



**Global Environmental Facility
(GEF)**



**The GEF Small Grants
Programme**



Uzbekistan

**The United Nations
Development Programme
in Uzbekistan**

THE GEF SMALL GRANTS PROGRAMME'S COUNTRY PROGRAMMING STRATEGY FOR UZBEKISTAN

The present strategy is the fundamental document that sets the framework for operations of the Global Environmental Facility's Small Grants Programme in Uzbekistan (further referred to as GEF SGP). The country strategy defines the thematic and geographical scope of the GEF SGP in the country, and describes the rules and procedures for the Programme. The Country Programming Strategy has been developed based on guiding principles and strategic priorities of GEF for the operational period IV (2007-2010), state strategic priorities in environment conservation, and the GEF SGP guidelines for all participating countries. The Country Programming Strategy is subject to revision in the next GEF operational period.

Tashkent, 2008

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List of abbreviations

CBO	Community Based Organization
CPMT	Central Programme Management Team
CPS	Country Programming Strategy
GDP	Gross Domestic product
GEF	Global Environmental Facility
GEF SGP	the Global Environmental Facility's Small Grants Programme
ITN	Identification taxpayer number
MDG	Millennium Development Goals
NGO	Non-governmental Non-commercial Organization
NSC	GEF SGP National Steering Committee
PA	Protected Area
UNDP	United Nations Development Programme

1. Summary of the Country Programming Strategy for GEF SGP in Uzbekistan

1. The present Country Programming Strategy (CPS) is the key guiding document for the implementation of the GEF Small Grants Programme in Uzbekistan (GEF SGP). The Country Programming Strategy defines the goal, objective, and outcomes of the GEF SGP at the initial stage of its realization in Uzbekistan.

2. The programme starts its implementation in Uzbekistan from 2008. The current Country Programming Strategy covers the period 2008-2010 within the GEF 4th operational period, following which the Country Programming Strategy can be reviewed and modified according to the new priorities of GEF.

3. Based on the existing status of environment, present conditions, comments and remarks from the stakeholders as well as the GEF thematic strategic priorities, the present strategy identifies the following programme's priority areas in the country:

- (I) Under the «**Biodiversity Conservation**» GEF focal area – to reduce the human induced pressure on the natural ecosystems and habitats of the important flora and fauna species;
- (II) Under the «**Climate Change**» GEF focal area – to reduce Green House Gases (GHGs) emissions from the use of energy by local population and prepare the most vulnerable groups for climate changes and its future consequences;
- (III) Under the «**Land Degradation**» GEF focal area – to restore degraded lands in rural areas for the purposes of its conservation and sustainable use;
- (IV) Under the «**Capacity Building**» GEF priority – to enhance the capacity of the local population to solve environmental problems.

4. The main focus in the biodiversity conservation focal area will be made on: a) prevention of adverse impact on protected areas of Uzbekistan and habitats of the important flora and fauna species from the agricultural development; b) restoration and improvements of degraded ecosystems, as well as the functions and services provided by biodiversity; and c) facilitation of development of economic activities that reduce pressure upon available natural biodiversity habitats, as well as on its products and services.

5. In the area of climate change, the Programme will make the main emphasis on demonstration and distribution of locally applicable, efficient energy use practices/approaches. Another Programme's focus will be channelled to generation of energy using alternative, carbon-friendly sources. Furthermore the Programme will demonstrate and distribute practices of adapting to changing climatic conditions.

6. An important niche where GEF SGP can also generate a number of tangible benefits for the local population lies in providing assistance in developing small-scale CDM projects which may be unattractive to big investors, yet valuable for the achievements of the Millennium Development Goals (MDG). The Programme will facilitate bundling of such projects into CDM programmes.

7. In land degradation focal area, the GEF SGP will demonstrate and distribute the best practices in improved irrigated agriculture that facilitate rehabilitation of the degraded agroecosystems, as well as will assist in developing improved pasture management patterns, forage production practices and/or improved animal husbandry methods.

8. Another important area, where the GEF SGP will apply its efforts in achieving global environmental benefits is to raise general awareness, knowledge, understanding and skills of local population that will help reaching the targets defined by the major international environmental conventions.

9. Also, the GEF SGP would aim at producing concrete results in improving living conditions of local people and assist in introducing gender equality principles through its projects. These two areas will be mainstreamed at the project level, i.e. should be taken into consideration in preparation and implementation of the GEF SGP projects in all thematic areas of the Programme in Uzbekistan.

10. The present Country Programming Strategy also describes the operational frameworks of the GEF SGP in Uzbekistan.

2. Baseline situation for the GEF SGP in Uzbekistan

2.1 Social and economic context

11. Uzbekistan is the most densely populated country in the Central Asia with the population, according to various estimations, of 26-27 million. The annual population growth rate comprises 1.1%¹. The average life expectancy is 66.8 years, and this indicator is growing, whereas the indicators of maternal and infant mortality have decreased in some provinces. The literacy rate is 99.06% which corresponds to the level of countries with developed economy. Nevertheless, slow economic growth compromises the effect of human development achievements, and the income level remains low. With the index of human development equalling to 0.702, Uzbekistan occupies the 113th place from 177 countries of the world by level of human development².

12. More than a half (63.8%) population in Uzbekistan lives in rural areas and is employed in the agricultural sector. The rural sector provides around a half of the employment for able-bodied population - 57%. While the share of the agricultural manufacture in the gross national product is slowly decreasing, it still represents one of the most important articles in the system of national accounts being the second after services (26.3% and 37.0% accordingly). Nevertheless, the disparity in living standard between the urban and rural population is fairly high, in disfavour of the rural population. It can be firmly stated that almost entire economy in rural areas is based on natural resources consumption often neglecting effectiveness and sustainability of their use.

13. Uzbekistan is a country with arid climate, where mountainous areas occupy about 15-18% of the territory, and plain and valley zones, which are for the largest part arid or semi-arid, cover the rest of country - about 82-85%. Due to arid, sharply continental climate, the agricultural plant cultivation almost entirely depends on irrigation - about 95% of the cultivated land is irrigated. Aggregately the agricultural land occupies 28.5 million hectares (or 63% of the territory). This includes 23.4 million hectares (or 52% country territory) which can be categorized as scant or low-productive pastures, and 4.2 million hectares of the irrigated land. Cotton and wheat are the two major crops which make the basis for the agriculture in the country. The crops occupy 42.2% and 41% of the irrigated land respectively. Other crops include fodder (9% of the irrigated land), potato, vegetables, fruit, etc. (about 8% of the irrigated land).

14. The disparity in the quality and living standards between the rural and urban population, apart from direct impact on consumption of natural resources has a strong impact on the social development of the territories. While we can present only the official data on the disproportion between the human development of rural and urban population, the state of affairs is as follows³:

- (a) Population growth, as well as the average size of a family, in rural areas is higher than in urban ones;
- (b) The unemployment rate in villages is higher than in cities;
- (c) Supply with potable water and sanitary services in villages is poorer than in cities;
- (d) The educational level in villages is lower than in cities.

15. According to the country development surveys in Uzbekistan, «benefits of the development bypass the rural population», and the latter «does not have enough skills, education, capital and other resources to fully benefit from the existing opportunities offered by economic growth»⁴. Thus, the summary is that the social and economic stress on the population living in rural areas is considerably higher than that of urban population. This stress thereby represents an additional threat to the sustainable use of natural resources in Uzbekistan.

16. To improve the socio-economic status of rural people and expand development opportunities in rural areas, the Government undertakes a process of farming privatization where the land management rights are passed over from the governmentally-owned farms to private farmers. This factor can have both positive and negative impact for natural resources conservation. On one hand, farmers will have more tenure rights to manage the land, which may promote real investments in improving the quality of

¹ Data of the National Human Development Report, 2007

² Data of the National Human Development Report, 2007 as of 2005

³ Data of the National Human Development Report, 2007

⁴ Country Survey: Proposed strategy for economic growth, employment and decreased low income status in Uzbekistan, International Poverty Center, UNDP, 2007, p. 6

natural resources used in the agricultural production. On the other hand, while regulations concerning relationships over use and rights to natural resources are still weak and have numerous gaps, various abusing practices and excessive use of the resources can well happen.

2.2 Existing legal conditions

17. The legislation and regulatory system on environment protection and natural resources use in Uzbekistan is a fairly well developed. The current system of the legal acts consists of the Constitution of the Republic of Uzbekistan, various laws, decisions of the Cabinet of Ministers, decrees of the President, regulations of the ministries, state committees and departments, as well as decisions of local public authorities. The country passed such laws as:

- (a) **Law on Nature Protection** (1992), establishing the general legal frameworks for the protection and use of the environment and natural resources, defining property relations, rights and duties of the authorities responsible for the protection and use of natural resources, principles for the definition of the order and standards concerning ecological quality, ecological assessment and examination, responsibility for infringements of the ecological legislation and other matters;
- (b) **Law on Forest** (1999) which provides that forests belong to the State, and defines the general conditions for the use of forest and its protection;
- (c) **Law on Water and Water Use** (1993) establishes the requirement to all legal and physical persons of the country to use effectively the water resources irrespective of the purpose, to protect them from pollution, contamination and exhaustion, and improve the conditions of water bodies;
- (d) **Law on Protection of the Atmospheric Air** (1996), establishing the general frameworks for the protection and prevention of pollution of the air environment in the country;
- (e) **Law on the Rational Use of Energy** (1997) is directed at the creation of a legislative basis for the realization of practical measures to raise energy efficiency and energy saving in the country;
- (f) **Law on Protection and Use of Fauna** (1997) regulates relations in the field of protection and use of animals living in wilderness on land, in water, in atmosphere and soil, permanently or temporarily occupying the territory of the Republic of Uzbekistan;
- (g) Others.

18. In addition to existing national legal acts, Uzbekistan has signed a number of international conventions and agreements in the field of environment. Uzbekistan has signed and ratified three Rio Conventions for which GEF is the financial instrument:

- (a) UN Frame Convention on Climate Change (came into force on March, 21st 1994), including the Kyoto Protocol to the UN Frame Convention Climate Change (ratified on August, 20th 1999)
- (b) United Nations Convention on Biodiversity (came into force on October, 17th 1995)
- (c) United Nations convention on struggle against desertification and degradation of land (came into force on October, 20th 1995)

19. In addition to this, Uzbekistan is a party to some other international agreements in the area of the environment conservation, including:

- ✓ Convention on the conservation of migratory species of wild animals («The Bonn Convention»; Bonn, came into force on May, 1st 1998);
- ✓ Convention on international trade in endangered species of flora and fauna (CITES, came into force on 8 October 1997);
- ✓ Convention on wetlands of international value, mainly, as habitats of waterfowl. («The Ramsar Convention»; Uzbekistan has joined the convention on August 30th, 2001);
- ✓ Vienna Convention for the Protection of the Ozone Layer and Montreal Protocol on Substances That Deplete the Ozone Layer (joined on May, 10th, 1993, ratified on May, 18th 1993);

20. Becoming a country-participant to the international environment protection agreements, Uzbekistan has incurred obligations to take measures to enforce international norms described in the conventions. While in most cases, legally a convention means that the country will (i.e. intends) carry out actions to fulfil it, and does not impose any specific quantitative obligations, nevertheless, a convention's statement effects international image of the country and should become binding for crafting national policies. Currently, the process of creation and updating of the national legal basis to achieve the goals/obligations of the adopted conventions continues, but there are a number of gaps which require further work. On one hand, in this case the GEF SGP will operate as a tool through which the GEF will serve a role of an "assistant" for achieving goals and objectives set in the conventions. On the other hand, the GEF SGP through its projects on the ground can encourage the government of Uzbekistan to adjust existing legislation by providing lessons learned received from the projects implementation and their recommendations.

21. The development frameworks of Uzbekistan adopted and approved by the government constitute another important factor for the activities of the GEF SGP in Uzbekistan. The basic document in this context is the governmentally approved Wealth Improvement Strategy (WIS) for 2008-2010. The Strategy, among others, defines the following long-term directions for the country development as of the utmost priority, and which have potential interrelation with the priorities of the GEF SGP in Uzbekistan:

- ✓ Agriculture;
- ✓ Measures of social and economic policy to develop the human potential and social protection, including establishment of new work places, strengthening the role of the most vulnerable groups of population, and education;
- ✓ Creating mechanisms and tools to improve living conditions of the population;
- ✓ Access to more effective and reliable sources of energy and water;
- ✓ Stimulation of the economic growth;
- ✓ Development of the stakeholders' capacity.

22. Along with the mentioned laws, international agreements and the Wealth Improvement Strategy of Uzbekistan for the period of 2008-2010, there are a number of government programmes which the GEF SGP in Uzbekistan will have common areas of interventions with and provide mutual benefits. This can be especially relevant to the state programmes in the areas of agriculture and rural development, as well as the programmes directed at the increased energy efficiency.

2.3 Institutional Context

2.3.1 Governmental institutions

23. A number of governmental entities are involved in the management and control over the use of natural resources in Uzbekistan. In the first place, the Oliy Majlis of the Republics of Uzbekistan (the Parliament) is charged with the function to define key directions of the state policy in the area of environment protection and use of its resources.

24. The authority of the Cabinet of Ministers of the Republic of Uzbekistan lies in providing regulations and ensuring enforcement of the adopted state policy in the sphere of environment. Management of certain natural resources is assigned to specialized ministries, agencies and government committees. For example, the management of forest resources and the State Forest Fund is given to the Main Forestry Administration at the Ministry of Agriculture and Water Management of the Republic of Uzbekistan. Energy - both electric and thermal - to industrial and household consumers of the country is supplied in a centralized manner by the state joint-stock company Uzbekenergo. Development and coordination of programmes in agricultural and water management sector is a function of the corresponding ministry.

25. Local administration authorities are charged with the task to promote economic and social development of specific territorial units of the country, as well as with the responsibility to conserve environment in the areas. The local authorities at province, district, city levels are headed by a Khokim (Mayor/Governor).

26. The state controls compliance of ministries, state committees, departments, enterprises, institutions and organizations, as well as individuals with the environmental legislation. It does so

through the State Committee of the Republic of Uzbekistan on nature protection (Goskompriroda). The Committee controls universal compliance with the legal norms on use and protection of land, interiors, water bodies, forests, fauna and flora, and atmospheric air. Goskompriroda is directly accountable to the national Parliament. The logic of such subordination is well justified as Goskompriroda is called to enforce the compliance with the state environmental and natural resources policy which is adopted by the legislative branch of the power and only executed by the government – executive branch.

2.3.2 Institutions involved in natural resources consumption

27. The institutions of the society that are engaged in the consumption of services and products environment provides can be listed as follows: farmers; agricultural enterprises; individual households living both in rural and urban districts; various water users; industrial and other commercial enterprises. Thus, one can say that the list of consumers of natural resources, products and ecosystem services and therefore potential players in the GEF SGP activities in Uzbekistan is fairly broad.

28. While the key target group of the GEF SGP in Uzbekistan would be rural population as the segment routinely interacting with natural objects and complexes, the work with urban population is also important. The urban population is the biggest consumer of energy; it affects the natural environment through recreational activities; and by creating excessive demand for environmental products and services. Thus, the GEF SGP in Uzbekistan, depending on specifics of its thematic areas, will work both with rural and urban institutions.

29. The scale and character of impacts made on the natural resources and environment varies depending on the kinds of activities of the aforementioned institutions. Nevertheless, in production of market products all of them use natural resources. No specific research on degrees of the adverse impact and unsustainability of the natural resources use with a breakdown by various sectors in Uzbekistan has been made.

2.3.3 Analysis of the civil society sector

30. For the first time the state recognized the need for legislative protection of non-governmental organizations interests in February 1991, having passed the Law “On Public Associations in the Republic of Uzbekistan” (1 5 . 0 2 . - 1 9 9 1). The law has been periodically updated and revised. In the meantime, the country adopted a number of other regulatory legal acts creating the frameworks for the state regulation of the civil society sector and promoting operations of NGOs in the country. Among them the law “On Non-government Non-commercial Organizations” (1 4 . 0 4 . 1 9 9 1), the Law “On Guarantees of Activities of the Non-governmental Organizations” (0 3 . 0 1 . - 2 0 0 1), the decisions of the President of the Republic of Uzbekistan “On Measures to Assist in the Development of Institutions of Civil Society in Uzbekistan” (2 3 . 0 6 . - 2 0 0 7) and “On Additional Measures of State Support to Institutions of Civil Society” (0 7 . 0 7 . - 2 0 0 7), et c. № П П

31. Executing the law “On Guarantees of Activities of Non-state and Non-commercial Organizations”, Uzbekistan introduced a procedure to fulfil state social orders (functions) by non-governmental organizations, i.e. conduct socially important projects.

32. Presently more than 50 non-governmental non-commercial organizations (NGOs) that aim at protecting environment or promoting sustainable use of its resources operate in Uzbekistan. Sectors of their involvement are various: from educational projects to monitoring the state of environment. It should be noted though that the major bulk of work in sustainable resource use and protection of environment is done by the NGOs that have an explicit ecological focus. Other public organizations are marginally engaged in the nature protection activities.

33. In September 2004, at the conference of environmental NGOs, 48 environmental NGOs united into the Association of Environmental NGOs - ECOFORUM of Uzbekistan. This was done to ensure better coordination of the activities and representation of their interests. The ECOFORUM was registered by the Ministry of Justice of the Republic of Uzbekistan in April 2007. Other NGOs prefer to operate independently. Starting from 2006, the Youth Environmental Network of Uzbekistan works in the country under the UNEP TUNZA initiative. Presently the network unites about 100 members, who represent non-governmental organizations, school and student’s clubs, CBOs.

34. At the same time, the number of organizations which unite people to address broad range of their general issues - *makhallyas*, rural assemblies of citizens, associations of household owners, consumer co-operative societies, etc. – amounts to more than 5,000. Therefore, potential to engage a number of stakeholders in the work on sustainable use and conservation of the natural resources exists enormous.

