

Project Fiche Template

Fiche overview

Step 1. Fill in the table below

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| Title | “Capacity-building for cooperation on dam safety in Central Asia”, phase 3 |
| Number/code | |
| Beneficiary region | Central Asia |
| Beneficiary country | Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan |
| <p>Focus 1.</p> <p>Natural Resources management for improved economic, social and physical security in Central Asia.</p> | <p>Project Objective</p> <p>To build trust between participating countries and promote economic, social and physical security by regional cooperation on dam safety.</p> <p>Project directions include</p> <ol style="list-style-type: none"> 1. Legislations and institutions at the national level: Improvement, implementation and enforcement of national legislation, institutional strengthening 2. Training on the safe operation of hydrotechnical installations: Capacity building of officials and experts as well as of support to development of national training programmes. 3. Regional cooperation: Support to development of harmonised technical documentation, exchange of relevant data and information, early warning systems to ensure preparedness in the case of increased risks for accidents and others. 4. Safer operations of individual dams: Support to bilateral cooperation to ensure the safety of individual dams or dam systems on transboundary rivers. |
| <p>Products: (indicate: assessment, capacity building, awareness, clean up. Indicate clearly if more than one)</p> | <ol style="list-style-type: none"> 1. Improved national legislation and strengthened institutions responsible for the safety of hydro technical installations. 2. Improved capacity of national experts and officials on the safety of hydrotechnical installations that would contribute to: <ol style="list-style-type: none"> i. High quality of national training programmes ii. The further development and implementation of national legislation and |

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| | <p>technical norms</p> <p>iii. The safe operation of individual dams</p> <p>3. Improved regional cooperation.</p> <p>4. Increased safety of individual dams and development of confidence for active cooperation on such dams between neighbouring countries in transboundary river basins.</p> <p>The concern for dam safety was highlighted in the recent ENVSEC Assessment “Environment and Security in the AmuDarya River Basin”</p> |
| ENVSEC Partner organisation | UNECE in cooperation with UNDP and OSCE. The UNDP and OSCE involvement will mainly be in connection with Output 4. |
| Environment and security risks that the project will address (list in bullet points) | The proposed project is of great value to foster cooperation between all five countries in the water sector in spite of the very difficult political relations between some of the countries. |
| Implementing organisation | UNECE as leading agency in cooperation with UNDP and OSCE |
| Regional desk officer’s name, e-mail, telephone, address | <p>Milada Bielekova</p> <p>Regional desk officer, UNDP Bratislava Regional Center</p> <p>+421 2 59337 311 milada.bielekova</p> <p>milada.sladkova@undp.org</p> |
| Project /Activity Manager name, address, e-mail and telephone at implementing organisation | <p>Bo Libert, Regional Adviser on Environment</p> <p>Environment Division</p> <p>UN Economic Commission for Europe</p> <p>Palais des Nations</p> <p>CH-1211 Geneva 10</p> <p>Telephone: 0041-22-917 23 96</p> <p>Telefax: 0041-22-917 06 21</p> <p>bo.libert@unece.org</p> |
| | |
| Local partner | <p>The Executive Committee of the International Fund for the Saving of the Aral Sea (EC-IFAS) is an indispensable partner with the necessary mandate needed for project implementation.</p> <p>National institutions in CA countries responsible for the safety of hydro technical installations – Main partners are:</p> <ul style="list-style-type: none"> • Committee for water resource, Ministry of Agriculture, Kazakhstan • State Committee for Water Management and Melioration, Kyrgyzstan • Ministry of Melioration and Water Resources, Tajikistan • Ministry of Melioration and Water Resources, |

