

PROJECT PROPOSAL

PROJECT TITLE	Supporting transboundary dialogue between Kazakhstan and the People's Republic of China on the Ili-Balkhash River Basin implemented under the framework of EU-UNDP project "Promoting IWRM and Fostering Transboundary Dialogue in Central Asia" (CAIWRM)
EXPECTED ACCOMPLISHMENT	Improved data collection and sharing and monitoring activities in the Ili-Balkhash river basin allow better transparency and support trust-building among national river basin stakeholders and provide a basis for improved transboundary cooperation between Kazakhstan and China.
RELEVANT FINNISH EECCA WATER STRATEGY RESULT / INDICATOR	Result 1: Adequate governance and transboundary co-operation in terms of legislation, institutions, policies, agreements and systems for water management Corresponding impact: Decision-making in water management based on open, correct and timely information
PARTICIPATING COUNTRIES	Direct beneficiaries - Kazakhstan and China; other countries from Central Asia will be also engaged via experience exchange under CAIWRM
TARGET GROUP	Ministry of Agriculture of the Republic of Kazakhstan (RoK), Committee for Water Resources (MoA), Ministry of Environmental Protection of the RoK, Joint Commission of the RoK and PRC for the Ili-Balkhash River Basin, Balkhash-Alakol River Basin Organization, Ministry of Foreign Affairs of the RoK
TENTATIVE TIME FRAME	2011-2012 for this activity. CAIWRM period is 2009-2012.
PROJECT BUDGET	400 000 EUR for activities in Ili-Balkhash basin, of which 300 000 EUR is secured CAIWRM total budget is 3,4 MEUR. -
FUNDING	224 000 EUR (Cash, European Union) 75 000 EUR (Cash, UNDP Kazakhstan) 85 000 EUR (Parallel, Government of Kazakhstan)
REQUESTED	100 000 EUR
DONOR	Finland
OTHER	The project is applied as a subcomponent to an ongoing project, "Promoting Integrated Water Resources Management (IWRM) and Fostering Transboundary Dialogue in Central Asia" (CAIWRM), co-funded by the European Union and UNDP. The ongoing project runs in 2009-2012, and is implemented in three countries: Kazakhstan, Kyrgyzstan and Tajikistan. It also has a regional component. The total budget of the ongoing CAIWRM project is 3,4 million EUR, of which 1,5 million EUR is funded by the EU, the rest by national governments, UNDP, and other donors. The project described in this proposal would be a part of the CAIWRM project, following the same management and monitoring procedures (as well as any additional requirements that the Finnish government may have). The umbrella CAIWRM project is described in Annex 1, and additional information on the status of this project (reports, work plans, evaluations), will be shared upon request.

1. BACKGROUND AND JUSTIFICATION

The Ili-Balkhash River Basin of 413 000 km², with 353 000 km² in Kazakhstan, is shared by Kazakhstan (60 %) and China (34 %) with a minor portion in the Kyrgyz Republic. It receives flows from precipitation in the Tien Shan ranges in south east Kazakhstan and also the Xinjiang-Uygul Autonomous Region of China. The basin river network of 118,000 km drains into Lake Balkhash – the third largest intercontinental water reservoir after the Caspian and Aral Seas. It is also one of the biggest lake ecosystems of the Earth.

River Ili gives about 80% of the whole of water discharge of the lake Balkhash, 70 % of it forming on the territory of China. The Ili river delta plays the role of a natural regulator and supports



ecological equilibrium by feeding water reserves into the lake during dry years. The delta is home to a wide range of species and is under consideration for inclusion into the country's network of protected areas. Increasing population, urbanization and industrialization in the western areas of China are putting additional pressure on the river basin's resources. With increased water usage on the Chinese side, there is a reduction in both the amount and quality of water flows reaching Lake Balkhash. In addition,

the development of agriculture in the connection with inefficient water use on both sides of the border, threatens to further reduce the water discharge into lake Balkhash. The river and lake is also under threat from pollution, in particular organic substances, selenium and heavy metals, the primary sources of which are waste waters from tanneries in China.

As such, a series of negative socio-economical and ecological consequences threaten the lake. These include threats to industrial enterprises, economical losses in fisheries and agriculture, environmental degradation, including water pollution, aridification and soil salinization. These issues make the rational utilization of land and water resources, both with regard to ground- and surface waters, especially important. Given the past history of the Aral Sea's desiccation and the associated ecological crisis, Kazakhstan as a downstream country is very sensitive to the threats facing the lake.