35. ATTENTION! Important. **For the purposes of** the GEF Small Grants Programme a non-governmental, non-commercial organization is defined as:

A non-governmental, non-commercial organization that is a legal entity, that has a certificate of the state registration, bears an official title, has a bank account, an ITN number; does not pursue income generation as the main purpose of establishment; **does not distribute** received financial or other material proceeds between the founders; **does not pursue** political and/or religious goals; and expresses/represents opinion of a certain targeted group(s).

36. Hence, it is well justified to assert that:

- a) Relatively strong civil society sector exists in Uzbekistan;
- b) Legal basis for operation of the civil society sector is present;
- c) The communication and cooperation mechanism between the state and non-governmental sector is established, but has a potential for development;
- d) The work in the sphere of environment is often conducted by specialized environmental NGOs only;
- e) There is a considerable potential for the introduction of environment and its sustainable use into the scope of interventions of various public organizations.

2.4 Global Context

37. The Small Grants Programme is financed by the Global Environmental Facility (GEF). The GEF was created as a financial instrument, in response to the growing concern of the world community about the environment problems. The fund provides financial assistance in the form of grants to developing countries in order to address global environmental problems. At the moment, GEF is the financial instrument for four global conventions:

- ✓ United Nations Convention on Biological Diversity;
- ✓ The United Nations Framework Convention on Climate Change;
- ✓ United Nations Convention to Combat Desertification;
- ✓ The Stockholm Convention on Persistent Organic Pollutants.

38. The GEF also helps the countries to phase-out the ozone-destructive substances and to efficiently manage transboundary water resources.

39. While the GEF itself receives a strategic guidance from the conventions what directions should be embarked on and what problems should be addressed first, the Facility, based on such directions, defines the operational programmes of its activities for each budgetary period. Now it is the 4th budgetary period of the Facility's work (2006-2010) and the GEF Council has identified the key priorities for this period which are described in [Annex 1](#).

40. To receive financial assistance from GEF, the country should meet several specific criteria, namely:

- (a) To work in certain thematic areas of the GEF, the country should ratify the corresponding convention;
- (b) The country should be have the right to receive assistance from the United Nations and/or the World Bank;
- (c) Approved projects should have significant benefits for the global environment: protection of globally significant biodiversity, prevention of GHGs emissions, conservation of international waters etc.;
- (d) Projects should correspond to the agreed national priorities and obligations;
- (e) Financing from the GEF SGP has the incremental character, and therefore the core co-financing of the projects is a must;

(f) Projects should have a *catalytical* (stimulating) role and innovative character in comparison with the conventional methods and approaches that are currently applied in the natural resources use.

41. A detailed breakdown of the thematic areas of interventions is reflected in the GEF operational strategy and operational programmes for the current budgetary period which was mentioned in para 39 above.

42. The Small Grants Programme of GEF in Uzbekistan must correspond to these areas and identify its niche of interventions. The latter is defined and reflected below in the present strategy.

3. Environmental situation in Uzbekistan and current threats

3.1 Geographical position

43. As it was already mentioned, Uzbekistan is a country with sharply continental climate: hot in summer and cold in winter. Located in the centre of the Central Asia, in a subtropical zone of the northern hemisphere, Uzbekistan has a territory of 447,400 sq.km. Uzbekistan borders with Kazakhstan in the north, Turkmenistan and Afghanistan - in the south, and Tajikistan and Kyrgyzstan - in the east (see Figure 1).



Figure 1. Landscape Map of Uzbekistan and its position in relation to neighbouring countries

44. The territory of Uzbekistan occupies the territory between two main rivers of Central Asia - Syrdarya and Amudarya, which flow into the Aral Sea. Once the fourth largest inland sea on the planet, at this moment the Aral Sea has decreased in volume more than 9 times, in coverage – by half, and water mineralization has risen more than 10 times⁵. Almost 85% of the country territory is covered with deserts and semi-deserts, including the greatest desert of Central Asia, the Kyzyl-Kum. In the east and southeast there are mountain ranges of Tjan-Shan and Pamir-Alai.

45. The country is administratively divided into 12 provinces, the capital city of Tashkent and the Republic of Karakalpakstan within Uzbekistan. It is worth noting that the population is distributed unevenly: in Karakalpakstan, which occupies almost more than a third of the country, the population density is less than 10 people per 1 sq.km., whereas in the rather small Fergana province the population density is over 400 people per 1 sq.km.

⁵ Review of the donor assistance in the region of the Aral Sea (1995-2005), UNDP, 2008, p. 10.

3.2 A review of the environmental situation in Uzbekistan and conformity with the GEF priority areas

46. Aridity of climate in Uzbekistan, number and density of the population, excessive reliance of the national economy on natural resources consumption and out-of-date management practices - all these lead to the increasing degradation problems of the natural ecosystems in the country. The main environmental problems in Uzbekistan are as follows:

- (a) Universal loss of biodiversity;
- (b) Universal degradation of soils and accompanying loss of the fertile soil layers and desertification;
- (c) Deficiency and pollution of water resources;
- (d) Increasing risk of climate change impacts on ecosystems of Uzbekistan.

47. A review of environmental thematic components and root causes of their degradation are described below:

3.2.1 Biodiversity⁶

Biodiversity richness⁷ in Uzbekistan

48. The territory of Uzbekistan includes plain and mountainous parts having different indexes of biological diversity: the plain part is for the most part represented by desert and semi-desert ecosystems, where the index of diversity is lower than that in the mountainous parts of the country. The mountains are represented by several altitude zones; the zones have well distinguished climatic belts. The wetlands ecosystems are represented both in the plain and mountainous regions.

49. The prominent feature of the majority of ecosystems in Uzbekistan is their high fragility and vulnerability to the external disturbances, which is caused by the aridity of the climate. Their resilience is therefore is quite low and any human intervention plays a role of a serious additional factor in degradation of the natural processes and systems.

50. The ecosystems of Uzbekistan have prominent global values. Desert, mountain and wetland biomes of Uzbekistan are included in the Global List of the World Wildlife Fund (WWF) «Ecoregions 200». These ecoregions are: the Middle Asian Montane Steppe and Woodlands (№ 1 - woodlands and wood-grass communities of the Gissar-Alai; Tjan-Shan coniferous woods; Alaj-West Tjan-shan mountainous steppes; Tjan-shan foothills [low mountains] and arid steppes [semisavanna]; and Central Asian desert and Central Asian southern deserts; the coastal lands [floodplain terraces, deltas] and oases.

51. The wetland and desert ecosystems are included in the globally significant Central Asian center of stopovers of migratory birds, located at the crossing of two major world migratory routes (Afro-Euroasian and Indo-Eurasian).

52. Mountains of Uzbekistan are included in the World List of the Most Biologically Rich and Endangered Ecoregions of the World⁸.

53. The body of the biodiversity in Uzbekistan constitute 708 species of wild vertebrates and about 14,900 species of invertebrates and about 4,500 wild species of vascular plants. A considerable part of flora and fauna is represented by the key species of Turan plain depreciation or Turkestani (mountain) endemics⁹ or sub-endemics, as well as by species that migrated to the territory of Uzbekistan at various historical times from other areas such as the Central Asian uplands, Southeast and Western Asia, Northern Eurasia, and the Mediterranean. At the same time, some animal species, insects are invasive

⁶ Materials in *Biodiversity Richness in Uzbekistan* and *the Baseline situation* sections were taken or adapted from the Third National Report of the Republic of Uzbekistan to the Secretariat of the UN Convention on Biodiversity, signed and sent to the secretary on February, 3rd, 2006 by the State Committee of the Republic of Uzbekistan on Nature Protection

⁷ Biodiversity is interrelation of all biological part of the nature, including *species diversity* – diversity of all plants and animals, fungi, bacteria and microorganisms; *genetic diversity* – diversity of genetic material in species and between them; and *ecosystem diversity* – diversity of various ecosystems (such as mountainous woodlands, steppes and savannas, deserts and seas, etc.). All together, these three components constitute biodiversity.

⁸ Hotspots revisited. Earth's biologically richest and most endangered terrestrial ecoregions. [Conservation Int.], CEMEX, 2004.

⁹ Endemics – species which are peculiar to a certain territory

and make a negative impact on the ecosystems and local species. Similarly negative impact on the natural ecosystems is caused by more than 100 invasive weed species of vascular plants as a result of poor land use practices.

54. A number of flora and fauna species in Uzbekistan are endangered. In 2003, 182 species were enlisted in the Red Book of Uzbekistan (23 mammals, 48 birds, 16 reptiles, 17 fishes, 54 insects, 6 crustaceans, 1 araneidan, 14 molluscs, 3 annelids) and 301 plant species (1 gymnospermous, 300 angiospermous). For comparison, 184 species of animals and 305 species of plants were given various status of "endangered" and enlisted in the new edition of the Red Book of Uzbekistan in 2006. A considerable number of these species are recognized world-wide as globally important and endangered: 48 species of animals occurring in nature in Uzbekistan are in the international Red List of the International Union for Conservation of Nature (IUCN).

55. In addition to the wild species of great value there is specific genetic variety of agricultural crops and breeds. The country has zoned hundreds kinds of cultural plants¹⁰ and breeds of agricultural animals, including domestic selection. In selection process of new domestic breeds important role plays availability of a number of old forms of cultural plants which have been cultivated by local population. The flora of Uzbekistan is rich in ancestors and wild relatives of cultural plants (more than 200 species). Thanks to application of traditional and modern methods of selection the country has created genetic collections of the major agricultural crops and varieties. Uzbekistan possesses the largest regional collections of germoplasm of cultural plants. More than 300 species of wild-growing plants are defined as economically important resources: medicinal, oil-yielding plants, food, dyes, technical and toxic plants (production of technical poisons). Uzbekistan has a well-developed system of special nurseries for the medicinal and oil-yielding plants of local wild-growing flora. Several hundreds species of plants are used in decorative floriculture, 256 species of decorative trees and bushes (around 200 of them have been introduced), as well as their hybrids and forms are used for gardening of cities and oases. The various nations that lived in Uzbekistan since ancient times traditionally used several hundreds species of wild-growing plants, as well as dozens species of birds, mammals, species and strains of bacteria and mushrooms. There is a tradition to protect hundreds of sacred places connected with species of vascular plants, fishes and natural phenomena.

Baseline situation

56. The species diversity of flora and fauna is directly dependent on the condition of an ecosystem. Unfortunately, for some reasons described below, the majority of ecosystems and objects of biodiversity are presently subject to some degree of degradation. No untouched, completely healthy natural ecosystems can be found in the country. The degradation has mostly affected desert, water bodies and wetland ecosystems, which were badly impacted by large-scale land development with accompanying artificial regulation of water and land resources distribution.

57. The most catastrophic damages to the status and functions of the ecosystem can be found on the territory around the Aral Sea – zone of the ecological disaster in delta of Amudarya. Now the average river inflow into the Aral Sea, once totalling to about 56 km³/year, has fallen 10 times. The natural sea level (53.46 m above the sea level) has fallen to 22 meters, the salinity of water has grown 6-12 times. The area of the dried sea bottom occupies 42,000 km² and has turned into a source of sand and salt particles that are carried over to the adjacent territories, with the annual volume of about 15-75 million tons. The total area of deltoid lakes declined 2 times (over 60 highly productive lakes occupying the space of 600 km² have dried). The climate of the Aral Sea region has changed, many fish species have gone extinct, populations of fish and game species have decreased ten times. The ecological crisis has generated a social one: it has become more difficult to receive a secure income from agriculture; level of human diseases has grown; life expectancy has declined; and ecological refugees have come to existence. "The Aral crisis went beyond the Central Asian region, it has a global importance, and its destructive impacts are felt today in change of climate, biological imbalance, population health problems and human genefund of the future generations infringements" (Statement of the President of the Republic of Uzbekistan at the Millenium Summit. 55th session of the UN General Assembly. 18.09. 2000).

58. The desert and semi-desert ecosystems of Uzbekistan occupy about 4/5 of the country territory - Turan land depreciation, Kyzyl-Kum desert and Plateau Ustyurt, Karshi steppe, some areas in the south of the country and Fergana valley. These lands are subject to serious degradation due to the massive

¹⁰ The state registry of agricultural crops recommended to be planted in the territory of the Republic of Uzbekistan. Tashkent, 1998

agricultural development. As a result of such development extensive territories became unsuitable for the proper ecosystem functioning and existence of diversity of flora and fauna.

59. The condition of the Forest Fund (land) in the republic over the past decade of the Soviet period worsened sharply. First, for the needs of agriculture about 1,500 km² of the forest lands were withdrawn and agricultural development extended and ruined the highest quality saxaul (haloxylon) forests and extremely valuable tugai (riverine) woods. Secondly, the degradation processes on the lands of long-term use also inflated and showed signs of the vegetative cover depletion, soils deflation and other negative processes. Floodplain wood and shrubs communities suffered the most and their coverage declined more tens times and currently occupies only 250 km² (1% from the total forest area). In the delta of Amudarya, the area of riverine forests (tugai), which in 1950 occupied over 1,000 km², currently is less than 100 km². Currently, nationwide, the area of naturally grown forest stands in the mountain zones does not exceed 3,000 km² (percentage of the actual forest coverage is 3.1%; out of the total area coniferous varieties occupy 2,000 km²). In the desert-sand zone properly vegetated area (mainly saxaul communities) occupies around 20,600 km². Despite a number of governmental efforts, till now it has not been possible to reach the level of forest coverage as of 1960-1970. Out of all afforestation area where centralized plantations by forestry enterprises had taken place over the last decade, plants did not strike root on the area of 124,000 hectares (32% of the entire planted area), which is a sources of particular concern. Over the same period, the total area of the state Forest Fund has decreased by more than 10,000 km² and the forest coverage percentage in the country decreased by 1%.

60. The current condition of the mountain ecosystems is affected by a number of complex social and economic problems. Owing to uncontrolled, human-induced impacts on the mountain ecosystems the following is taking place: universal substitute of the endemic plant species for introductive; depletion of the plant genefund; soil degradation; replacement of the economically beneficial species of plants with various weeds; radical changes in the hydrothermal modes of soil on hillsides; increased probability of natural disasters; exhaustion of aquifers and renewable water bodies, including glaciers melting. The most acute problems on these territories are: 1) rather poor resilience of the ecosystems and its endurance to human impacts; 2) active susceptibility to negative exogenous processes (over 20% of the territory is in the zone affected by soil erosion, landslides, collapses, avalanches, mudflows); 3) low percentage of forest density in the mountains and the worsening degradation of natural pastures; 4) watershed pollution with industrial wastes.

61. The condition of the agrobiodiversity in Uzbekistan also requires serious attention. Since 1960 till now the dominating crop which has been grown almost on any irrigated lands in Uzbekistan is cotton. However, the latest trends show that there is a certain increase in land occupied by grain, leguminous crops and vegetables production at the expense of reduction in cotton planted areas which now constitute 40% of all cultivated lands.

62. Local crop producers start orientating themselves towards markets of foreign countries. This often leads to the situation when many local, unique species of fruits and vegetables are replaced with crops that demonstrate better storage abilities and have a more "attractive", marketable look. Such "development" force out local species and serves as a threat to the conservation of the unique agrobiodiversity in Uzbekistan.

63. At the same time there is a process of degradation of diversity in animal husbandry, but it is caused by a whole set of other reasons described below.

Protected areas

64. Protected areas (PAs) are described here on purpose since they represent the main refuge for the preservation of unique biodiversity of Uzbekistan. With various levels of protection, they carry out the state function of preservation of biodiversity for the future generations of the country. At the moment the state has established the system of PA that includes:

- ✓ 9 strict nature reserves;
- ✓ 2 National parks;
- ✓ 1 breeding centre for reproduction of jeirans (goitered gazelle), the Jeiran Ecocenter;
- ✓ 9 special purpose reserves which only function to a certain extent; and
- ✓ 2 state nature sanctuaries.

65. The area occupied by PA system constitutes 5.57% of the total country territory whereas the area occupied by PA with high level of protection¹¹, i.e. strict nature reserves and national parks, takes only 8,068.76 km² or 1.8% of the country territory. Currently the approaches to biodiversity protection in PA show a slight tendency to change from "strict protection" to "conservation and sustainable use". The latter implies that the local population living around a PA should be more involved in conservation activities, have incentives for biodiversity conservation, and receive certain income/benefits from conservation. Nonetheless, the rate of resource use should strictly follow the rate with any ecosystem is able to reproduce the consumed biological resources. This makes the consumption of biodiversity sustainable.

66. At this moment, however, there is an obvious contradiction, a conflict of interests between the local population living around PAs in Uzbekistan and the staff of the PAs. On one hand, local residents for the large part are engaged in ineffective forms of economic resource use and they need more and more lands to ensure own economic stability. Therefore, they often look at the territories which are under protection of a PA as potential areas of use to generate additional own income. The existing mode of protection and management in PAs does not allow to meet their needs thereby conflicts and disputes arise. On the other hand, local residents often observe unauthorized use of resources in PAs by its staff or third parties, which undermines their trust in justice and dare necessity to protect PA borders. The complexity of the social and economic situation often aggravates the problem. All these factors develop and represent a direct threat to biodiversity conservation in the framework of the PA system.