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| | <p>Turkmenistan</p> <ul style="list-style-type: none"> Water Control Facilities Committee “Gozvodhoznadzor”, Uzbekistan |
| <p>Local partner’s role (coordination, execution, financial support, institutional) choose more than one if it applies</p> | <p>EC-IFAS: Coordination on the regional level, political support National partners: Coordination on the national level, political support, Execution of national activities, Financial support – co-funding of national activities</p> |
| <p>Project duration (dd/mm/yy) and end date (dd/mm/yy)</p> | <p>1 June 2011 to 31 December 2014</p> |
| <p>Total budget in USD</p> | <p>850,000 USD</p> |
| <p>ENVSEC Source of funding</p> | <p>Finnish funds with co-funding from Russia, Slovakia and others. Negotiations on-going.</p> |
| <p>Other sources of funding</p> | <p>Russian Federation (TBC) about 100,000 USD and other interested partners such as Slovakia with expertise. Dialogue with potential partners is on-going.</p> |
| <p>Previous projects</p> | <p>The first phase of the project (funded by Finland 60,000 EURO) resulted in: (a) a model national law on safety of large hydraulic facilities, including dams, intended as a basis for national harmonized legal frameworks: and (b) a draft regional agreement on cooperation on dam safety, which stipulates, inter alia, the exchange of information and notification of other countries in case of dams accidents. In the second phase (also funded by Finland, 300,000 EURO), all the Central Asian countries are improving or revising existing legal provisions and institutional modalities for dam safety. Subregional cooperation on dam safety is being developed, by negotiating a regional cooperation agreement, organising joint training courses and drafting harmonised technical-normative documents.</p> <p>In the conclusion of the previous project as well as in the development of the Aral Sea Basin Programme 3 (ASBP 3), the need for continued work in this area is also stressed by all countries in the region and ENVSEC Partners were requested to respond to this need.</p> |
| <p>Fiche Submitted to Secretariat by Regional Desk Officer Date/dd/mm/yy</p> | <p>Bo Libert 29 April 2011</p> |
| <p>Fiche Cleared by ENVSEC Senior programme Manager Date/mm/yy</p> | <p>06 May 2011</p> |

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| <p>Step 1.</p> | <p>Provide a paragraph on the rationale and description of the environment and security risks that the project will address. Elaborate briefly on the main environment and security risks listed in the first page of the fiche. Provide a paragraph with focus on an assessment of environmental security situation.</p> <p>In Central Asia, ageing dams and lack of funding for their adequate maintenance represent a risk to economic, social and physical security by posing a threat to lives, health, property and environment. In March 2010, the failure of the Kyzyl-Agash Dam in Kazakhstan caused the flooding of the nearby village, killing at least 43 and leaving some 300 people injured.</p> <p>The safe exploitation of the ageing water infrastructure in Central Asia, in particular the hundreds of dams and reservoirs built 40 to 50 years ago, is crucial for the future of these countries. Dams and reservoirs are of major importance for the economy and future development of the subregion — they ensure drinking water supply by contributing to seasonal and long-term regulation of river flows; and they provide a reliable source of water for irrigation, industrial water uses, and hydropower.</p> <p>In an ENVSEC project funded by Finland that concludes in June 2011 considerable progress has been achieved. Examples are a draft subregional agreement; the development of relevant national legislation or its further enhancement in Kazakhstan, Tajikistan and Uzbekistan; the drafting of model technical regulations adapted to all the countries in the subregion; the initiation of inter-State cooperation to increase safety on individual dams; improved cooperation at the national level between agencies with responsibilities for dam safety; and an increased capacity to deal with and awareness about dam safety issues among the relevant actors in the subregion owing to a number of UNECE-organized trainings. Moreover, it can be noted that other international organizations and donors had increased their efforts to ensure dam safety in Central Asia, as a result of the ENVSEC project attracting the attention to this issue. In the ENVSEC evaluation made by Finland in 2010, the project was highly rated but a need for continued support in this area to make progress sustainable was also noted.</p> <p>In the conclusion of the ENVSEC project as well as in the development of the Aral Sea Basin Programme 3 (ASBP 3), the need for continued work in this area is also stressed by all countries in the region and ENVSEC Partners were requested to respond to this need. As identified by Central Asian representatives important directions for future work include development and implementation of national legislation and training of experts, as well as finalization and signing of the cooperation agreement. An important emerging area identified is the establishment of bilateral cooperation to ensure the safety of individual dams or dam systems on transboundary rivers.</p> <p>As to the environmental security aspect the proposed project is of great value to foster cooperation between all five countries in the water sector in spite of the very difficult political relations between some of the countries. All five countries are actively seeking to develop cooperation on dam safety as can be seen in the inclusion of dam safety as a prominent component of the Aral Sea Basin Programme 3, recently approved by the countries in the region.</p> |
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| | <p>The project is also crucial to increase the safety of the population of the transboundary basins.</p> <p>As to the environmental security aspect the proposed project is of great value to foster cooperation between all five countries in the water sector in spite of the very difficult political relations between some of the countries. All five countries are actively seeking to develop cooperation on dam safety as can be seen in the inclusion of dam safety as a prominent component of the Aral Sea Basin Programme 3, recently approved by the countries in the region. The project is also crucial to increase the safety of the population of the transboundary basins.</p> | | | | |
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| Step 2. | <p>Describe in one paragraph if the target beneficiaries and other national/regional stakeholders have been consulted throughout the process of the project development; their view has been taken into account. Indicate if the project is approved/supported by the ENVSEC National Focal Points and/or responsible persons in national counterpart agencies or if the project proposal is endorsed by the involved beneficiary countries or recommended during ENVSEC Regional Meetings (when applicable). Attach any official endorsement, recommendations and request from stakeholders that the project be supported by ENVSEC</p> <p>In the conclusion of the ENVSEC project as well as in the development of the Aral Sea Basin Programme 3 (ASBP 3), the need for continued work in this area is also stressed by all countries in the region and ENVSEC Partners were requested to respond to this need. As identified by Central Asian representatives important directions for future work include development and implementation of national legislation and training of experts, as well as finalization and signing of the cooperation agreement. An important emerging area identified is the establishment of bilateral cooperation to ensure the safety of individual dams or dam systems on transboundary rivers.</p> | | | | |
| Step 3. | <p>Describe in one paragraph the gender aspects and mainstreaming</p> <p>The expected project results are of equal value for women as well as men. It is an issue in project implementation that men in the Central Asian water sector constitute the overwhelming majority of experts. Efforts will be made to increase participation of female experts in meetings.</p> | | | | |
| Step 4. | <p>Describe the value added of the ENVSEC intervention</p> <p>The value added of this ENVSEC intervention lies in the confidence with all countries that has been developed during the implementation of the previous project phases, and that is likely to be developed further in a new project. Substantive experiences and products of the previous project are of continued great value for the region, for example in the further development of national legislation in Kyrgyzstan and Turkmenistan.</p> | | | | |
| Step 5. | <p>Provide a list of the main potential constrains to the implementation of the project (for example delays) and selected actions and strategy to manage those constrains</p> <table border="1" data-bbox="300 1514 1464 1801"> <thead> <tr> <th data-bbox="300 1514 740 1556">Constraint</th> <th data-bbox="740 1514 1464 1556">Strategy</th> </tr> </thead> <tbody> <tr> <td data-bbox="300 1556 740 1801">Tense relations between certain countries that may make it difficult to have regional agreement and agree on joint work for the security of specific dams.</td> <td data-bbox="740 1556 1464 1801">Focus on other project components where progress will be more easily achievable.</td> </tr> </tbody> </table> | Constraint | Strategy | Tense relations between certain countries that may make it difficult to have regional agreement and agree on joint work for the security of specific dams. | Focus on other project components where progress will be more easily achievable. |
| Constraint | Strategy | | | | |
| Tense relations between certain countries that may make it difficult to have regional agreement and agree on joint work for the security of specific dams. | Focus on other project components where progress will be more easily achievable. | | | | |
| Step 6. | <p>Explain briefly how the project team will coordinate with (a) another ENVSEC organisation, (b) other development organisations and national/regional agencies/bodies (government and non government)</p> | | | | |