In Kazakhstan, the Committee for Water Resources (CWR) under the Ministry of Agriculture has the overall responsibility for water management in country. Eight River Basin Organizations (RBO) report to the CWR and perform water allocation and licensing functions at river basin levels. One big problem is the dual position of the CWR – being under the Ministry of Agriculture they are the biggest water user in the country, while at the same time managing overall water use, creating a conflict of interest. Also, the mandate of the CWR is low, it is understaffed, and the mandates related to monitoring and overseeing water use are unclear (groundwater vs. surface, environmental protection vs. agricultural use, etc). Monitoring water quality is similarly split up between different actors, and no unified or agreed upon system for data sharing or collection exists. Thus, for example, Kazgidromet monitors surface waters, regional environmental authorities the industrial effluents, territorial administrations groundwater quality and drinking

water, etc. No agency, and even less any stakeholder organization, has a complete picture of the water sector or available basin data, leading to poor decision-making and conflicts between different parties.

Another issue of concern is the legal framework governing water management in the country. The Water and Land Code (2003), the Law on Environmental Protection (1997), etc, govern specific issues of water use, but do not cover the whole range of issues demanding inter-sectoral cooperation and do not contain detailed mechanisms for decision-making. With support from the international community, the country has prepared a National Plan on IWRM, which is, however, still in the final steps of preparation.

When it comes to international agreements, Kazakhstan has signed the UNECE convention on transboundary water use, while its neighbors Kyrgyzstan and China have not. In 2002, an interstate agreement on the sharing of transboundary water resources (including rivers Ili and Irtysh) was signed between Kazakhstan and the People's Republic of China (PRC). However, neither this document nor following draft agreements or technical papers of the joint commission, specify quantitative and qualitative characteristics of water allocation. So even though meetings are held on a semi-regular basis between Kazakhstan and China (by the joint commission), most of these meetings have been without concrete results, agreements or factual progress. It is increasingly important that joint measures of Kazakhstan and China be taken now to establish the institutional and policy basis for the sustainable management of the river basin.

The project builds upon previous initiatives in the basin, described in more detail in chapter 5. These include initiatives by the EU and the Central Asian Regional Environment Center (CAREC) on working on a river basin master plan, as well as ongoing initiatives to support the establishment of integrated water resources management (IWRM) in Kazakhstan. Specifically, this project links with, and would be a subcomponent of, the ongoing regional EU-UNDP project "Promoting Integrated Water Resources Management and Fostering Transboundary Dialogue in Central Asia", which is currently being implemented jointly in Kazakhstan, Kyrgyzstan and Tajikistan.

2. THE OBJECTIVE OF COOPERATION AND APPROACH

2.1 Objectives

The long-term objective is to improve the water management in the Ili-Balkhash River Basin through improved transboundary cooperation and implementation of the integrated water resources management approach. The objective of this project is to achieve a better basis for transboundary dialogue between the Republic of Kazakhstan and the People's Republic of China. The goal is to improve data collection and information exchange in the basin, as well as knowledge management and sharing under the Joint Commission and among different stakeholders to improve their awareness of existing issues and to provide a sound base for integrated water resources management. This will lay the ground for ongoing discussions on water-sharing arrangements and intensified cooperation activities in the basin.

2.2 Approach

The proposed project will be implemented within the ongoing regional EU-UNDP project on IWRM and transboundary dialogues. The regional CAIWRM project is described in Annex 1. It consists of four different subprojects; 1) in Kazakhstan (focusing on the Ili-Balkhash river basin), 2) in Kyrgyzstan, 3) in Tajikistan and 4) a regional umbrella project, supporting regional cooperation and dialogue. These four projects have been running since 2009 with activities scheduled until the end of 2012. The proposed activities described in this proposal will be implemented as part of the CAIWRM/Kazakhstani project. Specifically, this proposal is aimed at deepening the ongoing project activities on data collection and information sharing. The different components as well as the key results achieved so far are given below. It should be noted that without the support of Finland, the ongoing CAIWRM Kazakhstan project would not be able to implement all the planned activities within component 2 and 4.

1) Analysis of existing political, management and institutional structures in the river basin

Within this activity the existing political, administrative, legal and institutional structures in the two countries have been analyzed. An analysis of existing river basin plans and government programs has been conducted, previously completed actions and projects have been reviewed, and recommendations have been made. A seminar on the activities has been held and the results of the seminar (in the form of a resolution) shared with national and international partners. The activities to be carried out within this component are almost fully completed.

2) Support to a bilateral dialogue, information sharing and cooperation through joint meetings and activities;

Under this activity, meetings with stakeholders both in China and Kazakhstan have been held, and expert advice has been provided to stakeholders. Proposals for the development of a documentation base have been made, and these should now be followed up with concrete action. As an outcome of the Ily-Balkhash conference organized by the project in October, the International Water Assessment Center (IWAC), by support of Slovakia, has offered to install an automatic hydrologic station near Balkhash city for manual sampling of water and sediments, with subsequent transport to Slovakia for analysis/intercalibration exercise. The results will be used for the design of the monitoring scheme. In general, several outputs still have to be completed within this component. This component is the primary focus of additional Finnish funding (updated monitoring schemes, improved monitoring capacities, initial database preparation and information sharing). The specifics of the proposed activities will be discussed in the next chapter.