Threats and causes of biodiversity degradation

67. The main threats to the national biodiversity are:

- (a) Reduction in habitat due to the expansion of agricultural land;
- (b) Ineffective, uncontrolled use of resources of flora and fauna;
- (c) Degradation of natural habitats through overgrazing of pastures, pollution and other factors;

68. The specified threats to biodiversity have their reasons for existence.

Reduction in habitat due to expansion of agricultural land

69. At the moment the majority of farmers employ traditional, extensive methods of resource use which assume "abundant" consumption of production inputs: a lot of water, deep ploughing, etc. Another problem is the poor rotation of crops on the cultivated lands. Two crops constitute prevailing cultures - cotton and wheat. A rotation schemes are needed for restoration of the adequate mineral soil structure. The practice of excessive application of water for irrigation and soil leaching leads to water logging and growing soil mineralization. Salinization of the soils consequently leads to increased mineralization of water that is used for watering. The mineralized water is used for irrigation downstream afterwards and results in increased salinity of soils there. All these factors serve as the reason for the general decline in soil fertility across the country. As the productivity falls, farmers look for new lands which, in their opinion, should be more fertile and suitable for development and production. But as they move further away from the main water flows, the newly developed lands have properties less favourable for agricultural plant production. The development of new territories consumes natural habitats, leaving behind territories which are highly degraded and have marginal value for biodiversity. No habitats means absence of biodiversity.

70. The root causes of the problems are: i) weak awareness/knowledge and skills of rural population on advanced methods of agriculture; ii) various legal and institutional restrictions on activities of farmers; iii) degradation or absence of a corresponding infrastructure: drainage, transport, technical facilities etc.; iv) limitation of access to financial resources.

71. For sustainable existence and development of fish populations and water dwelling cultures, the basic constraints are the excessive over-regulation of natural waterways interfering restoration and migration of species.

Ineffective, uncontrolled use of resources of flora and fauna

¹¹ Such categories of PNA are considered as the categories I and II of the IUCN. It is these categories that demonstrate how actively the country is involved in the preservation of biodiversity. The objectives laid out by the UN Convention on biodiversity, include coverage of 10% of the territory of the countries with protected natural territories.

72. Another important factor for the reduction of biodiversity is the direct destruction of biodiversity resources. For the largest part, biological resources of the country concentrate on the lands that belong to the state Land and Forest Funds, i.e. they are public. People perceive such resources as "free". Presently, rural population has a limited number of possibilities to secure stable incomes and the state structures demonstrate low efficiency in resource management. In these conditions, people resort to a simplified economic decision making. This type of thinking is confined to the following: it is more profitable "to receive all for free", to illegally use the resources of biodiversity within protected territories as an additional surplus to the "usual business", economic activities and household income, instead of applying more efficient management of own resources. Now, the situation in the country favours such "investment-free business". Naturally, this negatively affects the stability of ecosystems and their biodiversity.

73. The majority of local residents have a utilitarian approach to the nature as a source of food, income and materials for heating of their houses, cooking and construction. Most of the residents in rural areas suffer from the combination of difficult economic conditions. They push them to become actively engaged in exploitation of wildlife: logging of trees for fuel and construction; collection of herbs and plants, which are suitable for sale or food (nuts, berries, grasses); poaching of animals for food or sale. Often rare or endangered species are under the threat. Certainly, in the present conditions it is improper to blame people for the irresponsible attitude toward the resources where the latter are simply necessary for survival of their families. Nevertheless, this utilitarian approach is not sustainable in the long run and results in mass destruction of the biological resources and can shortly cause their complete extinction.

74. To overcome the problems it is important to eradicate the root causes: i) weak awareness/education and skills of rural population to manage the resources in a more effective manner; ii) various types of legal and institutional restrictions for an effective utilization of public goods (pastures, woods etc.); iii) weak financial sector that is unable to invest in effective development of businesses in rural areas; and iv) various obstacles for development of the service sector and other sectors of the economy in rural areas.

Degradation of natural habitats through overgrazing of pastures, pollution and other factors

75. A number of habitats which could have been used for maintenance of natural complexes are now at a certain stage of degradation, which makes them unsuitable as habitats. The primary factor of degradation of natural complexes in the most territories of the country is livestock overgrazing. After the disintegration of the Soviet Union, the previous management system was destroyed. People, who used to receive a stable income from the government, had to refocus towards new market realities. While the financial system was in the process of establishment, people did not have any trust in banks and invested in livestock that appeared as the most reliable way of securing the capital. However, as for the most time people in the country had to be engaged more in farming rather than in livestock breeding, traditional knowledge and management approaches to animal husbandry have largely disappeared. As the result, the population of Uzbekistan fell engaged in livestock breeding without due preconditions, which served as the direct cause of the degradation. The absent preconditions namely included: i) the practice of pasture rotation and other traditional methods of animal husbandry have been lost and never restored again practically on all territory of the country; ii) lack of sufficient territories for cultivation of forage crops; iii) lost practices of effective preparation and production of forage; iv) lost practices for selection and reproduction of breeds' varieties with highest productivity; v) inadequacy of veterinary services to existing livestock numbers. Moreover, the population grew high and accordingly the number of those who wanted to be engaged in animal husbandry. To summarize, number of people have grown, livestock numbers have grown as well, but no conditions for this growth have accompanied. The increased number of livestock grazes on all available territories. This approach has resulted in excessive overgrazing of available natural pastures and natural complexes of grass and shrubs communities.

76. Other factors that contribute toward habitats' degradation comprise of pollution coming from excessive application of pesticides; pollution with industrial wastes; existence of unjustified factors of disturbance for the wildlife; uncontrolled recreation; natural, accidental fires and those caused by damaging practice of clearing territories from dry grass by fire; and many others.

3.2.2 Land degradation and desertification

77. As it has already been mentioned above, the attitude towards natural resources and prevailing economic practices in many respects depend on the historical roots and traditional preferences of local population. Uzbekistan is a multinational country, occupied both by people who have been traditionally engaged in agriculture (for example, the Uzbeks), and the people who have been historically occupied in

animal husbandry (for example, the Kazakhs, the Karakalpakhs). Irrigated land cultivation and animal husbandry are two major economic activities of the rural population in the country. These two directions are the main driving forces of land degradation in Uzbekistan.

78. Degradation of the land is defined by GEF as "... any form of deterioration of natural potential of the land which negatively impacts integrity of ecosystems either through decreased long-term ecological efficiency or through a decline in the natural biological abundance and abilities to resist to external impacts¹²". Thus, three pillars are considered to be the most important indicators of land degradation:

- (a) Decreased land productivity – A decrease in productivity of land is observed all across Uzbekistan. It is common to measure productivity of soil in bonitet points, using a scale of 100 units. It is not important here to stress how it is calculated, but for general understanding it is necessary to mention that the higher the points, the better the quality of the land/soil is, and the land is therefore more fertile. In comparison with the early 90s, the bonitet point for irrigated land on the entire territory of Uzbekistan has fallen from 55-65 on the average by 10 units. The map below (Figure 2) shows the bonitet points distribution across the country. As is seen from the map, the condition of irrigated lands in Uzbekistan in overwhelming majority of cases is "average" or «below average», and in two regions, Khorezm area and Karakalpakstan it is "bad".
- (b) The decrease in natural biological diversity – the capacity of land to provide ecological services (productivity, pollution assimilation, participation in the hydrological cycle and turnover of chemical substances, etc.) is directly linked with the abundance of biological life forms participating in all mentioned processes. As soon as the number of biological species decreases, the quantity of occurring processes decreases too, and their quality deteriorates. As a result, land degradation emerges.

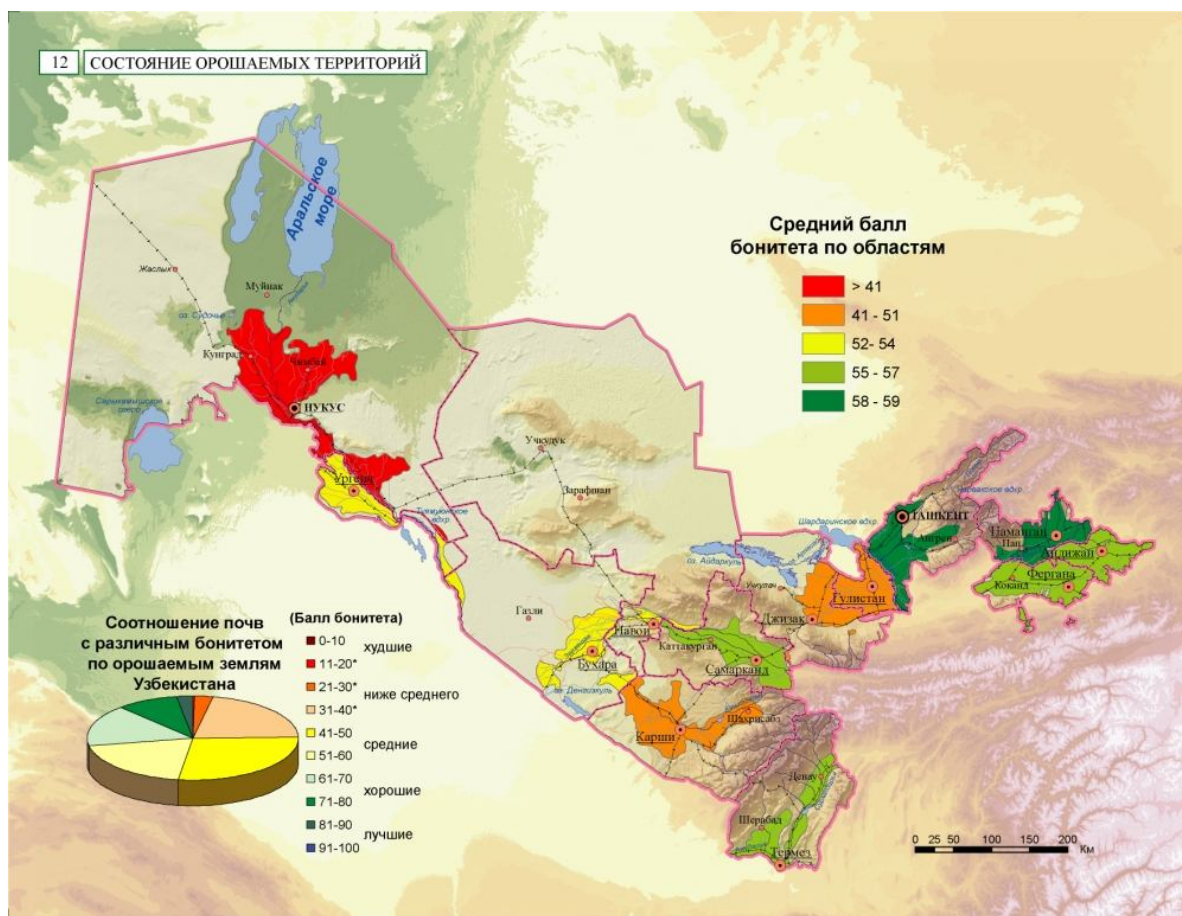


Figure 2: Condition of the irrigated lands across Uzbekistan with bonitet indicators
Source: Atlas of Ecological Indicators, UNDP, 2007

¹² GEF 1999. Report of the STAP Expert Group Workshop on Land Degradation (GEF/C.14/Inf. 15).

(c) The decreased ability to resist to external impacts (weaker resilience) – a stable healthy ecosystem allows to mitigate various natural (climatic accidents, acts of nature) and human-induced (pollution, temporary disturbance etc.) external impacts on this ecosystem. Well integrated processes in the system, the presence of a rich biological diversity and processes, allow recovering from shocks, and restoring its functions. Gross infringements of biophysical processes can lead to full inability of an individual system to restore. As a result the country receives lands that are unsuitable for any use.

79. The main reasons for degradation of lands are: ineffective agricultural production; livestock overgrazing and destruction of forests and other vegetation cover.

80. Ineffective agriculture is caused by excessive application of water on the irrigated land, wind and water erosion affecting the upper fertile layer of land, compression and formation of a soil crust, increased salinity of soil, and various kinds of pollution of the land.

81. Overgrazing by livestock and depletion of pastures results from grazing of livestock on the same territories by excessive quantity of livestock and excessive number of times which exceeds the productive ability (carrying capacity) of pastures, i.e. ability to produce so much vegetation in the territory. Basically pastures around human settlements or available/functioning sources of water are excessively grazed. At the same time, a number of natural pastures are undergrazed and also degrade. Ungulates do not break the soil crust, seeds of local species cannot proliferate and sprout, the already damaged flora diversity does not recover. Less biological species, less and worse is the course of biological processes and this results in land degradation. Once widely used practices of seasonal pastures rotations at the moment are not applied. The majority of nomadic livestock breeders that existed in the days before and at the times of the Soviet Union have settled down and have lost old traditions of nomadic animal husbandry.

82. Almost same effect is made by the destruction of the forest and shrub cover. This is particularly important for arid and mountainous regions which prevail in Uzbekistan. Trees and shrubs serve as centres for developing in desert colonies and communities of other plant and animal species. These communities in aggregate constrain and prevent further movement of sand, reduce surface velocity of wind and limit wind erosion. The tree and shrub communities serve habitats for fauna of deserts. These communities provide conditions for forage crops development used by nomadic livestock breeders. Moreover, they carry out a number of other ecologically important functions. Hence, cutting down a tree in a desert does not only physically destroy the tree, but also threatens the very existence of all desert communities. In the mountains, forests also carry out a number of ecological functions. By destroying trees in mountains, we do not only threaten the integrity of existence and functioning of the ecosystem, but also safety of people: the destruction of the vegetation cover in mountains becomes the cause for natural disasters such as mud flows, land slides, and avalanches. The population cuts trees and shrubs for fuel to cook and heat their houses, but does not engage in restoration of the consumed wood. Some tree species are used for construction purposes also.

Processes	Degradation degree
<i>Ineffective agriculture</i>	
Soil erosion	About 800,000 hectares of lands in the country is subject to erosion owing to irrigation. Over 2,364,000 hectares of the irrigated land suffer from wind erosion. Because of erosion, 80 tons of the top fertile layer per hectare is lost every season.
Soil consolidation	More than 51% of all surface lands suffer from compression of soil and structural deformation.
Soil salinization	Over 58% of lands suitable for irrigation is subject to natural salinity. About 53% of the cultivated lands suffer from the secondary salinization. Out of them, more than 1.08 million hectares are classified as moderately salinized or extremely salinized.
Reduction of the organic composition and soil organisms	Over 40% of the entire territory of the country is comprised of the soils of low productivity, owing to reduction of the organic substances by 30-40% and loss of micro florae of soils.
Soil pollution	About 54% of the surveyed soils are polluted by pesticides; over 80% have increased content of magnesium chloride. Around the industrial centers (Chirchik, Almalyk, Angren, Navoi and others) pollution with

Processes	Degradation degree
Fertility of soils	heavy metals is observed. The territories with average and low level of fertility of soils occupy 45% and 27% of the lands respectively. Only 27% of the irrigated lands are represented by soils of high quality and suitable for active agriculture. Such lands are found in regions with higher population density.
<u>Overgrazing</u>	Territories of the pastures, which are subject to overgrazing and other human-induced impacts, comprise 7,356,000 hectares; on the average, the loss of fodder potential is estimated at 21%. As a whole, about 10 million hectares of pastures require land improvement.
<u>Deforestation</u>	Only 5.3% of the territory of the country is forest covered with the majority of forest falling into desert forests type. Temporary forest plantings (1.2 million hectares) are widespread as well as massive burn out events of large forests, logged sites, glades and abandoned plantations (0.98 million hectares) on deforested lands. Artificial planting is scarce. The territory covered with tugai forests has shrunk ten times over the last 30 years due to clear cuts and regulation of the hydrological flows.

Table 1: Effect from the direct causes of land degradation

Source: National programme strategy of Uzbekistan, within the scope of the Central Asian Countries Initiative for Land Management (CACILM), ABD, 2006

83. The root causes of land degradation are similar to the causes of biodiversity loss. At the same time, it has its own specifics. Among the main causes the following can be emphasized:

- ✓ Wide spread and routine practice of using damaging and ineffective methods of plant growing and livestock breeding;
- ✓ Lack of knowledge and skills to use new, advanced methods and lack of incentives to apply them;
- ✓ Loss of traditional livestock-breeding methods and coordinated use of available pastures;
- ✓ Lack of lands allocated for pastures and production of forage;
- ✓ Lack of the access to a better infrastructure or degradation of the available one (drainage system, wells etc.);
- ✓ Inability or lack of incentives at local population to cooperate for achievement of mutually attractive benefits;
- ✓ Loss of traditional methods and uses of forest resources, gardening and afforestation techniques;
- ✓ Inefficient uses of forest for fuel caused by ineffectiveness of available energy appliances and housing insulation;
- ✓ Lack of access to financial resources to improve the situation;
- ✓ Legislative or institutional gaps;
- ✓ Other.

84. Addressing the above causes can change the situation with the land degradation for the better and help local communities securing healthy and fertile soils for improving their livelihood.

3.2.3 Climate Change

The contribution of Uzbekistan to the problem of climate change

85. The problem of climate change is a global scale problem. Its specific, unlike other environmental problems where frequently a harm is done locally, to local ecosystem, and consequences, first of all, are felt in a concrete locality, lies in a characteristic that climate change harms not national, but global ecosystem, and consequences are distributed evenly between all countries. Thus, all countries make their contribution to the "coin box" of climate change, and all without an exception are suffering and will suffer from it. The nature of the "climate change» problem is expressed through a set of aspects (global

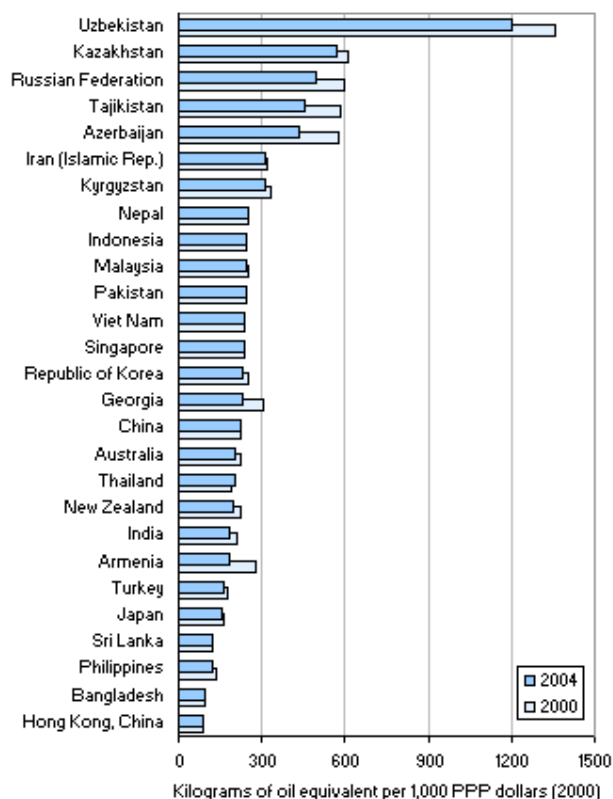
warming; change of volume and shift in the seasonal distribution of precipitation; natural disasters; shortage of water; etc.), and comprehensive description of the problem can be found in numerous text and visual materials (for example, the Al Gore's documentary «An Inconvenient Truth»).