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| | The project lead organization is UNECE that will work in close cooperation with OSCE and UNDP. UNDP is already involved in this work with a developing cooperation with UNECE to ensure the safety of the Kirov dam. Close contacts are maintained with other international actors active in this field such as USAID, GIZ and the Eurasian Development Bank. These and other actors have been regularly invited to project meetings. In addition, the overall framework of ASBP 3 contributes to a good coordination. Authorities in all Central Asian countries are directly involved in the project activities. |
| Step 7. | Describe in one paragraph the instruments and resources to ensure monitoring, communication of project results and appropriate codification of lessons of experience |

Fiche Strategy

Step 1. Fill in the logical framework matrix. The logical framework should be used to establish linkages with the ENVSEC programme outcome.¹

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| Intended Outcome as stated in the ENVSEC Programme Results and Resource Matrix: | | | | |
| <u>Management of transboundary natural resources and cross border dialogue improved.</u> | | | | |
| Outcome indicators as stated in the ENVSEC Programme Results and Resource Matrix, including baseline and targets: | | | | |
| <i>Indicator:</i> Number of institutions capable to produce integrated and participatory management plans and agreements. | | | | |
| <i>Baseline:</i> Institutions lack capacity to manage security and environment risks. | | | | |
| <i>Target:</i> Institution capacity to develop policies for ecosystem restoration and management strengthened | | | | |
| ENVSEC Focus area: | | | | |
| Natural Resources management for improved economic, social and physical security in Central Asia. | | | | |
| Intended Outputs | Output target for years | Indicative type of activities | Responsible parties | Inputs |
| Output 1. Improved national legislation and strengthened institutions responsible for the | 1. <u>Targets 2012</u> • Draft revised legislation in Kazakhstan • Concept for the establishment of a responsible | Consultant reports with proposals on legal acts, regulations and institutional set-ups. National workshops and roundtables | UNECE, UNDP, OSCE, EC-IFAS, national focal points and authorities | |

¹ The logical framework will be further developed in the project document, if required.