3) Support to the joint Kazakhstan-Chinese Commission;

Under this component, technical support has and will be provided to the joint commission. An expert group to support the Commission has been established. While there have been difficulties in working with the Chinese side, the expert group, through the project, is supporting the Kazakhstan part of the Commission ahead of meetings, by providing expert advice on the agenda topics. The work within this component is expected to continue until the end of the project, but it will be of advisory, not technical, nature.

4) Coordination and harmonization of river basin water management activities and plans; stakeholders engagement.

Within this activity, meetings with key stakeholder at the local level have been held. Balkhash-Alakol river basin council has been provided with expert advice, a capacity building training programme has been developed (presented in Annex 5), and trainings within it will start in 2011. Trainings with local water users have been held and additional trainings are planned for 2011. This activity also aims to ensure full and continuous participation of key stakeholders in all major decision-making processes, ensuring transparency of information and the creation of supportive conditions for the sustainable management of river basin of the Ili-Balkhash. The work within this component is on track, and all activities within the component are expected to be completed by the end of the project.

The ongoing activities from the Kazakhstan CAIWRM projects, as well as their linkages to the proposed activities, are given in Annex 3.

The aim of the proposed project is to lower the barriers related to effective collection, use and exchange of monitoring data, which are often referred to as one of the key issues hindering transboundary cooperation. Even without the participation of the Chinese counterparts, there is an urgent need of Kazakhstan Ministries and stakeholders to agree on monitoring issues, to share data, etc. Thus, this project will seek to address the gap between research/monitoring activities and relevant decision-making processes by focusing on the need to improve the monitoring process based on a needs-demand assessment from the water management point of view.

3. EXPECTED RESULTS AND ACTIVITIES

Expected results

As a result of the activities under outputs 2 and 4 as described above, basin-wide data will be collected and analyzed, meta data will be clarified, and information-sharing instruments will be discussed and established. Monitoring activities will be supported via providing relevant recommendations and ensuring sufficient coordination among different parties, as well as optimizing monitoring programs and parameters. This information and dialogue platform will contribute towards improved transparency and support trust-building in the basin and through this support transboundary cooperation between Kazakhstan and China.

Outputs

The outputs related to the proposed activities are:

1. Updated and endorsed joint/transboundary and national /basin monitoring schemes and programs;
2. Enhanced capacities at state institutions and the Bilateral Commission for monitoring, including increased collaboration between national agencies and on the transboundary level; (inter-calibrations, harmonization of sampling methods and parameters etc.)
3. Initial database preparation and GIS/remote sensing support

4. Improved information-sharing platforms and mechanisms among key stakeholders, including institutional support for data exchange and databases maintenance.

Activities

1. Updated and endorsed joint/transboundary and national/basin monitoring schemes and programs
 - a. Data collection and analysis. Initial screening of available data, meta data, monitoring activities, methodologies and practices, existing data-bases etc
 - b. Working meetings with authorities responsible for monitoring
 - c. Preparing and publishing a report on the key collected basin data – to be agreed under the Commission.
 - d. The systematic collection and preparation of a joint database and substantive documentation. Collected data are to be used also for the GIS and maps preparation.
 - e. Creating a mutually acceptable basis, continuously updated database on the basin of the Ili-Balkhash with all relevant resources, including quantitative and qualitative aspects of surface and ground water, land and biological resources, and other defined by mutual agreement of both sides.
 - f. Seminar presenting the report and discussing data-sharing instruments and information platform for the basin.
2. Improving monitoring capacities of national hydromets and labs working on transboundary levels
 - a. Conducting of relevant trainings (as given in the capacity development plan established by the project);
 - b. Developing a set of recommendations for improved monitoring and information-sharing activities including harmonization of sampling methods and parameters etc
 - c. Inter-calibrations and quality data assurance.
3. Initial database preparation and GIS/remote sensing support
 - a. Based on the previous activities/data collection, agreeing on the needed maps/GIS/remote sensing parameters and details;
 - b. Designing knowledge-management products as agreed above;
 - c. Publishing selected maps and distributing e-copies of the products.
4. Improved information-sharing platforms and mechanisms among key stakeholders, including institutional support for data exchange and databases maintenance.
 - a. Supporting information exchange activities under the Commission (preparing relevant protocols and establishing relevant procedures) based on the project findings and seminar discussions
 - b. Development and implementation of the information-sharing activities such as joint data-base, web-site.