86. Climate change is the result of emissions into atmosphere of green house gases (GHGs), produced by burning of conventional, hydrocarbon fuels, such as oil, gas, and coal. Uzbekistan, unfortunately, does not show trends to reduce but increases the emissions of GHGs to the atmosphere. In comparison with 1990, in 2000 emissions of GHGS increased by 11%, totalling to 205 million tons of carbon dioxide equivalent per year.

87. The main contributor to the problem of climate change is the power sector which is discharging about 87% of GHGs in Uzbekistan. Uzbekistan annually generates 48 billion kWh of electric power and 90% of it is generated by the thermal power stations consuming the hydrocarbons. At the same time, the balance of hydrocarbons consumption is more or less spare, as the natural gas share forms 84.7% to 87.3% of the used hydrocarbons, oil – from 11.1% to 8,3% and coal – from 4.2% to 4.4%.

88. Nevertheless, Uzbekistan has one of the lowest index of energy efficiency in world. According to the Global Trends, in 1999, Uzbekistan consumed 941% more energy per one dollar of GDP than it did in 1990¹³. In other words, to produce products or services for 1 dollar, Uzbekistan spends energy almost 10 times as much as it was spending in 1990. Since the energy generation in Uzbekistan mainly relies on consumption of hydrocarbons, ineffective use of energy implies proportional increase in GHGs emissions which potentially could have been prevented. Thus, improved energy saving can play an important role in decreasing the total volume of emissions by Uzbekistan. This will also contribute to fulfilling obligations under the signed and ratified UN Framework Convention on Climate Change.

Figure 27.6 Energy supply, apparent consumption per unit of GDP in Asia and the Pacific, 2000 and 2004



Graph 1: Energy consumption and gross national product in Asia, comparative data 2000 and 2004, in kg of oil equivalent per 1,000 dollars of parity purchasing power

Source: official website of the UN Commission on Economic and Social Affairs for Asia and the Pacific, <http://www.unescap.org/stat/data/syb2007/27-Energy-supply-and-use-syb2007.asp>, information for April, 7th, 2008.

¹³ Institute of World Resources, http://earthtrends.wri.org/pdf_library/country_profiles/ene_cou_860.pdf, information for April 07, 2008

89. At the same time Uzbekistan possesses a huge potential of renewable energy which is practically not used. The highest is the potential of solar energy which by expert estimations is expressed in 50,973 million tons of oil equivalent, of which 176.8 million tons of oil equivalent are technically accessible right now. In other words, the solar energy potential exceeds the potential of the explored hydrocarbon resources of the country. However, the development of renewable sources does not take place in Uzbekistan for some reasons.

90. Second by importance after the solar energy is the wind energy, small hydro-power, biogas and geothermal energy. Unfortunately, no detailed analysis of the potential of these energy sources in Uzbekistan was ever undertaken. However, the country had a number of pilot projects which can supply enough information for decision-making on the state level for power security of the country. An example can be the UNDP project on biogas installations on a farm in Tashkent province. The development of alternative energy sources would allow reducing GHGs emissions in Uzbekistan.

Consequences for Uzbekistan from climate change

91. While Uzbekistan is one of the countries which adds GHGs to the atmosphere, and now attempts to reduce those emissions, one can safely say that Uzbekistan will be among the countries in which the problem of climate change will be felt very sharply. The most probable consequences include:

- ✓ Sharp deficiency of water resources;
- ✓ Increase of average temperature;
- ✓ Non-uniformity of precipitation – long dry periods without precipitation and abrupt, high level of precipitation at each time;
- ✓ Full change in cultivated crops used in the agricultural sector;
- ✓ Problems with the health of population connected with the increased temperature;
- ✓ Shift in areas of natural habitats for the majority of flora and fauna species, and a cardinal change in ecological processes, products and functions;
- ✓ Enhancement of desertification processes, leaving even less land for residential development and possible economic activities;
- ✓ Full rearrangement of sectors of the national economy;
- ✓ A number of other consequences, which now cannot be predicted.

92. In Uzbekistan, no analysis of the potential damage from climate change has ever been done, but results for the national economy can be shattering.

Vulnerable groups

93. In this context, we would like to mention only groups which are vulnerable from the point of view of availability and stability of energy supply. The description of possible climate change consequences on various social groups is provided in the Second National Communication to the UN FCCC which will soon be available to the public. In the context of the GEF SGP, the access to energy resources is the factor of vulnerability for many groups of the population.

94. According to the Ministry of Economics of the Republic of Uzbekistan in 2000 Uzbekistan had about 1,500 settlements without access to the national electric grid. Primarily, those were remote settlements, for which the supply of electricity through a grid is unprofitable due to high transmission costs, low paying capacity of the population or difficulties in collecting the payments. Additionally, in most regions, especially during winter time, there are frequent black-outs of energy, i.e. access to the electric power is unstable.

95. The stable access to energy in many aspects becomes a vital factor for development of rural regions, both directly, and indirectly. The instability in energy supply, high prices for the delivery of hydrocarbons constrain the development of local processing facilities and do not allow development of other sectors, for example, greenhouse facilities; milk processing for which a stable and constant access to energy is a must; other manufactures. The underdevelopment of the rural production affects the social status and reduces economic possibilities/choices for income generation other than plant growing and livestock. Due to such limitation, the growing rural population almost fully gets involved into animal husbandry which is, as already was mentioned, one of the primary factors for land degradation and biodiversity loss in the country.

96. Another indirect result of the unstable access to energy is cutting of forest and shrubs to supply rural population with wood fuel. During summer periods the pressure is low, since the fuel is needed mainly for cooking whereas during winters wood harvesting becomes massive as wood is also used for heating of houses. Deforestation is the main reason for land degradation and biodiversity loss. At the same time, it leads to loss of the income generation potential for local population: loss of pastures for livestock; loss of the possible income from non-timber forest products; loss of the possible income from recreation using healthy and attractive ecosystems; etc.

97. Thus, the lack of stable access to energy plays an important role in the economic and social development of the rural population which, in this case, is a vulnerable group in comparison with the urban population.

3.2.4 Protection of transboundary waters

98. An important element of healthy ecosystems is well functioning water objects/arteries of various sorts: rivers, lakes, ground water, seas etc. The proper management and use of water resources is a very complex issue, and it frequently causes a number of contradictions and conflicts between users: both ordinary users in a territory, and between the countries sharing water resources in one way or another. The GEF also provides assistance to the countries in resolving these problems.

4. Programme niche of the GEF SGP

99. The name of GEF SGP speaks for itself. The keywords in the name are:

- ✓ Grant - the programme provides grants, i.e. gratuitous financial support;
- ✓ Small – the programme provides small grants so it is focused NOT on large-scale projects and programmes which are carried out by the government, but rather on local initiatives of people living in a specific area;
- ✓ Global Environmental Facility - while the initiatives should be of local character, they have to produce global benefits. And these benefits should be directed at improvement of environment, environmental benefits. While local initiatives may seem limited in the scale, all of them can easily bring about global environmental benefits. For instance preservation of any biological species is favourable for the global environment; prevention of GHGS emissions favourably impacts the entire planet; the struggle against desertification and preservation of the healthy land brings benefits to the whole planet, eliminating additional pressure upon other lands; etc. Exactly because all of the considered focal areas are of global importance, they became subjects of the international conventions and activities of the GEF.

100. The improvised motto of the GEF SGP which was used before by the entire programme, can be stated as:

THINK GLOBALLY – CONSERVE LOCALLY

101. Taking into consideration the aforesaid, Uzbekistan formulates the goal of the GEF SGP for the country as follows:

To promote improvement of the global environment through implementing local initiatives, by means of local people, aimed at conservation and restoration of the environment, by introducing and replicating practices of environmental sustainability and improving well-being of the population

102. Being a new country that have joined to the SGP, Uzbekistan sets a defined objective for the GEF SGP for the 4th operational phase of the GEF:

To launch and successfully operationalize the GEF SGP in the country through mobilizing local population for initiatives aimed at achievement of the programme's goal in Uzbekistan.

103. The GEF SGP cannot cover all thematic directions that exist to improve the environmental situation in Uzbekistan. A number of possible activities are either beyond the competence of the SGP, or the SGP is not capable with its limited resources to reach the solutions. For this reason, the GEF SGP in Uzbekistan will carry out projects in each focal area, based on specific directions described in section 4.1.

104. The guiding principles of the GEF SGP in Uzbekistan will be common for implementation of all projects in any focal area. These are:

- ✓ Focus on achieving concrete, tangible results which can potentially improve the environment in a concrete area;
- ✓ Projects of the GEF SGP in Uzbekistan should address causes of a problem instead of dealing with consequences;
- ✓ Projects should not be directed at producing benefits to individuals, but should provide benefits to a community as a whole;
- ✓ All projects should build a strong base which will allow maintaining results after termination of the support from the GEF SGP, i.e. they have to be sustainable;
- ✓ Projects should be innovative and use up-to-date approaches to management of natural resources. Simply speaking, the GEF SGP will not finance projects that have repairing physical infrastructure as the sole objective without changing management approaches;
- ✓ To build and develop partnership, the SGP projects should where possible involve all potential beneficiary and stakeholder groups (women and men, adult and youth, local administrations and business, etc);

- ✓ Projects should have strong potential for replication in other communities;
- ✓ Projects should build capacity of the local population to conserve environment.

4.1 Thematic focus of the GEF SGP in Uzbekistan

105. The GEF SGP in Uzbekistan will work in the focal areas defined by the GEF, and pertinent to the situation in Uzbekistan. The GEF SGP in Uzbekistan will operate in those focal areas for which Uzbekistan meets eligibility criteria, namely:

- (a) Biodiversity preservation;
- (b) Prevention of land degradation and desertification; and
- (c) Climate change and adaptation to its consequences;

106. Uzbekistan does not have the right to receive assistance from the GEF to prevent negative impacts from use of persistent organic pollutants (POPs) on human health and because the country has neither signed nor ratified the corresponding convention.

107. At the same time, another focal area of the GEF SGP is the “capacity building” which is the key cross-cutting area to achieve the results in other thematic areas. Capacity building for the GEF SGP in Uzbekistan is understood as:

The activity directed at the development of human knowledge, skills or relations in certain institutions of the society and individuals, for the achievement of objectives of GEF SGP in Uzbekistan

108. Another focal area for GEF SGP in Uzbekistan is the “integrated resource management”. This area assumes that the project would touch upon several thematic areas approved by the Programme and specified above, and where the project’s focus can not be defined unequivocally.

109. The programme niche of the GEF SGP in Uzbekistan lies in aspiration to reach the below identified outcomes. Whilst this list includes the utmost priorities and where the GEF SGP can have the most value added in Uzbekistan, it does not mean, that the programme will reject unique project proposals which do not fall within the specified outcomes and outputs.

110. In other cases, the submitted projects should correspond to the focus directions of activity specified below:

Outcome 1: Pressure on ecosystems and habitats of the key biological species induced by local population activities reduced

This outcome corresponds to the *biodiversity conservation* focal area of the GEF SGP. To achieve the outcome, the GEF SGP in Uzbekistan delineates the following outputs that will help eliminate the threats to biodiversity described in [para 67](#) of the present strategy:

Output 1.1: Prevent the encroachment of agricultural activities on protected areas of Uzbekistan and habitats of the key biological species

Protected areas system of Uzbekistan is the core for biodiversity conservation in the country. One of the top environmental priorities of the country is «to conserve the existing biodiversity in PA system». The main threat is agricultural development, namely, wide encroachment of agricultural activities towards the PAs. The aim of the SGP is to prevent and minimize such encroachment and, whenever possible, restore undisturbed regime of management of the territories around PA and biodiversity hot spots¹⁴ so that they become more suitable habitats.

The GEF SGP does not suggest the principle that it is imperative to advocate for banning any use of the territories. Any territories are valuable for the local population as a source of income. Their complete withdrawal is not a solution. Therefore, it becomes important to introduce alternative types of the land use or alternative approaches/practices to the activities that are already employed on the territories around PAs and important habitats. Newly proposed kinds of activities or new approaches and practices of the employed activity should bring about clear benefits to the ecosystem protected by the PA, or to the habitats.

¹⁴ By hot spots in the text we imply areas important as a habitat for a number of biological species

Output 1.2: To restore and create conditions for sustainable conservation of degraded ecosystems as well as of functions and the services provided by biodiversity

This output supports projects which aim at restoring or improve existing habitats which are adequate for conservation and sustainable use of biodiversity. This output does not imply only physical rehabilitation of territories and biological complexes, but incorporate activities on improvement of management schemes on the territories.

This work would be of little value without taking into account aspects of ecological integrity and links between potential habitats. Therefore, the submitted projects where possible should consider the fact restored territories should have ecological corridors to, or be preferably located inside, around or in the neighbourhood of the existing PAs, or existing natural complexes which are still suitable as habitats for important biological species.

Moreover, the output embraces potential work on restoration of degraded services and functions which positively impact the healthiness of the ecosystems.

Output 1.3: To introduce and support development of economic activities that reduce pressure on available natural territories and habitats of biodiversity, as well as on biodiversity products and services

This output focuses on replacing the use of resources of the biodiversity that are directly derived or harvested from wilderness, with resources which can well be cultivated by communities. In other words, in order to reduce the consumption of the natural biological resources growing in the wild, the SGP projects will help produce own identical resources. In addition, this output also means replacement of the previous economic activities with alternative options that would employ local population in more profitable and environmentally friendly practices, which would allow for ecosystems restoration. A good example of the replacement was provided by the experience of the Nuratau project on forestry¹⁵. In this specific example, the created gardens and tree stands met the demand of the local population for forest products, removing thereby the previous pressure on natural forests, and providing local population with a solid additional source of income.

Outcome 2: Emissions of GHGs generated from the use of energy by local population reduced

This outcome aims at decreasing impact on global climatic system by reducing GHGs emissions from energy use by local population in Uzbekistan. The SGP does not deal with the emission reductions from the industry, from the energy distribution networks, etc. where state interventions and a well-thought legal regulation is required. The niche of the GEF SGP lies in the reduction of emissions at the level of direct energy consumption by regular people. The overall aim is to improve the efficiency of energy use. The GEF SGP plans to achieve this outcome through working in two directions: 1) increased households energy efficiency consumption; and 2) introduction of alternative sources to produce energy for own needs by local population.

Output 2.1: To demonstrate and introduce energy efficient practices/approaches to energy use by households

Often population is poorly informed on possible methods and ways to reduce energy consumption. Besides, the energy price in Uzbekistan are fairly affordable, subsidized by the state and for many users there are no incentives to reduce energy consumption. This is also true because their energy expenses are distributed in time. Whereas to improve energy efficiency of a dwelling or buy new energy equipment, one-off investment is often needed, which can seemingly exceed many times the expenses that people incur on everyday basis. Nevertheless, it is very important to show that the energy efficiency is important not only from the environmental point of view, but also from the economic.

In this regard, this output plans working on development and realization of projects that improve energy efficiency of houses' insulation, household appliances, heating systems, cooking devices, etc.

It is essential that the GEF SGP supports projects which will be easily accepted by people, clearly demonstrate benefits of the new energy saving technologies, and be simple for replication.

Output 2.2: To demonstrate and replicate alternative practices/approaches to production of energy to meet essential needs of local population

¹⁵ Full title: UNDP-GEF Project «Establishment of the Nuratau-Kyzylkum Biosphere Reserve as a Model for Biodiversity Conservation in Uzbekistan». The project has tested a number of approaches for involving local population in the sustainable use of natural resources, including local afforestation initiatives.

At the moment, residents of Uzbekistan do not have required knowledge, experience and skills to use alternative energy sources. At the same time, already now there is a number of options to utilize alternative energy sources which are simple in technical realization and use, and are affordable financially.

UNDP and other international organizations, local initiatives of various embassies, etc. conducted a number of pilot projects to demonstrate and introduce alternative energy sources. A sufficient amount of experience in using alternative sources in local conditions has already been accumulated. However, this experience is not being adequately replicated, remaining, as a matter of fact, fragmented. Taking this into consideration, the niche of the GEF SGP is to consolidate all learned experience and promote its wider circulation through SGP projects.

Besides, the GEF SGP will promote development and realization of the the Clean Development Mechanism (CDM) projects under the Kyoto Protocol which are not attractive to big investors, but have an extensive potential for achieving social and economic benefits for local people. Small CDM projects can be bundled into CDM programmes. The niche of the GEF SGP is to assist in developing any initiatives which would promote preparation and realization of CDM programmes with a higher social focus.

Outcome 3: The most vulnerable groups of the population to climate change are prepared for the future consequences

Having adaptation in mind, we first of all should understand what consequences of climate change are expected and who will be affected by these consequences in the first place and suffer from them the most severely. The present strategy mentions the consequences of climate change and vulnerable groups in [paras 93-97](#). The Outcome aims to increase adaptation capacity of the most vulnerable groups to face and mitigate climate change consequences.