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| <p>safety of hydro technical installations.</p> <p>Indicator: Legislation drafted and adopted, or revised; Responsible institutions established, reformed.</p> <p>Baseline: Legislation adopted in Kazakhstan, Tajikistan and Uzbekistan. Institution established in Uzbekistan.</p> | <p>institution in Tajikistan</p> <p>2. <u>Targets 2013</u></p> <ul style="list-style-type: none"> • Draft legislation for Kyrgyzstan • Concept for the establishment of a responsible institution in Kazakhstan <p>3. <u>Targets 2014</u></p> <ul style="list-style-type: none"> • Draft legislation for Turkmenistan • Concept for the establishment of a responsible institution in Turkmenistan | | | |
| <p>Output 2</p> <p>Improved capacity of national experts and officials on the safety of hydrotechnical installations.</p> <p>Indicator: Number of national experts and officials trained.</p> <p>Baseline: Inadequate awareness and expertise on the issue of the safety of</p> | <p>1. <u>Targets 2012</u></p> <ul style="list-style-type: none"> • One regional training course for 20 experts from all five countries <p>2. <u>Targets 2013</u></p> <ul style="list-style-type: none"> • One regional training course for 20 experts from all five countries <p>3. <u>Targets 2014</u></p> <ul style="list-style-type: none"> • One regional training course for 20 experts from all five countries | <p>Organization of training courses for experts and officials. Development of training material/ documents/guidelines and their dissemination</p> | <p>UNECE, UNDP, OSCE, EC-IFAS, national focal points and authorities</p> | |

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| hydrotechnical installations. | | | | |
| <p>Output 3</p> <p>Improved regional cooperation on the safety of hydrotechnical structures.</p> <p>Indicator:</p> <p>A formal framework for cooperation established.</p> <p>Baseline:</p> <p>No formal framework for cooperation existing.</p> | <ol style="list-style-type: none"> 1. <u>Targets 2012</u> <ul style="list-style-type: none"> • Agreed on draft regional agreement on cooperation in the field of the safety of hydrotechnical structures. 2. <u>Targets 2013</u> <ul style="list-style-type: none"> • Concept for the establishment of a permanent working group on safety issues. • Concept for the establishment of early warning systems in case of accidents. 3. <u>Targets 2014</u> <ul style="list-style-type: none"> • Development of a work programme for the working group | <p>Consultancy reports and draft concepts</p> <p>Regional meetings</p> | <p>UNECE, UNDP, OSCE, EC-IFAS, national focal points and authorities</p> | |
| <p>Output 4</p> <p>Increased safety of individual dams and development of confidence for active cooperation on such dams between neighbouring countries in transboundary river</p> | <ol style="list-style-type: none"> 1. <u>Targets 2011</u> <ul style="list-style-type: none"> • Establishment of bilateral cooperation on the Kirov dam. • Developed documentation for Kirov dam cooperation | <p>Establishment of bilateral working groups</p> <p>Development of joint safety reviews and action plans</p> <p>Bilateral meetings</p> <p>Limited equipment/purchases for</p> | <p>UNECE, UNDP, OSCE, EC-IFAS, national focal points and authorities</p> | |

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| <p>basins.</p> <p>Indicator:</p> <p>Establishment of cooperation on individual dams.</p> <p>Baseline:</p> <p>With the exception of the Kirov dam in Kyrgyzstan no such cooperation has been established in the region.</p> | <p>2. <u>Targets 2012</u></p> <ul style="list-style-type: none"> • Establishment of bilateral cooperation on dam 2. • Developed documentation for dam 2 • Support to selected priority DS measures for Kirov dam <p>3. <u>Targets 2013</u></p> <ul style="list-style-type: none"> • Establishment of bilateral cooperation on dam 3. • Developed documentation for dam 3 <p>4. Support to selected priority DS measures for dam 2 <u>Targets 2014</u></p> <ul style="list-style-type: none"> • Experience exchange is ongoing among all areas/cases. • Support to selected priority DS measures for dam 3 | <p>selected priority activities</p> | | |
| <p>Output 5</p> <p>Evaluation and good communication of project results.</p> <p>Indicator:</p> <p>Evaluation made and</p> | <p><u>Target 2014</u></p> <ul style="list-style-type: none"> • Internal evaluation made of the project. • Project publication produces. • Final project conference | <p>Evaluation by consultants.</p> <p>Final project conference</p> <p>Drafting and printing of project publication</p> | <p>UNECE in cooperation with project partners.</p> | |