The outputs and activities will be coordinated with ongoing activities under the regional CAIWRM project and will take place during 2011 and 2012. The timeframe is given in the Annex 3 and in section 6.

4. SUSTAINABILITY

Special emphasis will be paid to various aspects of development sustainability, including stakeholder involvement, capacity building, and the formulation of an exit strategy. The majority of project activities are prepared, implemented and evaluated by actively engaging key stakeholders and, as adequate, the broad public throughout the entire process. The objective is to ensure proper ownership by, adequate capacity of, and ensured engagement by the target groups to follow-up on achievements as well as commenced activities once this project will phase out. As the project does not plan to create any new organizations or institutions and work only with existing partners and bodies, project results will be integrated into routine operations and therefore supported from the partners' operational funding. This exist strategy will as a minimum address the following aspects:

- Ownership aspects regarding project results, deliverables or assets, and agreements among authorities, relevant target groups and beneficiaries on their respective roles and responsibilities for the continuation of activities and/or maintenance of project (co-) funded equipment and/or installations;
- Updated risk analysis with possible contingency plans for all activities and investments;
- Post-project financing plans for continuing activities, as needed;
- Concept notes for emerging needs for future or follow-up projects, with indicative partnership and resource mobilization opportunities.

Target group

The main target group will be the Bilateral Commission, national governmental counterparts (CWR, Ministry of Agriculture, Ministry of Environmental Protection, Kazhydromet) and local (Balkhash-Alakol River Basin Council), as well as other river basin stakeholders.

Gender equality approach

Gender issues are an important part of any project implemented by UNDP, and are tracked separately for each project, in order for UNDP to be able to more accurately manage, monitor, and report on gender mainstreaming and women's empowerment as well as in order to strengthen the organization's accountability for gender-equality results. UNDP encourages women to apply for positions and ensures unbiased recruitment. As part of the project implementation arrangements, directed attention will be paid to ensuring an appropriate gender balance in development activities. Kazakhstan's 2008 Country Analysis, prepared in fulfillment of the Common Country Assessment that analyzes the national development situation and identifies key development issues, determined that the "United Nations is well-placed to contribute to environmental sustainability in Kazakhstan, in a gender-sensitive manner" (UN, 2008:34).

5. COLLABORATION AND SYNERGIES

UNDP has established a permanent presence in all five countries of Central Asia and it manages substantial portfolios covering democratic governance, economic development, energy and environment, crisis prevention and recovery, which are being supported from global and regional

levels and are likely to expand in the years to come. In all countries of Central Asia, UNDP has a Basic Country Agreement and a programme of cooperation, harmonized with other UN entities, that are signed by the respective government. In accordance with the "One UN" concept, UNDP maintains strong linkages with the following UN agencies: UNESCO, UNECE, World Meteorological Organization (WMO), World Food Programme (WFP), United Nations High Commission on Refugees (UNHCR), United Nations Children's Fund (UNICEF). UNDP also closely collaborates and coordinates with International Financial Institutions, humanitarian organizations and bilateral donors, including: GTZ, OSCE, World Bank, Asian Development Bank, USAID, EBRD, Red Cross and Red Crescent societies, Oxfam, etc.

This component will build upon the results of UNDP Kazakhstan in a project on "National IWRM and WE Plan for Kazakhstan" and of the Central Asia Regional Environmental Center (CAREC) in a TACIS-funded project on sustainable development of the Ili-Balkhash River Basin. The project also links closely with the EU-CAREC project on water quality standards. The UNDP project is also working together with the OSCE (regarding the advancement of the National IWRM Plan). UNDP Kazakhstan is also working closely with the UNECE (on recently initiated EU NPD process, projects related to climate risk, including glacial melting etc.), as well as the GTZ. Recently Slovak government/via IWAC (International Water Assessment Center) has also expressed an interest to cooperate with UNDP as referred above.

As mentioned earlier, proposed activities will be a part of the ongoing regional EU-UNDP project on IWRM and transboundary dialogues in Central Asia – therefore relevant experience exchange and synergies will be ensured via joint activities on the regional and transboundary levels (for example, via capacity building program and regional dialogue seminars).

6. TIME FRAMES

The project would be implemented as part of the ongoing regional EU-UNDP project. The activities within the proposed subcomponent could start as soon as possible, preferably in early 2011, and run until the end of 2012 (31st December).