The climate change will affect all sectors of the social system and public life. Above all, agriculture, structural composition of economy, population health, wildlife and a number of other areas will be affected. The adaptation to changing climatic conditions is a rather new concept to Uzbek society and consequently the niche of the SGP in this case would be simple demonstrations of how to adapt to climate change at the local level and share experience on the demonstrations.

Output 3.1: To demonstrate to local people and replicate practices/approaches of improved knowledge and skills to adapt to changing climatic conditions in order to prevent negative consequences and/or gain benefits from possible positive consequences of the climate change.

Examples of adaptation projects can be drawn from the adaptation experience of the GEF SGP in other countries. The scope of the output can well encompass building capacity of local people to be prepared to natural cataclysms and disasters; increased safety of drinking water; and/or reduction of water consumption in agriculture in the light of the future deficiency of water resources; increased food safety via increased production of the biomass from the given territory; etc.

Outcome 4: Degraded lands in rural areas are restored for conservation and sustainable use

Land degradation in Uzbekistan has a very extensive character and a number of root causes. At the same time, the niche of the GEF SGP in the field of combating against land degradation can also be very extensive. The state priorities lie in the field of restoring irrigational and drainage infrastructure and extensive actions on land reclamation. The SGP can contribute to the success of the governmental actions through the prevention of further degradation on the cultivated lands and restoration of pasture lands and introduction of sustainable animal husbandry practices such as introduction of innovative use of pasture ecosystems; expansion of outrun pastures; improvement of the veterinary services; improved fodder production; etc. Thus, this outcome will concentrate on two areas: practices of the irrigated agriculture and animal husbandry.

Output 4.1: To demonstrate practices and share experiences on more sustainable irrigated agriculture that promote recovery of agroecosystems

The primary factor for the floodplain lands degradation is ineffective practices of land cultivation and use of water for irrigation. Within the limits of this output, the GEF SGP will support projects which will change the existing practices of irrigational lands use with practice of better effectiveness, the practices

which are restoring and saving soil and water resources. Potential projects include projects on distribution of no-tillage practices, improved irrigation methods, use of bio-drainage methods etc.

Output 4.2: To improve practices of pastures uses, fodder production and/or breeding for more efficient animal husbandry

The activities will include optimization of the following spheres:

- ✓ How to make sure that available pastures are used in the most effective way, possibility to restore is insured and pastures produce higher biomass for animal husbandry;
- ✓ How to make sure that households and farmers have enough skills to produce and store forage as well as feed livestock in the right way during various seasons of the year;
- ✓ How to make sure that the population uses the most productive breeds of livestock and has the ability to conserve and breed available genetic variety of livestock.

Outcome 5: Local population's capacity to deal with environmental issues is raised

The developers of the present strategy adhere to the opinion, that the environment conservation will not be possible unless it brings clear direct or indirect tangible benefits to the population living in the immediate proximity, involved in use and/or management of the resources. At the same time, any actions to change a practice of resource use would be impossible without adequate understanding of the problem and sufficient level of knowledge and skills to address existing nature protection issues.

Therefore, an important niche of the GEF SGP in Uzbekistan is also to raise the level of knowledge and understanding in the communities about how environment is linked with their livelihoods, how important it is, and what are the causes for its degradation and why. In this regard, the SGP will pay special attention to building capacity of the population in the country to achieve the objective and engage in efforts that contribute to the goals of the global environmental conventions – i.e. conservation and restoration of the global environment, and adherence to sustainable development principles.

A special role in achieving environmental goals and objectives is played by the most active groups of a society and community leaders. Local leaders, local women's committees, municipalities, public organizations, mass media etc. need to be fully involved and they can become the focus groups of the SGP activities in order to improve their capacities, raise understanding and awareness.

Output 5.1: To improve general awareness, knowledge, understanding and skills of the population which will allow to effectively reach objective and outcomes of the GEF focal areas.

This output includes preparation and carrying out various trainings, educational programmes, development of guideline materials and manuals, preparation and implementation of information projects, etc.

If activities related to capacity building are directly related to activities designed to achieve specific goals a project in other focal areas, they should be included in those projects. This output covers projects which would not have as a direct result any actions on biodiversity conservation, combating against land degradation and desertification, and prevention or adaptation to climate change.

The projects aiming at replication of the lessons learned and experience should also be considered within the scope of this output.

111. Except for the listed outcomes, the projects submitted for the support from the GEF SGP can have an cross-cutting character and address problems in different thematic areas.

112. Unfortunately, transboundary waters issues have not been identified as a GEF SGP priority in Uzbekistan as no niche for potential SGP projects targeting local population involvement has been marked.

4.2 Cross-cutting spheres

Gender aspects of the SGP

113. The Small Grants Programme of GEF recognizes the important role of gender issues for a successful realization of the programme in Uzbekistan. In the case of Uzbekistan, a special attention should be paid to the possibility of women's participation in initiation, preparation and realization of the

GEF SGP projects. It would be excessive to mention that one of the principles for the GEF SGP in Uzbekistan will be to prevent any form of discrimination in the process of consideration and approval of projects based on sex. It should be noted that a representative of the Women's Committee of Uzbekistan is included in the initial composition of the National Steering Committee of the GEF SGP, to advocate for interests of women during the programme realization (see more on the SGP National Steering Committee below). A gender equality section will be included into the format of the project application, as well as related practical actions. The lists of indicators to assess progress of the project will contain indicators to characterize the gender aspects of the realization of the projects.

Improvement of living standards

114. As it was already mentioned above, the GEF SGP assumes that “for active involvement of local population in biodiversity conservation, behaviour that reduce GHGs emissions and prevent land degradation, real, economically viable alternative to existing social, economic and cultural practices of the environmental management” should be offered to local communities¹⁶.

115. Therefore, the issue of livelihood improvement is the key for success and stability of both individual projects under the GEF SGP, and the programme itself. The main principle of the programme in this aspect is to find mutually beneficial (win-win) situations, trade-offs between the economic development and nature protection interests. Often, improvement of the economic well-being in a concrete district is the direct method to ease the pressure on a nearby ecosystem, its products and resources, and restore its natural healthy condition. In this regard, the improvement of living conditions, both economic and social, will serve as key criteria in selection of projects to be supported by the GEF SGP.

5. Operational frameworks for the GEF SGP

116. For the successful realization of the Programme, it is important not only to define clearly “what the GEF SGP will be doing”, but also “how the SGP will be doing it”. Therefore it is very important that all procedures and regulations of the GEF SGP in Uzbekistan are described and clearly understood by all stakeholders, and are publicly available. In other words, the GEF SGP in Uzbekistan will use transparency of all activities and all actions as its main principle of work.

117. In this section, the present programme describes the operational basis of the GEF SGP activities in the country, namely, the principles and the criteria required to prepare and select projects, procedures, project cycle, types of projects and forms of project applications, as well as the management procedures for the GEF SGP in Uzbekistan.

5.1 Principles for the GEF SGP activities in the country

118. During realization, the GEF SGP in Uzbekistan should adhere to a number of principles adopted and approved at the global level of the GEF. Thus, there are a set of principles applied to the whole Programme in general. Naturally those principles will be applied by the Programme at the national level.

Global principles of the programme

119. Functioning of the GEF SGP in Uzbekistan and consequently all projects of GEF SGP in Uzbekistan should comply with the following main principles used for the GEF SGP worldwide:

- ✓ The projects of GEF SGP should result in producing global environmental benefits, benefits to environment, and should by no means affect the environmental health. In other words, if a project does not have environmental improvement as its key object, it is not a project for the GEF SGP;
- ✓ Only non-governmental organizations and community-based organisations can be beneficiaries of the grant support from the GEF SGP – the present strategy, in [para 35](#), clearly defines what the GEF SGP in Uzbekistan implies by a non-governmental organization. Commercial or governmental organizations cannot be beneficiaries of the assistance from the GEF SGP, but can be partners in any GEF SGP project;
- ✓ Participation of beneficiaries in a project's preparation and realization: the GEF SGP aims at securing certain benefits from the healthy environment to local population. Hence, its participation is a key element for success of any GEF SGP project.

¹⁶ Language of the SGP GEF in Kazakhstan which in our opinion most accurately reflects the situation.

- ✓ Eradication of causes instead of consequences – Any project should solve an environmental problem through addressing its root causes rather than tackling consequences of damaging practices. This is the main condition for an approval of a project. Projects which are simply directed at repairing/restoration of infrastructure, exploitation of which has led to the problem, will not be supported by the GEF SGP. Projects which aim to conceal, disguise, or postpone a problem solution, directly or indirectly, will not be supported by the GEF SGP. The idea of the programme is to demonstrate and develop the innovative practices which are different from the previous unstable practices of the environmental management.
- ✓ Sustainability in time – the GEF SGP is not aiming at supporting one-time initiatives. The idea behind all projects of the programme is to have a long-term, positive impact on the situation. Therefore, applicants should prove that the results of the project will be continued after the end of the GEF SGP project.
- ✓ Size of a grant support cannot exceed 50,000 US dollars - All grants will be issued in national currency, in US dollars equivalent. The size of the grant cannot exceed the specified amount.
- ✓ The GEF SGP does not provide core funding of a project: any grant provided by the GEF should be additional, incremental in nature. This means, that GEF SGP will add the amount which is lacking for realization of an alternative. The alternative should result in bringing environmental benefits among other possible benefits. The ratio of co-financing from the GEF SGP, as a rule of thumb, is no more than 50% of the project budget. However, the project total budget can be a pool of in-kind contributions (work, use of own machinery, materials), contributions from other donors, funds of the applicants and partners directly used to achieve the project's results.
- ✓ Strict monitoring and reporting – the grant funds from the GEF SGP should be used strictly to achieve the objective of the GEF SGP. To ensure a correct use of funds provided by the GEF SGP, the team of the GEF SGP will carry out regular monitoring exercises of projects' implementation. The grant funds will be allocated in tranches, upon a proper verification that the previous tranche have been used legitimately to achieve the results specified in the submitted project application.
- ✓ Openness - transparency of all activities of the GEF SGP in Uzbekistan is its key principle. The procedures, current projects cycle's stages, implementation stages will be publicized through various channels. The website of the SGP, www.sgp.uz, will be the main official channel through which the GEF SGP in Uzbekistan will publish its information. Other means of communication and mass-media will also be used to channel the information towards the target audience of the GEF SGP.

Additional principles used at the national level

120. In addition to global principles of the GEF SGP, Uzbekistan has additional principles which the country should comply with at the 4th operational phase of GEF, as well as the principles that will help ensure a focused impact of the programme. The principles are listed below:

- ✓ Distribution of funds between the GEF thematic areas– half (50%) of the GEF SGP funds in the 4th GEF operational period will be used for projects in climate change focal area. The other half shall be used for other thematic areas defined by the present strategy. If the project is an inter-thematic one, the funds for the project shall be allocated in equal parts from corresponding thematic areas. For example, if a project is mainly directed at achievement of benefits for the climatic system and preservation of biodiversity, the means for such a project shall be taken from the budget of the two focal areas of the GEF SGP.
- ✓ The budget for the Outcome 5 « Local population's capacity to deal with environmental issues is raised » cannot exceed 20% of the total annual budget of the programme.
- ✓ The grant amount for project preparation is included in the grant total amount - If a small amount is needed for preparation and submission of a project, the amount will also be included into the total amount of the grant. For example, if an applicant requests an amount of 1,000 dollars to prepare an SGP project, the forthcoming amount of the core grant for the project cannot exceed 49,000 US dollars.
- ✓ The grant over 5,000 US dollars will be allocated only to organizations with a verified history, reputation and proven experience of qualitative performance of activities according to their

mandate. The experience of the applicant to carry out other projects is welcomed and will be seen as an additional advantage at the consideration of the project.

- ✓ Any subsequent application from the same applicant will be accepted for consideration only under the condition of successful completion of a previous GEF SGP project (based on assessment results) and faultless performance in reporting and work plans during it;
- ✓ Projects on experience replication can only be approved if the proposed approaches have been tested earlier;
- ✓ Duration of projects – maximum 24 months

5.2 Procedures for implementation of the GEF SGP projects in Uzbekistan

121. Each GEF SGP project in Uzbekistan should undergo identical procedures of preparation, submission of a project application, consideration, implementation of the project and its completion. No projects can be an exception of the specified procedures.

Project preparation

122. The project can be developed by the beneficiary itself or by any NGO acting on behalf of the beneficiary. Deep involvement of the beneficiary (communities in which interests the project is developed) in the project preparation is a must.

123. The potential developers can start preparing a project and a project application after a contest is announced by the GEF SGP. The contest announcement is published on the website of the [GEF SGP](#), as well as in the national and regional mass media.

124. While developing the project, developers should consider two criteria for the project:

- (a) The project should be developed in one of the thematic areas laid out by the present strategy and specified in [para 110](#), as well as to include related issues described in paragraphs 113-115 of the present strategy.
- (b) The project should comply with the *principles* of the GEF SGP, specified in para 119-120. The principles are used as the criteria for the selection of the project at the stage of consideration of the project application.

125. While developing a project, a potential applicant organization (further referred to as the "Applicant") should be guided by the form of the project application presented in [Annex 2](#) of the present strategy. This form can be improved and corrected in the course of the programme realization to adjust to the needs of potential applicants. Therefore, the applicant should always make sure that it uses the latest version of the project application form for his/her convenience. Nevertheless, if the applicant develops the project application based on an out-of-date form, such project application will be accepted for consideration too.

126. The team of the GEF SGP in Uzbekistan, namely the National Coordinator and the Programme Assistant, is in place to support in every possible way preparation of high-quality project applications. Therefore, the applicants may address any questions on preparation of a project application to the specified persons. The assistance in preparation, however, does not imply that the project applications will be formulated and written by the National Coordinator or the Programme Assistant. The developer is fully responsible for the writing and preparation of the project application. Assistance of the GEF SGP team rendered during the project preparation process does not entail in any way that the project application will be definitely approved and a grant will be allocated.

127. There can well be cases when a potential applicant needs financial assistance in order to prepare an application of a higher quality. This can be expenses for verification of information, attracting external technical experts, carrying out consultations in a community or with other stakeholders. The GEF SGP can provide limited assistance in the form of a *project preparation grant*. The form of the application for such a grant is provided in [Annex 3](#) of the present strategy.

128. The amount of the project preparation grant cannot exceed:

- ✓ 100 dollars – for preparation of a project amounting to 2,000 dollars;
- ✓ 500 dollars - for preparation of a project amounting to 10,000 dollars;
- ✓ 1,000 dollars - for preparation of a project amounting over 10,000 dollars.

129. Duration of the project preparation grant for cannot exceed 6 months. One applicant cannot receive the grant for preparation of the same project, or a similar project, more than once. Use of the project preparation grant should be reported according to the same procedures applied to other grants of the GEF SGP. The applicant is responsible for this reporting.

130. During the project preparation, a potential applicant should bear in mind that funds of the GEF SGP cannot be channelled to repay previous debts of the applicant or payment of taxes. If the applying organization represent a local community (makhallya, association of households, assembly of rural citizens, etc.), the project budget cannot contain any remuneration to the organization's employees. If a beneficiary would subcontract an NGO for preparation and realization of a project, which would operate as a subcontractor or facilitator of works, the project budget may then include remuneration of the NGO personnel. In either case, the total amount of remuneration and other administrative expenses should not exceed 20% of the project total amount.

131. In calculating the amount of in-kind contribution to a project, the developers should be guided by reasonable, real-life prices in the particular area, at the specific moment, at rates applied to this particular type of work, rent of the used machinery and materials which are consumed to achieve the project's results. If the GEF SGP team reveals false or overestimated costs of the claimed in-kind contribution, this can result in a rejection of the project application and the applicant will be informed about it in writing.

Submission of the project application

132. As was already mentioned above, an application can be submitted only **by a registered** non-governmental, non-commercial organization. The definition of the non-governmental organization is provided in [para 35](#). At the same time, the project can be developed by a group of people. However, should the project idea be approved for support from the GEF SGP, the initiative group should be registered according to the current national legislation in form of a non-governmental, non-commercial organization.

133. The project application filled using the form of the GEF SGP, should be submitted to the address of the GEF SGP National Coordinator in Uzbekistan. The project application should accompany a cover letter. The project application should be fully filled, without omission of required paragraphs. Applications filled out by handwriting will NOT be accepted. The project application should be sent by e-mail, fax, or by post. All contact details of the National Coordinator and the Programme Assistant are provided in [Annex 4](#) of the present strategy. After submission of the project application it is advised to check if the application has been indeed received in order to avoid a risk of its loss during transfer. In case of changes in the team, the updated contacts will be made available on the programme's website.

134. Upon the receipt of project applications, the National Coordinator conducts screening of the applications, and issues a written conclusion about the conformity or discrepancy of the project applications with the requirements of the GEF SGP not later than 15 working days from the moment of submission of the project application.

135. After receipt of a positive written conclusion from the National Coordinator, the applicant should inform in any possible way, in written form, that it empowers the National Coordinator to submit the project application for the consideration of the GEF SGP National Steering Committee (NSC), and if it wishes to send a personal representative to the session of NSC for the presentation of the project. The schedule of the NSC sessions will be made public in advance. THE GEF SGP will not be covering expenses (travel, accommodation, etc.) of the applicant related to the personal representation of the project at the session of the NSC.

136. In case of a negative written conclusion from the National Coordinator, or if there are additional questions and/or remarks, the applicant has the right:

- ✓ To address questions and remarks of the National Coordinator and send the modified project application for another round of consideration;
- ✓ To address questions and remarks of the National Coordinator and send the modified project application for the subsequent presentation of the project application to the NSC;
- ✓ To disagree with remarks and comments of the National Coordinator and send the project application for presentation to the NSC;

- ✓ To disagree with remarks and comments of the National Coordinator and send the project application with a notice, that the personal representative of the applicant will represent the project application at the session of the NSC;

137. The applicant must inform the GEF SGP National Coordinator in writing about the choice taken for the presentation of the project application for consideration of the NSC.