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| <p>updated project webpage.</p> <p>Baseline:</p> <p>No evaluation and communication established.</p> | <p>organised</p> <p><u>Target 2011-2014</u></p> <ul style="list-style-type: none"> • Project webpage established and updated. | | | |
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Step 2. Once the logical framework has been filled in provide a diagram of the strategy, possibly to fit into one A4 page format, as indicated below.²

² Activities may be further developed in the project document and can be revised. However, objectives and results should be maintained. Fundamental changes made to the fiche must be indicated and motivated clearly in the project document.

Overview of objectives, results their link to activities

Overall objective:

To build trust between participating countries and promote economic, social and physical security by regional cooperation on dam safety.

Specific objective 1:

Improved national legislation and strengthened institutions responsible for the safety of hydrotechnical installations.

Target 1.1:

Draft revised or draft legislation for Kazakhstan, Kyrgyzstan and Turkmenistan

Activities 1.1:

- 1.1.1 Drafting and review of drafts by national and international experts
- 1.1.2 National seminars

Target1.2:

Concepts for the establishment of responsible institutions in Kazakhstan, Tajikistan and Turkmenistan

Activities 1.2:

- 1.2.1 Drafting and review of concepts by national and international experts
- 1.2.2 National seminars in the three countries

Specific objective 2:

Improved capacity of national experts and officials on the safety of hydrotechnical installations.

Target2.1:

60 persons from the region trained in international experiences from work on the safety of hydrotechnical facilities.

Activities 2.1:

- 2.1.1 Three regional training courses
- 2.1.2. Development and dissemination of the training materials/documentation

Specific objective 3:

Improved regional cooperation on the safety of hydrotechnical structures.

Target3.1:

Agreed on draft regional agreement on cooperation in the field of the safety of hydrotechnical structures.

Activities 3.1:

- 4.1.1 Three regional meetings for the consultations on the draft agreement
- 4.1.2 Support to the drafting and negotiations by international experts

Target3.2:

Agreed on concept for the establishment of a permanent working group on safety issues.

Activities 3.2:

- 3.2.1 Drafting and review of the concept by national and international experts
- 3.2.2 Three regional meetings for the consultations on the draft agreement

Target3.3:

Agreed on concept for the establishment of early warning systems in case of accidents.

Activities 3.3:

- 3.3.1 Drafting and review of the concept by national and international experts
- 3.3.2 Three regional meetings for the consultations on the draft agreement

Specific objective 4:

Increased safety of individual dams and development of confidence for active cooperation on such dams between neighbouring countries in transboundary river basins.

Target4.1:

Establishment and support of bilateral or multilateral cooperation on the safety of three dams situated on transboundary rivers.

Activities 4.1:

- 4.1.1 International and national expert support to the review of the safety of individual dams
- 4.1.2 Examination missions
- 4.1.3 Six bilateral meetings to discuss and agree about the format and details of the cooperation
- 4.1.4 Support towards developing joint procedures and documentation on DS
- 4.1.5 Selected equipment to improve safety.

Specific objective 5:

Evaluation and good communication of project results.

Target5.1:

Internal evaluation of project results.

Activities 5.1:

4.1.3 Evaluation by consultant.

Target5.2:

Communication of project results.

Activities 5.2:

5.2.1 Final project conference

5.2.2 Drafting and printing of project report

Tentative budget (USD)

Activities:

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| 1.1.1 | National and international experts | 20,000 |
| 1.1.2 | Three national seminars | 45,000 |
| 1.2.1 | National and international experts | 10,000 |
| 1.2.2 | Three national seminars | 45,000 |
| 2.1.1 | Three regional training courses | 150,000 |
| 3.2.1 | National and international experts | 20,000 |
| 3.2.2 | Three regional meetings | (budgeted above) |
| 3.3.1 | National and international experts | 20,000 |
| 3.3.2 | Three regional meetings | (budgeted above) |
| 4.1.1 | 6 examination missions | 60,000 |
| 4.1.2 | Six bilateral meetings | 60,000 |
| 4.1.3 | Selected equipment to improve safety of dams | 170,000 |
| 5.1.1. | Three regional meetings | 120,000 |
| 5.1.2. | International experts | 30,000 |
| | Management, monitoring, substantive input, travel and backstopping UNECE | 100,000 |
| ----- | | |
| Total | | 850,000 |