Activities	2011				2012			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 1: Updated and endorsed joint/transboundary and national/basin monitoring schemes and programs								
Data collection and analysis (initial screening of data and practices)	■	■	■	■				
Working meetings with authorities responsible for monitoring	■	■	■	■				
Preparing and publishing a report on the key collected basin data		■	■	■				
Collection and preparation of a joint database and documentation		■	■	■	■	■	■	
Mutual agreement on joint database.				■	■	■	■	
Seminar presenting results and discussing data-sharing instruments				■				
Output 2: Improving monitoring capacities of national hydromets and labs working on transboundary levels								
Conducting of trainings (as given in the capacity development plan)	■	■	■	■	■	■	■	■
Development of recommendations for monitoring and info-sharing	■	■	■	■	■	■	■	■
Inter-calibrations and quality data assurance.		■	■	■	■	■	■	■
Output 3: Initial database preparation and GIS/remote sensing support								
Agreement on needed maps/GIS/remote sensing parameters and details		■	■	■	■	■	■	■
Designing knowledge-management products as agreed above			■	■	■	■	■	■
Publishing selected maps and distributing e-copies of the products				■	■	■	■	■
Output 4: Improved information-sharing platforms and mechanisms among key stakeholders, incl. inst. support								
Supporting information exchange activities under the Commission	■	■	■	■	■	■	■	■
Development and implementation of info-sharing activities				■	■	■	■	■

7. LOGICAL FRAMEWORK, INCLUDING RISKS AND ASSUMPTIONS

The logical framework, including risks and assumptions, is given in Annex 4.

8. PROJECT ORGANIZATION

The project will be implemented as part of the existing EU/UNDP project on IWRM and transboundary dialogue in Central Asia following established EU and UNDP procedures (CAIWRM).

The CAIWRM project, consisting of four sub-projects, is implemented by UNDP through its Bratislava Regional Centre (BRC), and executed by the UNDP Central Asian Country Offices, as part of the proposed "Common Framework for addressing Water Issues in Central Asia" that UNDP has agreed upon with the European Commission (EC), UNECE and OECD (EAP Task Force) and other partners. Currently UNDP is working closely with UNECE in all Central Asian countries, in Kazakhstan specifically in the framework of the Finnish-funded Envsec project on climate change in Chu-Talas and under recently initiated EU National Water Policy Dialogue process

All four projects have working project implementation units (PIUs), consisting of a Project Manager, an assistant and relevant experts. The Kazakhstani PIU is located in Almaty and currently employs four people (one Project Manager, one Project Assistant, one expert on integrated water resources management and one expert on capacity building). The regional PIU is located in Almaty and employs two people – a Regional Project Manager (Natalia Alexeeva, responsible for overseeing the work of the three PIUs) and one Information Officer, been also supported by the Environment&Energy team in Bratislava Regional Center.

A Regional Steering Committee (SC) has been established, and is meeting twice a year. The Regional Steering Committee contains representatives of the beneficiaries of the three countries (Kazakhstan is represented by the CWR / Committee for Water Resources, Ministry of

Agriculture), as well as of donors and UNDP. In each country with national sub-projects, the Regional Steering Committee is supplemented by a national project board. In Kazakhstan the national Steering Committee is chaired by the CWR, with members from key relevant Government Ministries and Agencies, a designated representative of the Balkash-Alakol RBO, representatives of local authorities (Akimats) and donor organizations (UNDP, EU, and others) and civil group representatives. The national SC meets twice a year to discuss the activities in the Kazakhstani component, and to provide policy advice to meet project objectives. Project Assurance is ensured by the Regional Technical Advisor for International Waters, Land Degradation and Integrated Ecosystem Management, calling on a Technical Committee, as needed, consisting of technical representative from the UNDP Country Offices and project partners. On a quarterly basis, project advance and technical issues will be addressed with the Project Team Leader and/or the three Implementation Units (PIU) – see detailed Monitoring Framework and Evaluation Arrangements below.

Overall responsibility for project implementation, TA inputs and UNDP expenditure, is delegated to the PIU, who is responsible for day-to-day execution of the project activities on a national level. The PIU reports to the national, as well as the regional, project boards.

Under the proposed activities, it is expected that one additional expert will be recruited. He/she will be responsible for data collection / GIS data in the country, and will support the international expert/s to this regard. UNDP will, if the proposal is accepted, conduct an open tender for the services of the expert, according to all applicable UNDP regulations and rules. The Terms of Reference will be shared with the donor before the recruitment is initiated.

Monitoring and evaluation

In accordance with the programming policies and procedures outlined in the UNDP User Guide, the project will be monitored through the following:

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the PTL and NPMs to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis, a risk log is activated in Atlas and regularly updated, by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, Quarterly Progress Reports (QPR) shall be prepared by the NPM, and submitted to the Project Board.
- A project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- A Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Evaluations

- Mid-term and Final Evaluation. A mid-term evaluation will be conducted in the beginning of 2011 and the Final Evaluation is scheduled for 2012. The aim will be to look back on the overall achievement of results, the project's (actual or expected) impact, established project partnerships and links to other relevant initiatives, as well as the (foreseen) sustainability (strategy). One of the key focuses will also be to harvest and codify knowledge, experience and lessons learned, and to generate recommendations in terms of necessary follow-up activities, interventions or projects. The evaluation will also review the overall project management, reports and materials produced in terms of relevance, quality and applicability.