Consideration of the project application

138. The decision to approve the project application is made after an adequate consideration by the GEF SGP National Steering Committee (NSC). The project applications are submitted for consideration to the NSC by the National Coordinator.

139. Sessions of the NSC take place in accordance with its regulations ([Annex 5](#) of the present strategy). The project applications should be submitted to the NSC bearing in mind that the latter should have at least one month prior time for consideration of the project application. This period is necessary for a detailed study of the project application by all members of the NSC.

140. All members of the NSC should study any project application. During the consideration of the project application, each member of the NSC fills an assessment form which is attached in [Annex 6](#) of the present strategy. This form may be modified or supplemented during the programme realization. The assessment form of the project application is required for documenting the process of decision-making about each individual project. This feature is introduced to ensure transparency of the decision-making process and its objectivity.

141. After each project application is studied by each of the NSC member, the decision regarding each particular project application is made at the next session of the NSC or through voting by e-mail, according to the regulations in force. The NSC can make the following decisions after consideration of the project application:

- ✓ To approve the project application and approve the allocation of grant support to the project from the GEF SGP;
- ✓ To approve the project application with small modifications and comments which should be adopted by the applicant during the project execution;
- ✓ To provide remarks and comments which are essential and are important for success of the project, and postpone decision about the particular project application until the applicant accommodates the proposed remarks/comments/questions;
- ✓ To reject the project proposal.

142. Any decision of the NSC about any project should be supported by solid arguments and properly documented. A written notification about the made decision with explanation of the reasoning shall be provided to each applicant.

Project implementation

143. After decision on approval of the project application is made, the project implementation begins. The applicant bears full responsibility for the project execution according to the project application approved by the NSC.

144. Co-financing of the approved project from the GEF SGP is issued in parts (by tranches), based on agreed schemes of financing approved in the project application. The National Coordinator is the responsible person who will be in charge for monitoring of the project implementation by the applicant. Monitoring and reporting of the project are the key elements of the National Coordinator's duties and are the basis for the success of the Programme as a whole. Due to the importance of quality monitoring, applicants are strongly advised to see programme monitoring and reporting strategy for any projects provided in [Annex 7](#).

145. After the National Coordinator acknowledges successful performance on the preceding part of the project, the GEF SGP makes the next payment according to the payment schedule of the approved project.

146. The National Coordinator has the right to suspend the implementation of the project in case he/she finds a discrepancy between the implementation aspects of the project and the approved project application or in case of discovering an infringement/fraud in use of the GEF SGP funds. A documented official report of the National Coordinator about the revealed infringements and/or discrepancies is

submitted to the NSC for consideration and making final decision on the project termination. Moreover, in case of serious infringements, the GEF SGP reserves the right to begin a legal process for returning the funds that have been already allocated from the GEF SGP budget based on the national legislation in force.

Project completion

147. The task upon project completion is to consolidate all knowledge and lessons learned collected during the project realization. After the logical completion of all project activities, the applicant together with the National Coordinator shall conduct an assessment of the produced results and develop a project completion report. All interesting aspects of the project, positive and negative lessons, gained knowledge should be documented for further dissemination among other communities in Uzbekistan and stakeholder organizations. Through an assessment and distribution of experiences and the best practices of environment management, the GEF SGP will seek to reach deeper impact on improvement of the situation in the environmental sector.

148. Completion and documenting of results of the project is needed not only for the subsequent replication of the project, but also for keeping records about the project and building a credit history of the applicant organization for possible future support from the GEF SGP.

149. The National Coordinator reports on the completed projects to members of the NSC.

5.3 Management arrangements of the GEF SGP

150. Solid institutional and management capacity plays an important role in achieving the objective of the GEF SGP. The management of the GEF SGP is performed at several levels:

- ✓ Level of execution - the GEF SGP National Coordinator;
- ✓ Management level - the NSC;
- ✓ Oversighting and regulative level - the Central Programming Management Team (CPMT) of the GEF SGP in New York;
- ✓ Observation level - the UNDP Resident Representative in Uzbekistan.

National Coordinator

151. The National Coordinator (NC) is responsible for direct management of the programme portfolio of the GEF SGP in Uzbekistan and execution of the Country Programme Strategy. The majority of the National Coordinator duties is related to the preparation and execution of the programme portfolio both of the SGP as a whole and individual projects in particular. The purpose of the National Coordinator work is to create all possible conditions for successful realization of the GEF SGP in the country. The NC holds regular working meetings and consultations with existing and potential donors for mobilization of additional resources to the GEF SGP. Besides, an important part of the NC duties is to manage the knowledge and experience gained by the GEF SGP and to share it with all possible stakeholders. The detailed description of duties of the National Coordinator is provided in [Annex 8](#) of the present strategy.

National Steering Committee

152. The National Steering Committee is a kind of the Programme's Board of Directors. The NSC carries out the strategic management of the GEF SGP activities, makes decisions on approval or rejection of project applications, extends all possible support to the GEF SGP operations in the country and carries out monitoring of the Programme realization as a whole. The terms of reference for a member of the National Steering Committee are described in [Annex 9](#) of the present strategy.

Headquarters of the GEF SGP in New York City

153. The Headquarters of the GEF SGP are based in New York and perform global management of the Programme. The Central Programming Management Team (CPMT) located in NY provides for global guidance and regulation of the GEF SGP operations according to the approved programme priorities of the GEF, and supervises substantive implementation of the country programming strategies. The GEF SGP NC in the country reports to the CPMT on a semi-annual and yearly basis.

154. Administrative and Financial Support to GEF SGP is provided by United Nations Office for Project Services (UNOPS).

UNDP Resident Representative in Uzbekistan

155. The GEF SGP is implemented by the United Nations Development Programme on behalf of three GEF implementing agencies: World Bank, UNEP, and UNDP. The UNDP Resident Representative in the country observes the execution of the GEF SGP. The Resident Representative is the very official who appoints and releases members of the NSC, signs grant contracts approved by the NSC, and carries out functions of an *ex-officio* member at sessions of the NSC. While the Resident Representative does not take part in discussions on projects, his/her opinion has a prevailing cast in case of disputes or ambiguities on individual cases.

ANNEX 1: The GEF Strategic priorities for the 4th replenishment period (2007-2010)

Strategic long-term Objectives	Strategic Programmes for GEF-4
BIODIVERSITY	
<p>1: To catalyze sustainability of protected area (PA) systems</p>	<p>1. Sustainable financing of PA systems at the national level 2. Increasing representation of effectively managed marine PA areas in PA systems 3. Strengthening terrestrial PA networks</p>
<p>2: To mainstream biodiversity in production landscapes/seascapes and sectors</p>	<p>4. Strengthening the policy and regulatory framework for mainstreaming biodiversity 5. Fostering markets for biodiversity goods and services</p>
<p>3: To safeguard biodiversity</p>	<p>6. Building capacity for the implementation of the Cartagena Protocol on Biosafety 7. Prevention, control and management of invasive alien species</p>
<p>4: To build capacity on access and benefit sharing</p>	<p>8. Building capacity on access and benefit sharing</p>
CLIMATE CHANGE	
<p>1: To promote energy-efficient technologies and practices in the appliance and building sectors</p>	<p>1. Promoting energy productivity in residential and commercial buildings</p>
<p>2: To promote energy-efficient technologies and practices in industrial production and manufacturing processes</p>	<p>2. Promoting energy productivity in the industrial sector</p>
<p>3: To improve the productivity and performance of existing power plants</p>	<p>(strategic objective not pursued directly in GEF-4)</p>
<p>4: To promote on-grid renewable energy</p>	<p>3. Promoting market approaches for renewable energy</p>
<p>5: To promote the use of renewable energy for the provision of rural energy services (off-grid)</p>	<p>(strategic objective not pursued directly in GEF-4)</p>
<p>6: To support new low-GHG emitting energy technologies</p>	<p>4. Promoting sustainable energy production from biomass</p>
<p>7: To facilitate market transformation for sustainable mobility in urban areas leading to reduced GHG emissions</p>	<p>5. Promoting sustainable innovative systems for urban transport</p>
<p>7 bis: To reduce GHG emissions from land use, land use change and forestry</p>	<p>6. Promoting the reduction of GHG emissions from land use, land use change and forestry</p>
<p>8: To support pilot and demonstration projects for adaptation to climate change</p>	<p>(Reference is made to the SPA, SCCF and LDCF, and to the principle of GEF-wide climate proofing described in Annex 2)</p>
INTERNATIONAL WATERS	

<p>1: To foster international, multi-state cooperation on priority transboundary water concerns</p> <p>2: To catalyze transboundary action addressing water concerns</p>	<p>1. Restoring and sustaining coastal and marine fish stocks and associated biological diversity</p> <p>2. Reducing nutrient over-enrichment and oxygen depletion from land-based pollution of coastal waters in LMEs consistent with the GPA</p> <p>3. Balancing overuse and conflicting uses of water resources in transboundary surface and groundwater basins</p> <p>4. Reducing persistent toxic substances and adaptive management of waters with melting ice</p>
<p>LAND DEGRADATION</p>	
<p>1: To develop an enabling environment that will place Sustainable Land Management (SLM) in the mainstream of development policy and practices at the regional, national, and local levels</p> <p>2: To upscale SLM investments that generate mutual benefits for the global environment and local livelihoods</p>	<p>1. Supporting sustainable agriculture and rangeland management</p> <p>2. Supporting sustainable forest management in production landscapes</p> <p>3. Investing in innovative approaches in SLM</p>
<p>POPs</p>	
<p>1: To reduce and eliminate production, use and releases of POPs</p>	<p>1. Strengthening capacity for NIP (National Implementation Plan) development and implementation</p> <p>2. Partnering in investments for NIP implementation</p> <p>3. Partnering in the demonstration of feasible, innovative technologies and best practices for POPs reduction</p>
<p>ODS</p>	
<p>1: To phase out production and consumption of ODS</p>	<p>1. Phasing out HCFC and strengthening of capacities and institutions</p>
<p>SOUND CHEMICALS MANGEMENT</p>	
<p>1: To promote sound management of chemicals for the protection of human health and the global environment</p>	<p>1. Integrating sound chemicals management in GEF projects</p> <p>2. Articulating the chemicals related interventions supported by the GEF within countries' frameworks for chemicals management</p>
<p>SUSTAINABLE FOREST MANAGEMENT</p>	
<p>1: To protect globally significant forest biodiversity</p> <p>2: To promote sustainable management and use of forest resources</p>	<p>1. Sustainable financing of protected area systems at national level (same as BD#1)</p> <p>2. Strengthening terrestrial protected area networks (same as BD#3)</p> <p>3. Forest conservation as a means to protect carbon stocks and avoid CO₂ emissions (cross-cutting BD/LD)</p> <p>4. Strengthening the policy and regulatory framework for mainstreaming biodiversity (same as BD#4)</p> <p>5. Fostering markets for biodiversity goods and services (same as BD#5)</p> <p>6. Promoting sustainable energy production from biomass (same as CC#4)</p> <p>7. Supporting sustainable forest management in productive landscapes (same as LD#2)</p>

ANNEX 2: PROJECT APPLICATION FORM

**APPLICATION FORM FOR PARTICIPATION IN
THE GEF SMALL GRANTS PROGRAMME
(GEF SGP) IN UZBEKISTAN**

1. BRIEF INFORMATION ON THE PROJECT

INFORMATION ON THE APPLICANT ORGANISATION

Name of the organisation: _____

Postal address: _____

Phones: _____

Fax: _____

E-mail address /website: _____

Name of the head of organisation,
position: _____

Responsible person for the project: _____

Contact phones: _____

INFORMATION ON THE PROJECT

Project name: _____

Thematic area of the project

BIODIVERSITY

CLIMATE CHANGE

ADAPTATION TO CLIMATE CHANGE

LAND DEGRADATION

CAPACITY BUILDING

MIXED

Intended outcome of the project:

Outcome 1: Pressure on ecosystems and habitats of the key biological species induced by local population activities reduced

Outcome 2: Emissions of GHGs generated from the use of energy by local population reduced

Outcome 3: The most vulnerable groups of the population to climate change are prepared for the future consequences

Project output:

- Outcome 4: Degraded lands in rural areas are restored for conservation and sustainable use
- Outcome 5: Local population's capacity to deal with environmental issues is raised
- Output 1.1: Prevent the encroachment of agricultural activities on protected areas of Uzbekistan and habitats of the key biological species
- Output 1.2: To restore and create conditions for sustainable conservation of degraded ecosystems as well as of functions and the services provided by biodiversity
- Output 1.3: To introduce and support development of economic activities that reduce pressure on available natural territories and habitats of biodiversity, as well as on biodiversity products and services
- Output 2.1: To demonstrate and introduce energy efficient practices/approaches to energy use by households
- Output 2.2: To demonstrate and replicate alternative practices/approaches to production of energy to meet essential needs of local population
- Output 3.1: To demonstrate to local people and replicate practices/approaches of improved knowledge and skills to adapt to changing climatic conditions in order to prevent negative consequences and/or gain benefits from possible positive consequences of the climate change
- Output 4.1: To demonstrate practices and share experiences on more sustainable irrigated agriculture that promote recovery of agroecosystems
- Output 4.2: To improve practices of pastures uses, fodder production and/or breeding for more efficient animal husbandry
- Output 5.1: To improve general awareness, knowledge, understanding and skills of the population which will allow to effectively reach objective and outcomes of the GEF focal areas.

Project site: _____

Expected starting date of project implementation (day/month/year):

__ / __ / 200__

Duration of the project (day/month/year):

From __ / __ / 20__ till __ / __ / 20__

__ months

FINANCE

Amount requested from the GEF SGP: _____

Amounts granted for the project from other sources of financing: _____

Total project amount: _____

Grants received earlier (amount, objective, donor, date of issuance): _____

2. PROJECT DESIGN

SUMMARY OF THE PROJECT

BRIEF DESCRIPTION OF THE CONTEXT

DESCRIPTION OF THE PROBLEM AND ITS CAUSES

HOW THE PROJECT WILL ELIMINATE THE PROBLEM'S CAUSE: GOAL, OBJECTIVES AND PROJECT ACTIVITIES

EXPECTED RESULTS AFTER THE PROJECT COMPLETION

DESCRIPTION OF ALL PARTICIPANTS OF THE PROJECT AND THEIR RESPONSIBILITIES WITHIN THE PROJECT

DESCRIPTION OF THE SEQUENCE/SCHEDULE OF THE PROJECT ACTIVITIES

WHAT MEASURES ARE PLANNED TO TAKE TO ACHIEVE SUSTAINABILITY OF THE PROJECT RESULTS

- ✓ Environmental sustainability
- ✓ Financial sustainability
- ✓ Institutional sustainability
- ✓ Social sustainability

PLAN FOR INFORMATION DISSEMINATION ON PROJECT ACTIVITIES

RISKS IN PROJECT IMPLEMENTATION

ADDITIONAL INFORMATION

- ✓ What global environmental benefits will the project result in?
- ✓ How will the project influence the well-being of local population?
- ✓ How will the gender equality be ensured during the project?
- ✓ How will the project influence public environmental awareness?
- ✓ Is there a link with other GEF projects?
- ✓ How high is the potential for the project replication?

3. PROJECT FINANCING

Additionality of the GEF financing

Project budget

- ✓ Description of the core financing: sources, amount
- ✓ Description of the breakdown by specific activities with indication of the project amount and source
- ✓ Description of required division of the grant into tranches and indications how each individual tranche would be spent

4. PROJECT MONITORING

Logical framework of the project

Strategy	Indicator	Base line	Indicator purpose	By when
Project objective:				
Output 1				
Output 2				
Output *				

Plan of the project monitoring

5. REQUIRED APPENDICES TO THE APPLICATION

- (a) Copies of the Charter and certificate of registration;
- (b) A document authorizing the person involved in negotiations to make decisions on behalf of the applying organisation;
- (c) Copies of passports of the head and the responsible persons involved in realisation of the project;

- (d) The document confirming the legitimacy of activities of the organisation-applicant in the specific geographical territory;
- (e) A map (sketch) of the project site with exact indication of reference points;
- (f) Annual financial reporting of the organisation-applicant for a previous year;
- (g) Letters agreements on partnership with other partners and donors;
- (h) Photos from the site of prospective realisation of the project;
- (i) Other documents, at the discretion of the applicant which will allow better understanding of the situation on the spot and/or describe the applicant organization.

