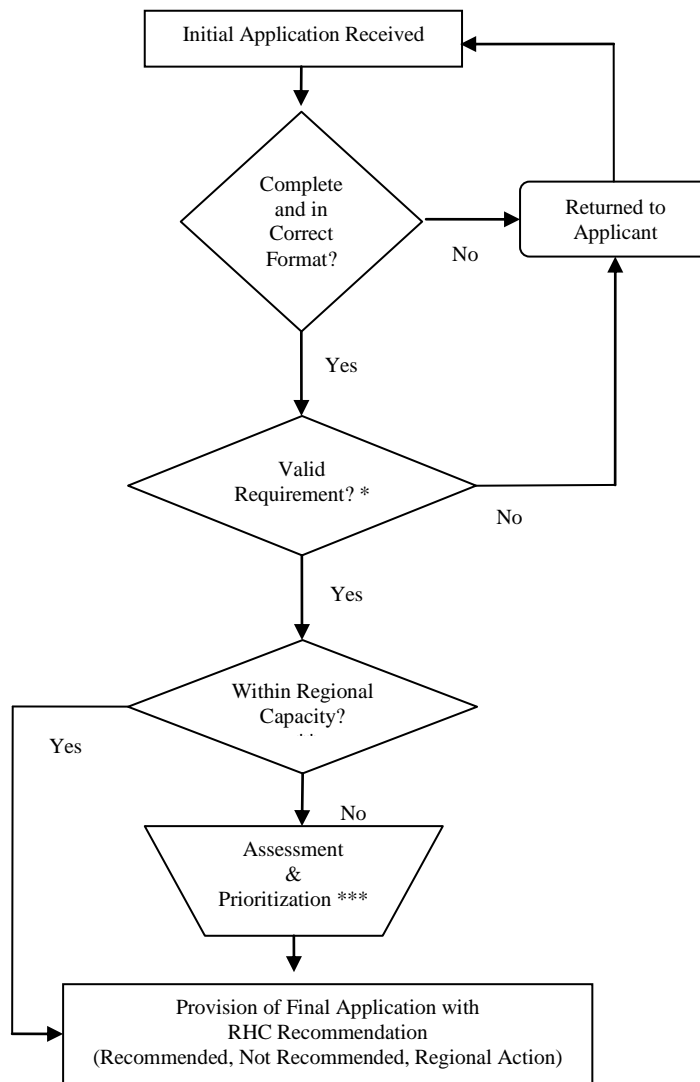
**PROJECT SUMMARY**

Sponsor RHC	Year of Execution	Country/Countries involved	Priority/Status	Project Name	Project Objective	Benefits	Assistance required	Cost	Allocation and Priority (to be filled by CBC)	Contact Person

Name and Signature of the RHC Chairman .....

## PROCEDURE 2

### PROCEDURE TO BE FOLLOWED BY RHCs BEFORE SUBMITTING REQUESTS FOR SUPPORT TO THE CBC



#### NOTES:

\* Validate the requirement based on its applicability to IHO work program, logical progression of capacity building for the recipient, worthwhile return on investment, etc. Requirements should fall into one of the four categories listed in Procedure 1:

- Technical Assistance
- Training & Education
- Financial Assistance
- Start-up Projects.



Consider the status of the country with respect to current capability and progression of training. For example, a request for ENC production training from a country with no hydrographic capability should be returned to the applicant for reconsideration.

\*\* Are there opportunities within the region (or from other HOs) to provide for the requirement? Make every effort to handle requests locally and only forward those requests that are beyond the capability/capacity of regional partners.

\*\*\* Assess the request from a regional perspective and assign a relative priority to each project being submitted. RHCs that submit several projects must rank them in priority in order to assist the CBC in making financial decisions. The method of prioritization is left to the RHC to decide, but should emphasize the tenants of the Capacity Building Strategy.