Findings of both evaluations will be disseminated widely in the form of e- or hard-copy knowledge products, as useful and adequate.

9. BUDGET

The budget is given in Annex 3. Total requested amount is 100 000 EUR. The overall budget of the project is given in the same Annex.

10. OTHER

The project concept was originally shared with the Government of Finland in 2009, after which the proposal was adjusted and resubmitted in June 2010. The proposal was discussed with the Manager of FinWater WEI in October 2010 and subsequently reworked and resubmitted. Finland is seen as an excellent potential partner for the project, as the country has long and solid experience in transboundary water management. Given that Finland, as Kazakhstan and China, shares transboundary waters with Russia, makes the country especially relevant for contributing to knowledge sharing and supporting transboundary cooperation in Ili-Balkhash water basin. In addition, the project is in line with Finland's development policies, the Wider Europe Initiative as well as the Strategic Cooperation Programme for Finland's Water Sector Support to the EECCA countries (2009-2013), where transboundary waters is mentioned as one of the support themes.

11. LIST OF ANNEXES

Annex 1: Summary (two-pager) of the EU-UNDP project "Promoting IWRM and Fostering Transboundary Dialogue in Central Asia" (CAIWRM)

Annex 2: Overall project budget and budget estimate for the Finnish contribution

Annex 3: Overall project work plan and proposed time-frames for the applied project

Annex 4: Logical Framework of the EU-UNDP project "Promoting Integrated Water Resource Management and Fostering Transboundary Dialogue in Central Asia "

Annex 5: Capacity building program within the project for 2011

Annex 3: Overall project work plan

Activities as shown in the project Annual Work Plan (activities proposed for Finnish support are shown in red - pls see next worksheet for more details)	Duration / years			
	2009	2010	2011	2012
3.1. Policy and inst. Analysis				
3.1.1. Structures and arrangements analysis, review of activities				
- desk review of II-Balkhash IWRM institutional&legal str.				
- meetings/teleconferences with stakeholders in KZ and China				
- desk review of completed and ongoing actions				
- review of existing national river basin programs and plans				
- Publication of How-to-guide: experiences of Kaz in IWRM				
3.1.2. Report on findings and recommendations				
- drafting of the report based on previous activities				
- seminar to discuss and endorse the recommendations				
- distributing final draft for comments& collecting feedback				
- report finalization				
3.2. Support to bilateral cooperation and joint activities				
3.2.1. Information-sharing provisions and mechanisms				
- develop a suitable platform for information-sharing and dialogue on river basin level (based on 3.1)				
- launch of initial information-sharing platform				
- updating and improving the platform				
3.2.2. Establishing &update of a joint database and information-sharing				
- collection of available key background and baseline data &consultations				
- establishment of a documentation base				
- assessment of data collecting methodologies, mngt, responsibilites&gaps				
- joint elaboration of assessment methodologies for key data				
- support to joint monitoring				
- agreement on key data (quantity, quality aspects, surface/groundwater etc)				
3.2.3. Support to joint activities				

- based on 3.2.1 and 3.5, formulation of the feasible joint activities				
- networking activities according to basin user level or group				
- streamlining/coordination of basin plans with relevant state programs etc.				
- assessment report on the river basin (state, prospects etc.)				
3.2.4. Capacity building and training				
- mapping of training needs and elaboration of training programme				
- implementation of training programme				
3.3. Support to operations of the bilateral commission and agreements				
3.3.1. Technical and logistical support to governments of Kaz and China				
- meetings with Commission members (China, Kaz) to establish baseline				
- mapping of past and planned Commission activities (see 3.3.1)				
- establishment of expert group/s to support commission				
- expert group meetings				
- proactive support in arranging and raising effectiveness of the meetings				
- support in formulation of commission work plan for upcoming years				
- support to a technical secretariat				
3.3.2. Support to improvement of IB bilateral legal agreement/s				
- review of existing legal structures, agreements and principles, analysis				
- elaboration of mutually agreed procedural provisions for cooperation				
- report by expert group on legal analysis and dev-t of recommendations				
- bilateral consultations and support on update/est. of legal agreement/s				
3.4. Coordinating water management activities in the basin, stakeholder engagement				
3.4.1. Regular meetings and platform for discussions (see 3.1.1, 3.1.2 and 3.5.1)				
- meetings with key stakeholders (see 3.1.1)				
- meeting in China with stakeholders from both countries				
3.4.2. Support in dev-t and impl. of stakeholder involvement strategy				
- identification of key stakeholders in both countries (see 3.1 and 3.2)				
- establishment of on-line stakeholder directory				
- development and approval of stakeholder involvement strategy				
- promote involvement of key stakeholders in transboundary dialogue				