ANNEX 3: APPLICATION FORM FOR THE PROJECT PREPARATION GRANT (PPG)

**APPLICATION FORM FOR THE PROJECT PREPARATION GRANT (PPG)
FROM THE GEF SMALL GRANTS PROGRAMME
(GEF SGP) IN UZBEKISTAN**

1. BRIEF INFORMATION ON THE PLANNED FULL-FLEDGED PROJECT

INFORMATION ON THE ANTICIPATED APPLICANT ORGANISATION

Name of the organisation: _____

Postal address: _____

Phones: _____

Fax: _____

E-mail address /website: _____

Name of the head of organisation,
position: _____

Responsible person for the project: _____

Contact phones: _____

INFORMATION ON THE PROJECT

Preliminary project name: _____

Thematic area of the project

- BIODIVERSITY
- CLIMATE CHANGE
- ADAPTATION TO CLIMATE CHANGE
- LAND DEGRADATION
- CAPACITY BUILDING
- MIXED

Intended outcome of the project:

- Outcome 1: Pressure on ecosystems and habitats of the key biological species induced by local population activities reduced
- Outcome 2: Emissions of GHGs generated from the use of energy by local population reduced
- Outcome 3: The most vulnerable groups of the population to climate change are prepared for the future consequences

Project output:

- Outcome 4: Degraded lands in rural areas are restored for conservation and sustainable use
- Outcome 5: Local population's capacity to deal with environmental issues is raised
- Output 1.1: Prevent the encroachment of agricultural activities on protected areas of Uzbekistan and habitats of the key biological species
- Output 1.2: To restore and create conditions for sustainable conservation of degraded ecosystems as well as of functions and the services provided by biodiversity
- Output 1.3: To introduce and support development of economic activities that reduce pressure on available natural territories and habitats of biodiversity, as well as on biodiversity products and services
- Output 2.1: To demonstrate and introduce energy efficient practices/approaches to energy use by households
- Output 2.2: To demonstrate and replicate alternative practices/approaches to production of energy to meet essential needs of local population
- Output 3.1: To demonstrate to local people and replicate practices/approaches of improved knowledge and skills to adapt to changing climatic conditions in order to prevent negative consequences and/or gain benefits from possible positive consequences of the climate change
- Output 4.1: To demonstrate practices and share experiences on more sustainable irrigated agriculture that promote recovery of agroecosystems
- Output 4.2: To improve practices of pastures uses, fodder production and/or breeding for more efficient animal husbandry
- Output 5.1: To improve general awareness, knowledge, understanding and skills of the population which will allow to effectively reach objective and outcomes of the GEF focal areas.

Planned project site: _____

Expected duration of the full-fledged project (day/month/year):

From __/__/20__ till __/__/20__
__ months

FINANCE

Amount of the full-fledged project, that is planned to be requested from the GEF SGP: _____

Amounts requested for the project preparation: _____

Amount for the project preparation from _____
other sources:

Grants received earlier (amount, _____
objective, donor, date of issuance):

2. PROJECT DESIGN

SUMMARY OF THE PLANNED FULL-FLEDGED SGP PROJECT

Goal, objectives, planned activities and anticipated results

BRIEF DESCRIPTION OF THE PREPARATORY ACTIVITIES THE PPG IS REQUESTED FOR

What exactly will be done for the preparation of the project: what, who, how and when?

DESCRIPTION OF THE POTENTIAL PROJECT'S PARTNERS/BENEFICIARIES

Who is planned to be involved in the project, who the consultations will be held with

HOW DOES THE PROJECT PLANS TO ACHIEVE SUSTAINABILITY OF ITS RESULTS

Please provide description of your ideas about sustainability (2-3 sentences on each of the below clauses):

- ✓ Environmental sustainability
- ✓ Economic sustainability
- ✓ Institutional sustainability
- ✓ Social sustainability

3. PROJECT PREPARATION FINANCING

The project preparation grant budget

- ✓ Description of how much of the GEF SGP funds will be spent on what activities related to preparation of the full-fledged project application
- ✓ Description of how much will be invested into the preparation activities from other sources

4. REQUIRED ANNEXES TO THE PPG APPLICATION

- (a) Copies of the Charter and certificate of registration of the organization applying for the PPG;
- (b) A document authorizing the person involved in negotiations to make decisions on behalf of the applying organisation;
- (c) A map (sketch) of the project site with exact indication of reference points;
- (d) Other documents, at the discretion of the applicant which will allow better understanding of the situation on the spot and/or describe the applicant organization.

ANNEX 4: LIST AND CONTACTS OF THE GEF SGP TEAM

1. Alexey Volkov

National Coordinator of the GEF SGP

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Fax: + (998 71) 120 34 85

E-mail: alexey.volkov@undp.org

Post address: Tashkent, 100029, Uzbekistan, Taras Shevchenko St., 4, UNDP

Web site: <http://www.sgp.uz>

2. Nodira Muhammadkulova

Programme Assistant of the GEF SGP

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E-mail: nodira.mukhammadkulova@undp.org

Post address: Tashkent, 100029, Uzbekistan, Taras Shevchenko St, 4, UNDP

Web site: <http://www.sgp.uz>

Approved by _____
Acting Chairman of the GEF SGP NSC
Mr. S. Sanginov
May 6, 2008

**OPERATING REGULATIONS
NATIONAL STEERING COMMITTEE
SMALL GRANTS PROGRAMME OF THE GLOBAL ENVIRONMENTAL FACILITY (GEF SGP)
IN THE REPUBLIC OF UZBEKISTAN**

1. General Provisions

- 1.1 The National Steering Committee (NSC) is the central element of the strategic management of the GEF SGP (further referred to as the "Programme") and the structure which is carrying out monitoring and progress assessment of the Programme activity in Uzbekistan.
- 1.2 NSC should include representatives of local NGOs, governments, academic circles, UNDP and, probably, other donors, the private sector, representatives of ethnic minorities and the mass-media. Thus, the overwhelming majority of the NSC representatives should be from the non-governmental sector.
- 1.3 The NSC will organise its work on the basis of transparency, wide attraction of representatives and organisations of the civil society sector, local communities to the participation in the GEF SGP.
- 1.4 In its work the NSC is guided by the main principle of the GEF SGP: achievement of environmental benefits through participation of local communities and civil society in addressing problems of environment. The majority of the non-governmental sector in the composition of the NSC reflects the principle of decentralised approach to decision-making within the scope of the GEF SGP.

2. Main functions of the NSC

The Key *functions of the NSC* are:

- 2.1 Development and approval of the country programming strategy of the GEF SGP in Uzbekistan which is the key document to regulate all aspects of the GEF SGP activity in the country;
- 2.2 Promotion and advocacy of the SGP at the national level, and distribution of the information on the activities of the GEF SGP in the country.
- 2.3 Consideration and assessment of conformity of the submitted through the National Coordinator grant project proposals with established criteria and procedures of the GEF SGP and practical possibilities for their realisation;
- 2.4 Decision-making on approval, revising or rejection of the project for financing through the GEF SGP in Uzbekistan;
- 2.5 Realization of Monitoring and evaluation of the Programme performance.

3. Membership in the NSC

- 3.1 The NSC is formed through selecting candidates invited by the UNDP Resident Representative. The composition of the NSC follows a rotational principle and renewed every two years. The personal composition of the NSC is approved by the SGP Global Manager on the advice of the UNDP Resident Representative in Uzbekistan.

- 3.2 If one of members cannot serve the full term, a new member can be appointed by UNDP Resident Representative, either to serve the term of the previous member, or serve the full term.
- 3.3 The UNDP Resident Representative or its representative will execute functions *ex officio* as a member of the NSC.
- 3.4 The membership in the NSC should not be considered as something transferrable or delegable. The members of the Committee should carry out the functions independently to ensure succession and sequence in decision-making.
- 3.5 If a member of the NSC does not attend at least three cycles of project proposal considerations in the NSC, his/her membership can be stopped with the appointment of a new member of the NSC by the UNDP Resident Representative.

4. General Operating Procedure of the NSC

- 4.1 The NSC meets for decision-making on approving, revising or rejecting financing of a project through the GEF SGP in Uzbekistan at least once in 3 months. The notice of session in writing is sent to the members of the NSC at least 5 working days prior to the scheduled meeting.
- 4.2 The next session of the NSC is convoked by the National Coordinator in case of availability of at least 5 project applications corresponding to the criteria and requirements of the GEF SGP, or availability of the adequate project proposals which total amount makes not less than 10,000 US dollars.
- 4.3 In the end of each session, the NSC appoints its Chairperson from the members by the general voting with the period of powers till the end of the following session of the NSC. The UNDP Resident Representative and SGP National co-ordinator cannot discharge the duties of the NSC Chairman.
- 4.4 In case of a need to consider of a seasonal or non-typical project proposal, the National Coordinator in Uzbekistan has the right to call for an emergency meeting of the NSC, by sending the notice in writing to the members of the NSC at least 5 working days prior to the scheduled meeting.
- 4.5 To consider other urgent questions connected with the Programme activity, upon the initiative of the UNDP Resident Representative, the NSC chairman, the GEF SGP National Coordinator or the members of the committee, emergency meetings can be convoked. A notice in writing about the planned NSC emergency meeting is sent to all members of the NSC by the initiator at least 5 working days prior to the meeting date.
- 4.6 The decisions of the NSC can also be made by means of discussion and voting by e-mail.
- 4.7 All decisions are considered as passed by the NSC if not less than 7 members of the NSC have voted for them. Decisions of the NSC are considered as final, subject only to the subsequent approval by the UNDP Resident Representative.
- 4.8 The chairperson of the NSC is a moderator to all sessions of the NSC. The chairperson also assists in the preparation of the following session of the NSC.
- 4.9 The National Coordinator to the GEF SGP and COMPACT project carries out functions of the Secretary to the NSC, and participates in the discussions of the NSC as an *ex officio* member, but has no right to vote in the course of consideration of project proposals.

5. The order of consideration and decision-making of project proposals

- 5.1 Project proposals from organizations-applicants are to be collected and short-listed by the GEF SGP National Coordinator. The National Coordinator presents project proposals for consideration to the members of the NSC with scheduling a preliminary term for carrying out the session of the NSC for decision-making about the submitted proposals.
- 5.2 As a rule, consideration time by the members of the NSC of the submitted proposals should be one calendar month before the next session of the NSC. This time is needed for a detailed consideration and assessment of the project proposals. However, in case when certain project proposals require obviously less time for consideration, upon a preliminary consent of the NSC members, the following session of the NSC can be appointed earlier.
- 5.3 Each member of the NSC while considering each project application should fill out the form of how the project fits the GEF SGP criteria. The form documents the basis why the member NSC has come

to a certain opinion under each specific project application i.e. why the member of the NSC has voted for an approval, revision or refusal of the project application.

- 5.4 The project applications are presented for discussion at the sessions of the NSC by the National coordinator or the representative of the applicant organization. After presentation of the project application, each member of the NSC shall express a substantiated opinion.
- 5.5 After the discussion and hearings to the opinions of all members to the NSC, the Chairperson of the NSC initiates voting under the considered project application.
- 5.6 Any of the NSC members should not participate in the consideration, decision-making and/or implementation of any project in which this member, or the organisation with which s/he is associated, have a financial or other interest and also if there is any conflict of interests with the applicant organization. In such cases, s/he is obliged to inform the other members of the NSC and to abstain from consideration and assessment of the project application.
- 5.7 Members of the NSC are obliged to provide for objectivity in the decision-making process using the principle of observance of the GEF SGP criteria stated in the country programme strategy, consensus, to exclude questions of personal character and any conflict of interests, and possible external impacts.
- 5.8 In case of argument on disputable questions, or ambiguity of interpretation of some cases, the decision of the UNDP Resident Representative will have the decisive force.

6. Procedural arrangements

- 6.1 To convene a session of the NSC, at least 7 (seven) its members must be present. In case of absence of a member of the NSC in a session to consider a project proposal, such a member can express his opinion by e-mail, attaching a fully completed form of the conformity of the project application to the GEF SGP criteria.
- 6.2 Sessions of the NSC shall be held in the UNDP Office in Uzbekistan.
- 6.3 All decisions of the NSC are reflected in the minutes of the NSC session. After the session, the minutes are distributed to all members of the NSC. Upon reception of a written notice of their consent to the description of the discussed questions from all members of the NSC, the current Chairperson to the NSC shall sign the report. The record of the NSC decision under each specific project application in the report is the basis to sign the grant agreement between the applicant organisation and the UNDP Resident Representative on behalf of the GEF SGP.
- 6.4 The key document regulating the rules and operating procedure of the NSC is the present regulations. The regulations are considered as coming into force after approval by all members of the NSC and signature by its current Chairperson. The regulations can be changed only after consideration and approval by all members of the NSC.
- 6.5 The members of the NSC should inform the current chairperson of the NSC and GEF SGP Coordinator on planned long-term absence, change of job and-or post, and about change in the contact details.

ANNEX 6: PROJECT APPLICATION ASSESSMENT FORM BY A MEMBER OF THE NSC

1. GENERAL INFORMATION ON THE SUBMITTED PROJECT (TO BE COMPLETED BY THE NC)	
PROJECT NAME:	
NUMBER ASSIGNED TO THE PROJECT: <i>(provided by the GEF SGP)</i>	
REGION OF UZBEKISTAN:	
REQUIRED FINANCING:	FOR PREPARATION: FOR PROJECT REALISATION: TOTAL AMOUNT:
DATE OF ACCEPTANCE OF THE APPLICATION FOR CONSIDERATION:	
THEMATIC AREA OF THE GEF SGP:	<input type="checkbox"/> BIODIVERSITY <input type="checkbox"/> CLIMATE CHANGE <input type="checkbox"/> ADAPTATION TO CLIMATE CHANGE <input type="checkbox"/> Land DEGRADATION <input type="checkbox"/> CAPACITY BUILDING <input type="checkbox"/> MIXED
REQUESTED:	<input type="checkbox"/> A PROJECT PREPARATION GRANT <input type="checkbox"/> A GRANT FOR FULL-FLEDGED GEF SGP PROJECT IMPLEMENTATION
HAS THE PROJECT BEEN PRELIMINARILY APPROVED BY THE GEF SGP NATIONAL COORDINATOR?	<input type="checkbox"/> YES <input type="checkbox"/> NO Comments:
PLANNED STARTING PERIOD OF PROJECT REALISATION:	
IS THERE SUFFICIENT BUDGET FOR the PROJECT REALISATION IN THE GEF SGP?	<input type="checkbox"/> YES <input type="checkbox"/> NO Why?
2. COMPLIANCE TO GEF SGP CRITERIA IN UZBEKISTAN (COMPLETED BY A MEMBER OF NSC)	
FIRST, MIDDLE, LAST NAME OF THE NSC MEMBER COMPLETING THE	

ASSESSMENT FORM:	
2.1 DETERMINE THE GENERAL ADEQUACY/ELEGIBILITY OF THE APPLICANT TO RECEIVE THE GRANT FROM GEF SGP	
IS THE APPLICANT A REGISTERED NON-GOVERNMENTAL ORGANISATION BY DEFINITION of the GEF SGP?	<input type="checkbox"/> YES <input type="checkbox"/> NO
HAVE ALL REQUIRED DOCUMENTS BEEN provided AND ARE THEY AUTHENTIC?	<input type="checkbox"/> YES <input type="checkbox"/> NO If not present, what gaps do you see?
ARE THERE SUFFICIENT EVIDENCE OF VERIFIED HISTORY, REPUTATION AND EXPERIENCE OF THE APPLICANT FOR THE REQUIRED AMOUNT OF THE GRANT?	<input type="checkbox"/> YES <input type="checkbox"/> NO Why?
IS THE APPLICANT NOW IMPLEMENTING a GEF SGP PROJECT?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.2 PROJECT DESIGN	
DOES THE PROJECT HAVE ENVIRONMENTAL BENEFITS AS THE RESULT OF ITS REALIZATION? IF "YES", PLEASE, ACCURATELY EXPLAIN WHICH, IN YOUR OPINION, BENEFITS TO THE ENVIRONMENT WILL BE BROUGHT ABOUT BY THE PROJECT.	<input type="checkbox"/> YES <input type="checkbox"/> NO
WHETHER THE PROJECT CORRESPONDS TO THE IDENTIFIED THEMATIC FOCUS of the GEF SGP?	<input type="checkbox"/> YES <input type="checkbox"/> NO If no, please explain, what thematic area, what outcome and-or goal, in your opinion are covered by the project, and why.
IS THE PROJECT OBJECTIVE CLEARLY FORMULATED?	<input type="checkbox"/> YES <input type="checkbox"/> NO
HAS THE CAUSE-CONSEQUENCE LINKAGE AND THE PROJECT'S RESPONSE TO THE PROBLEM'S CAUSES BEEN PROPERLY FORMULATED?	<input type="checkbox"/> YES <input type="checkbox"/> NO

	If no, explain, what problems there are in the logical structure of the project: whether the problems are correctly defined, whether response measures are correct, are they justified? Other comments?
ARE THE PROJECT SUCCESS INDICATORS WELL THOUGHT OVER AND FORMULATED?	<input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> SOME REVIEW OF THE INDICATORS IS NEEDED Your proposals to change the indicators:
ARE YOU CONVINCED OF ENVIRONMENTAL SUSTAINABILITY OF THE PROJECT'S RESULTS?	<input type="checkbox"/> YES <input type="checkbox"/> NO Why?
ARE YOU CONVINCED OF FINANCIAL SUSTAINABILITY OF THE PROJECT'S RESULTS?	<input type="checkbox"/> YES <input type="checkbox"/> NO Why?
IS THE PROJECT TECHNICALLY (SCIENTIFICALLY) PROVEN AND FEASIBLE?	<input type="checkbox"/> YES <input type="checkbox"/> NO Why?
IS AN ADDITIONAL INDEPENDENT TECHNICAL APPRAISAL REQUIRED FOR THE PROJECT APPROVAL?	<input type="checkbox"/> YES <input type="checkbox"/> NO Why?
DOES THE PROPOSED PROJECT CONTRIBUTE TO INCREASE IN LIVELIHOOD OF THE POPULATION?	<input type="checkbox"/> YES <input type="checkbox"/> NO How? Why?
HAVE GENDER EQUALITY ISSUES BEEN TAKEN INTO CONSIDERATION IN THE COURSE OF PREPARATION AND PLANNED REALISATION OF THE PROJECT?	<input type="checkbox"/> YES <input type="checkbox"/> NO
2.3 PROCEDURAL ARRANGEMENTS	
ARE INTERESTS OF ALL POSSIBLE BENEFICIARIES AND STAKEHOLDERS TAKEN INTO CONSIDERATION?	<input type="checkbox"/> YES <input type="checkbox"/> NO If no, explain, where do you see problems, potential conflicts of interests? What steps are needed to be taken to correct the situation?