3.4.3. River basin council support				
- technical and administrative support to meetings, workplan drafting				
- assistance in information sharing				
PROJECT MANAGEMENT				
Quarterly reporting, planning, accounting				
National steering committee meetings				
Information dissemination and visibility				
Team meetings and regular communication with beneficiaries				

Annex 4:

LOGICAL FRAMEWORK FOR THE EU-UNDP PROJECT "Promoting Integrated Water Resource Management and Fostering Transboundary Dialogue in Central Asia "

	Intervention logic	Objectively verifiable indicators of achievement	Sources and means of verification	Assumptions
Overall CAIWRM objective, Ili-Balkhash river basin	To foster transboundary dialogue and enhance cooperation between Kazakhstan and the People's Republic of China for improved management of the shared River Basin system and its resources.	<ol style="list-style-type: none"> 1. A dialogue platform is established and information is exchanged both at government and river basin level; 2. Management plans are coordinated and data is shared through structures agreed upon by all stakeholders; 3. Regularity in meetings, information exchange and other joint activities. 	<ol style="list-style-type: none"> 1. Governmental, Commission and river basin stakeholder documents - plans, protocols, agreements etc.; 2. Operational data exchange platform and related documentation; 3. Publications in media, meeting reports, surveys, interviews of project counterparts; 4. Mid-term and final evaluation reports; 5. Project reports and documentation. 	<ol style="list-style-type: none"> 1. Government commitment and sufficient mandate of Commission members; 2. Stakeholder commitment and active participation; 3. Follow-up on responsibilities regarding data collection, management as well as data sharing; 4. Interest and involvement of Chinese counterparts in policy level dialogues, info exchange and other collaborative actions.
Expected overall CAIWRM results, Ili-Balkhash river basin (the way the activities proposed in this proposal would	1. Intensified bilateral cooperation activities and stakeholders engagement	<ol style="list-style-type: none"> 1.1. Joint data base established (% of improvement in knowledge of key river basin data, number of agreed factors/shared data); 1.2. Assessment report agreed and endorsed by the Commission; 1.3. Number of engaged stakeholders on the basin level - at least 20; 1.4. Number of government agencies and stakeholders involved in basin data collection - at least 20; 1.5. Number of joint activities or actions taking place - at least 5 activities annually; 1.6. Frequency of communication and updates to the data base -at least monthly. 	<ol style="list-style-type: none"> 1. Minutes, protocols and relevant records from the meetings; 2. Data base records and web-site information; 3. Publications and information in independent mass-media; 4. Jointly approved reports/provisions and documented measures; 5. Mid-term and final evaluation reports; 6. Project reports and documentation. 	<ol style="list-style-type: none"> 1. Political will on both sides of the border; 2. Existing legal frameworks/possibilities on the national level; 3. Bilateral relations are at least at the current level of cooperation or improving; 4. Stakeholders are actively involved in the process.

<p>contribute to the overall project results is shown in bold)</p>	<p>2. Improved base for cooperation (such as new agreement and raised capacities of the Commission)</p>	<p>2.1. Regular Commission meetings are held and expert work groups are established (number of the meetings, frequency, list of participants - i.e. equitable participation); 2.2. Legal framework is improved and operational - officially endorsed documents and agreements; 2.3. Financial sustainability of cooperation - amount of annual contributions to IBB-work from governments; 2.4. Joint work plan and IWRM activities are endorsed by the Commission; 2.5. Capacities of the Commission are raised - improved provisions, procedures, expertise (number of developed joint documents and new activities).</p>	<p>1. Minutes, protocols and relevant records of the Commission; 2. Number of joint reports/harmonized data; 3. Publications and information in independent mass-media; 4. Jointly approved reports/provisions and documented measures; 5. Mid-term and final evaluation reports; 6. Project reports and documentation.</p>	<p>1. Political will on both sides of the border; 2. Existing legal frameworks/possibilities on the national level; 3. Bilateral relations are at least at the current level of cooperation or improving; 4. State financing for bilateral cooperation and relevant donors support; 5. Sufficient capacities of the Commission and continuity - at least, on the current level.</p>
	<p><i>Key activities:</i></p>	<p><i>Means:</i></p>	<p><i>Inputs: for more info, please, refer to budget</i></p>	<p><i>Pre-conditions:</i></p>
	<p>3.1. Updating and endorsement of joint/transboundary and national/basin monitoring schemes and programs</p>	<p>Data analysis and review; Stakeholders and authorities meetings, incl bilateral; Preparation of and recommendations for joint database and monitoring;</p>	<p>Type of costs: 1. Human resources and DSA; 2. Transportation/travel; 3. Meetings/seminars costs incl.translation;</p>	<p>1. State support to project operations; 2. Sufficient cooperation among countries, state agencies and stakeholders; 3. Confirmed funding conditions;</p>
<p>3.2. Improving monitoring capacities of national hydromets and labs working on transboundary levels</p>	<p>Support to joint cooperation - mutual agreement; Joint activities/trainings on all levels; Development of stakeholder involvement strategy and information-sharing mechanisms, endorsed;</p>	<p>Inter-calibrations and quality data assurance; Knowledge-management products and information-exchange.</p>	<p>4. Running/office costs; 5. Visibiltiy&services; 6. Studies/research 7. Administrative costs</p>	<p>4. Commitment to IWRM on different levels.</p>
<p>3.3. Initial database preparation and GIS/remote sensing support</p>			<p>Requested amount: 100.000 EUR</p>	
<p>3.4. Improved information-sharing platforms and mechanisms among key stakeholders, incl. inst. support</p>				

Annex 5: Capacity Building Programme
within the EU-UNDP project:
«Promoting IWRM and Transboundary Dialogue in the Ile-Balkhash Basin» for the year 2011

EU-UNDP Project «Promoting IWRM and Fostering Transboundary Dialogue in Central Asia»

##	Title of activities	Calendar terms	Indicators	Criteria	Results
1	2	3	4	5	6
1.	Collection and analyze of changes in the legislation of the Republic of Kazakhstan, providing legal frames of regulation and using of water resources.	March, April, August	Recommendations in change and addition inserting in the legislation of RK	Preparation of the documents on change and addition inserting in the Water legislation of RK by the Committee for water resources.	Summary report
2.	Analyze of the situation with use of water resources of Basin and determination of the necessary types of trainings, directed to the rational water using and ecosystem protection.	February, March, April	Training plan for 2011.	-	Analyze report

3.	Development of the training programmes	April	-	-	Training programmes
4.	Determination of the place and the participants of the training	April, May	Letters with agreement of the local executive bodies/ or organizations using water resources	-	Concrete places and the lists of participants
1	2	3	4	5	6
5.	<p>Training conducting:</p> <p>a)Balkhash-Alakol Basin Inspection, themes:</p> <ul style="list-style-type: none"> • IWRM in Ili-Balkhash Basin • International legislative instruments and its implementation in National water policy of Kazakhstan. 	May	<p>Project of the IWRM basin plan</p> <p>-</p>	<p>Availability of the draft of plan by local executive bodies and waterusers; Feedback with them in the format of suggestions and assistance.</p>	<p>Knowledge development on the IWRM principles and proposed activities</p> <p>Knowledge development</p>

				-	on the questions of application of normative-legal acts of the Republic of Kazakhstan and international water law
	b) Data Base and GIS technologies	Terms?	Data base creation on the Ile river Basin	Assistance in the application of data base and GIS technologies for 1-2 specialists	Acceptance of the definite methodology on data base creation and application of GIS technologies.
	c) With the water users and with the local executive bodies of Balkhash region and Kapshagai region	June, July	Efficiency increasing of the channels and irrigation system, reducing of standard norm of water using even in one farm or enterprise	Sparing of water resources till 5-10 % from existing level.	Score knowledge development in the application of water saving technologies in irrigated farming and other objects field of economy.
1	2	3	4	5	6
6.	Practical assistance in the work of Basin	From March	2-nd meeting of the	-	Plan of activities on the

	Council and in the development basin agreements with water users and with local executive bodies.	till December	Basin council and the draft of the basin agreement		conducting of Basin council
7.	Practical assistance in the work of the working group of the joint commission of Kazakhstan and China	From March till December	Information for the head of the working group of Kazakhstan party about the issues status on the concerned questions	-	References on each question of the agenda
8.	Supporting Basin Council in the meeting conducting, aiming at inviting Chinese representatives.	April, May, August, September	Correspondence with the members of BC and with the representatives of public associations and CPR . Collection of reports and preparation of the materials.	-	Establishment of the sustainable contact with NGOs and Chinese representatives
9	Assistance in organizing meetings with the leaders of the Joint Commission, the leadership of the Ministry of Agriculture CWR, representatives of the Ministry of Foreign Affairs, international	From May to December	-	-	Agreed/consolidated positions and documentation



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	organizations and other responsible officials.				
10	Organizing meetings with the leadership of the Ministry of Agriculture CWR, basin inspections, and water users, NGOs, local executive and representative bodies and others, informing them on the completed and planned activity.	From March to December	2 meetings	-	Harmonized activities and stakeholders feedback/engagement
11	Publication of bulletins and brochures on the project results, knowledge products, articles in newspapers, magazines, etc.	From April to December	2 articles in newspapers and magazines, reports	-	Information dissemination and knowledge sharing