<p>IS SUFFICIENT PROOF PROVIDED THAT THE GRANT WILL BE INCREMENTAL FINANCING RATHER THAN A CORE ONE?</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO Why?</p>
<p>DOES THE SIZE OF THE REQUESTED GRANT CORRESPOND TO THE PROJECT SCOPE?</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO Why?</p>
<p>ARE THE REQUIREMENTS ON THE STRUCTURE OF FINANCING OBSERVED? DO THE DECLARED TRANCHES CORRESPOND TO THE LOGIC STRUCTURE OF THE PROJECT?</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO Why?</p>
<p>IS THE PROPOSED PLAN OF MONITORING ADEQUATE TO THE PROJECT STRUCTURE?</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO Why?</p>
<p>DOES THE DECLARED DURATION OF THE PROJECT CORRESPOND TO THE LOGICAL STRUCTURE OF THE PROJECT AND IS IT SUBSTANTIATED?</p>	<p><input type="checkbox"/> YES <input type="checkbox"/> NO Why?</p>

<p>3. OPINION OF THE NSC MEMBER ON THE PROJECT</p>	
<p>WHAT DECISION, IN YOUR OPINION, SHOULD BE MADE ON THE PROJECT?</p>	<p><input type="checkbox"/> To approve the project proposal and allocation of grant support to the project from the GEF SGP</p> <p><input type="checkbox"/> To approve the project with small revisions and comments which should be made by the applicant during project implementation</p> <p><input type="checkbox"/> To postpone the decision under the project proposal until the applicant accommodates the proposed remarks/comments/questions</p> <p><input type="checkbox"/> To reject the project proposal</p>

4. YOUR COMMENTS:

ANNEX 7: STRATEGY FOR MONITORING AND EVALUATION OF THE GEF SGP PROJECTS IN UZBEKISTAN

Monitoring and evaluation is an integral part of all stages in realization of the Programme:

- (a) At the planning stage – there is a clear need to develop a set of criteria how to assess success of a project and the Programme as a whole;
- (b) At the execution stage – to monitor how closely a project and the Programme follows the formulated project document and CPS respectively;
- (c) At the time of completion – one should assess the results of the project or the Programme in order to consolidate learned knowledge, experience and the best practices for further replication.

Monitoring and evaluation (further referred to as M&A) will be conducted at two levels: at the programme level and at the level of individual projects. Both at the project and programme level the M&A will be conducted at three stages: planning, implementation, completion.

Monitoring and evaluation at the Programme level

The GEF SGP in Uzbekistan starts its operations from March 2008. Being in the middle of the GEF-4 operational cycle which will end in 2010, the GEF SGP in Uzbekistan will need to monitor and evaluate its initial results for this GEF operational period, i.e. for the period 2008-2010.

To carry out M&A, at the initial stage of the Programme – at the planning stage - it is required to develop criteria of progress assessment, define the baseline, lay down the objective and develop a monitoring plan of the programme activities. The present strategy defines the key thematic directions of the Programme. Planning of the M&A will be done according to the thematic focuses of the programme and is reflected in the logical framework of the GEF SGP in Uzbekistan provided below.

At the stage of the Programme implementation, on the basis of regular M&A work of individual projects, the National GEF SGP Coordinator prepares a consolidated report on M&A for the Programme activities and presents it for discussion and approval of the NSC at the end of the GEF annual reporting period. The GEF reporting period ends on June 31st every year. The GEF SGP report is formulated according to the GEF SGP HQ approved format. Not later than 3 months after the end of the reporting period, the NC presents the report at the next session of the NSC. In 2008, such report is not submitted due to the brevity of the reporting period since the GEF SGP recently started.

The NSC considers the results of the M&A, asks questions, issues remarks and comes to a decision whether to recognize the work of the Programme as satisfactory or unsatisfactory. In case when the NSC recognizes the work of the GEF SGP as unsatisfactory, the current NSC Chairperson has the right to forward the conclusions of the NSC on the SGP performance directly to the UNDP Resident Representative in Uzbekistan or to the GEF SGP Global Manager.

Moreover, the NC is obliged to carry out a regular and careful analysis of the projects implementation and, if needed, initiate preparation of specialised technical reports of potential impact of individual projects or a portfolio of projects to change the situation in thematic areas of the Programme.

In 2010, the NC prepares an annual report on M&A of the GEF SGP and a report on the GEF SGP operation during the GEF-4 operational cycle. In this report, full assessment of the overall performance of the Programme as well as of the individual thematic areas for the whole period of 2008-2010 will be provided. All conclusions of the M&A will be publicly accessible on the Programme's website.

LOGICAL FRAMEWORK OF THE GEF SGP IN UZBEKISTAN FOR THE 4TH OPERATIONAL PERIOD (2008-2010)

Goal of the GEF SGP in Uzbekistan:

To promote improvement of the global environment through implementing local initiatives, by means of local people, aimed at conservation and restoration of the environment, by introducing and replicating practices of environmental sustainability and improving well-being of the population

Programme strategy	Impact Indicator	Baseline	Outcome	Measurements	Risks and assumptions
<p>Objective for the 4th GEF operational period (2008-2010):</p> <p><i>To launch and successfully operationalize the GEF SGP in the country through mobilizing local population for initiatives aimed at achievement of the programme's goal in Uzbekistan</i></p>	<p>Awareness of target audience groups on existence and work of the GEF SGP</p> <p>Target groups:</p> <ul style="list-style-type: none"> ✓ Environmental NGOs; ✓ Local communities – makhallyas, rural assemblies of citizens, etc. ✓ Various associations representing natural resources users 	Zero	By the end of 2010 percentage in target audience who is aware about the existence and programme areas of the SGP is not less than 30%	Random sampling and questionnairing of the target groups audience	<p>Assumptions:</p> <p>Members of the NSC will promote information distribution about GEF SGP activities through their channels</p> <p>Regional mass-media are interested in materials and agree to promote distribution of socially valuable information</p> <p>Risks:</p> <p>High cost of using services of the mass-media will not allow to disseminate widely the information on the programme (medium)</p>

Programme strategy	Impact Indicator	Baseline	Outcome	Measurements	Risks and assumptions
	Delivery of the programme's grant budget	Grant budget of the GEF SGP to be allocated: For 2008 – 150,000 USD For 2009 – 300,000 USD For 2010 – 400,000 USD	Annual delivery of the GEF SGP grant budget in Uzbekistan not less than 90%.	Financial reporting	Assumptions: Training programmes for target groups in preparation of project applications are successfully realized There is an full support of the GEF SGP initiatives from local authorities and other state authorities All members of the NSC in due time consider the submitted project applications Risks: Delays in implementation of the approved projects due to existing restrictions of allocation of grant means through banking system (high) Low activity of local population in development of initiatives directed at achievement of environmental benefits (low) High rotation of NSC members (low)
Biodiversity					

Programme strategy	Impact Indicator	Baseline	Outcome	Measurements	Risks and assumptions
<p>Outcome 1:</p> <p>Pressure on ecosystems and habitats of the key biological species induced by local population activities reduced</p>	<p>Sustainable management of productive landscapes inside or around PAs and important habitats, which contributes to the purpose of biodiversity conservation and sustainable use of its components</p>	<p>Several individual initiatives in the country, in small territories, contribute to the preservation of biodiversity and sustainable use of its components</p>	<p>By the end of 2010, through the GEF SGP projects, the possibility to manage territories inside or around PAs and important habitats that promotes biodiversity conservation and/or sustainable use of its components, has been demonstrated on at least 50 hectares of productive landscapes</p>	<p>M&A reports are presented NC SGP</p> <p>Biodiversity experts' opinions</p>	<p>Assumptions:</p> <p>Training programmes for the target groups in preparation of project applications are successfully realized</p> <p>There is a strong support of the GEF SGP initiatives from local authorities and other state authorities</p> <p>Experts in the field of biodiversity conservation are available to assistance in preparation of GEF SGP projects</p> <p>Participants of projects openly share available information on traditional sources of incomes and approaches to the use of biological resources</p>
	<p>Income of the target groups participating in the GEF SGP projects, from sustainable environment management</p>	<p>The basic income of the local population in rural areas is derived from unsustainable environment management practices</p>	<p>By 2010, the expected percentage of income generated from sustainable environment management practices by participants of the GEF SGP projects should be at least 20% of the aggregate income of the household</p>	<p>Random sampling and questioning of the target audience</p>	<p>Risks:</p> <p>Delays in implementation of the approved projects due to existing restrictions of allocation of grant means through banking system (high)</p> <p>Local population shows little initiative in development of projects directed at achievement of environmental benefits (low)</p> <p>PA system authorities or local authorities are resistant and/or unwilling to co-operate in the realization of GEF SGP initiatives (moderate)</p> <p>Sabotaging of innovative practices by members of communities which have not been involved in the GEF SGP projects (low)</p>

Programme strategy	Impact Indicator	Baseline	Outcome	Measurements	Risks and assumptions
Climate change					
Outcome 2: Emissions of GHGs generated from the use of energy by local population reduced	Reduction of GHGs emissions from introduction of energy efficient technologies and best energy consumption practices	To be defined for each project As a whole across the country the reduction of GHGs emissions through development of energy efficient practices by population is minimal	By 2010, the cumulative reduction of GHGs emissions into the atmosphere from realization of the GEF SGP energy projects will have reached 2,000 tons of CO ₂ equivalent	Calculations will be made using existing methods comparing the results with the baseline of each individual project	Assumption: UNDP MDG Carbon Facility agrees to cooperate in promoting CDM programmes bundling small-scale projects Materials and experts on introduction of alternative energy sources and alternative approaches to energy consumption exist and are available for replication Materials of UNDP projects are opened for access and replication by the GEF SGP
	Reduction of GHGs emissions through introduction of alternative energy generation practices	Use of alternative sources of energy production is minimal across the country	By 2010, the cumulative reduction of GHGs emissions to the atmosphere from realization of the GEF SGP projects on introduction of alternative sources of energy production will have reached 5,000 tons of CO ₂ equivalent	Calculations will be made using existing methods comparing the results with the baseline of each individual project	Risks: Post-Kyoto risks There is no support or there are obstacles to CDM programmes from the national CDM interdepartmental council (low) Institutional obstacles to realization of projects on energy at the regional and local level (average)
Adaptation to climate change					
Outcome 3: The most vulnerable groups of the population to climate change are prepared for the future consequences	Demonstration of concrete examples of adaptation practices using Uzbek realities	Climate change is not perceived as a real threat and knowledge of local population concerning the problem is minimal	By 2010, the GEF SGP will begin demonstrating real practices of preparing local population to possible or real consequences of climate change on a concrete example common for many territories of	Technical reports of projects	Assumption: Climate change consequences can be precisely defined for target groups of the GEF SGP Risks: Real steps to climate change adaptation are possible in the existing legal and

Programme strategy	Impact Indicator	Baseline	Outcome	Measurements	Risks and assumptions
			Uzbekistan		institutional framework of Uzbekistan (high)
Land degradation					
Outcome 4: Degraded lands in rural areas are restored for conservation and sustainable use	Knowledge of sustainable land cultivation practices	Farmers have fragmental knowledge or access to information about sustainable land cultivation practices, but is not easily accessible	By 2010, the initial results of sustainable land cultivation practices have been tested and disseminated through the GEF SGP website and other mass-media.	Publications on the website and in mass-media	Assumptions: Channels for sharing information among target groups are correctly defined Risks: The information becomes accessible, but ineffective due to the overall national economic frameworks. The latter makes local people prefer to invest in short-term unsustainable animal husbandry practices at the expense of sustainable practices which bring about long-term benefits (average).
	Demonstration of increased productivity of livestock	Local population has very limited knowledge and skills on improved productivity of livestock	By 2010, distribution of ready materials on tested methods of increased livestock productivity through more sustainable practices of animal husbandry and grazing has begun	Publications on the website and mass-media	
Capacity building					
Outcome 5: Local population's capacity to deal with environmental issues is raised	Activity of organizations representing local population to participate in the GEF SGP	The baseline participation of NGOs and organizations representing local communities, will be defined by the end of the first year of the SGP activities	By the end of 2010, the ratio of proposals submitted from organizations representing local communities, has grown in relation to the first year of activity of the Programme	Registration of application from applicant organizations	Assumptions: In the first year of the programme a project on awareness raising for local population about the correlation of the environmental problems with their living standard developed and initiated Risks: Poor initial capacity of civil society to provide quality training can impede achievement of the outcome (average).

Monitoring and evaluation of project activities

The M&A activities of the programme are based, in large, on the M&A activities of individual projects within the programme.

During a project's preparation, the applicant should develop and present a plan of how the project will be monitored during implementation. For this purpose, the applicant should:

- (I) carry out an analysis of the current situation and describe it, i.e. demonstrate what the project starting point would be and what the situation is at the moment, in order to show later on how the situation will change after the project's completion. This is called the 'baseline of the project'. The baseline should describe the key aspects of the project's focus such as number of hectares of degraded land around the community, size of biological species population, quantity of consumed hydrocarbon fuel, livelihood level of households, etc.
- (II) choose *indicators* on the basis of a project's objectives and outcomes. An indicator is a measurement of how the baseline has changed and how successful the project is in achieving its objectives. An indicator should be logically connected with the baseline. A good indicator, as a rule, should answer the following questions: what? (what is changing); when? (during what period of time); where?; and by how much? (how much or to what extent something is changed). The indicators should be practical, i.e. easily measurable.

Each indicator should have a unit of measurement, an accurately specified source for data collection, data collection methods, and the person responsible for the monitoring. Often, the originally correct and well-formulated indicators help the applicant see what the project should seek to achieve. Besides, indicators are very important for decision-making of the Programme team to see that the project will be a success. In this, the ownership for the indicators is important and, therefore, the beneficiaries should be involved in the process of defining and formulating of the indicators.

If the project consists of several components which are interconnected, but different in nature, the monitoring strategy should be developed both for the project as a whole and for each separate component of the project.

- (III) define risks of the project which can impact achievement of its objective. The risks should be connected to the planned project activities and, simply speaking, define what can go wrong and why.

The definition of the baseline and indicators is only a part of the monitoring plan of the project. It is very important to develop a schedule to carry out monitoring and evaluation. Within each project, an M&E plan is defined by the GEF SGP. This is done at the stage of the project proposal preparation and consideration, taking into account duration of the project, size of the grant, character of project activities (presence of a technical component, a capacity building component etc.) and other aspects. The schedule is preliminarily discussed and coordinated with the applicant, and then is approved in the grant contract.

IMPORTANT! Grant funds will be paid in parts – by separate tranches. Therefore, in addition to the indicators demonstrating success of the project, the agreed schedule of monitoring must contain indicators for use of funds paid in a previous tranche. Each subsequent tranche will be made available only after a confirmation that the previous tranche was indeed spent for the specified purposes.

In spite of the fact that the M&A schedule can be different for each project, the GEF SGP will adhere to the general principle: the reporting is to be provided on the average 2-4 times a year (quarterly or once in half a year) and the GEF SGP team carries out monitoring of a project at least two times during the project realization.

The project monitoring will be conducted on the basis of the monitoring plan that is prepared quarterly, which includes the schedule of visits to project territories, exchange of information between the programme and applicants, collection of reporting materials and telephone interviews with applicants and focal points. Where needed, the GEF SGP will involve independent experts to monitor projects and to evaluate technical aspects of the project's realization.

While conducting projects' monitoring, the National Coordinator will be guided by a project document (approved project application), selected and adopted indicators, agreed monitoring schedule and grant contract.

In case when the National Coordinator discovers that a project is falling behind its approved schedule or is failing to achieve the set indicators, he/she, at his/her discretion, may decide whether to suspend or continue the project. Furthermore, the National Coordinator approves issuance of a following tranche after clear indication that that previous tranche has been successful utilized. This indication can be obtained through a visit to the project territory, studying corresponding documents or through other means of verification based on the project nature. In some cases, this verification can be received from independent experts who are involved in monitoring of the project by the National Coordinator.

Upon termination of each project, the National coordinator together with the applicant would conduct an assessment of the project results. This assessment is based on comparing the achieved results against the baseline of the project. Within 3 months after the project completion, a focal point for the project shall provide a terminal report and project results' evaluation, based on the form provided by the GEF SGP team.

In some cases, not to track a project's outputs but its impact, the National Coordinator and/or members of the NSC can carry out post-project surveys to get a better picture of the programme success as a whole.

Distribution of responsibilities for Monitoring and Evaluation

The responsibility of carrying out the direct monitoring and reporting lies entirely with the applicant of a project. The applicant and/or the project focal point is responsible for data collection to carry out the project M&A and for its timely submission to the National Coordinator of the GEF SGP.

The National Coordinator, in his turn, shall, at the initial stage, supports preparation of adequate indicators, and during the project implementation - check reliability of submitted data. The National Coordinator tracks achievement by all projects of the formulated indicators and carries out monitoring of the entire Programme implementation. The GEF SGP NC is responsible for preparation of corresponding reports about the GEF SGP activity in the country, presentation of the M&A results regarding the GEF SGP implementation to the NSC and the GEF SGP headquarters.

The NSC of the GEF SGP approves the general monitoring and evaluation strategy of the programme and accepts reporting from the NC about realization of the M&A strategy and its results.

The HQ of the GEF SGP receives, considers and approves reporting on the Programme's implementation, adjusts the focus of the M&A, and provides general management to the GEF SGP NC in coordinating Programme's activities in the country.

During the M&A realization, the NC commits himself/herself to pay adequate attention to raising awareness and skills of applicants about independent implementation of project monitoring activities, with involvement of a wide range of partners in the process as necessary. These partners can be khokimiyats, members of community, NGO partners, business sector etc.

ANNEX 8: TERMS OF REFERENCE FOR THE NATIONAL COORDINATOR OF GEF SGP

POST PROFILE

I. IDENTIFICATION OF THE POST

Post Title:	National Coordinator	Post Number:	
Organizational Unit:	GEF-SGP	Post Level:	Equivalent to NO - B
Country/Duty Station:	Uzbekistan		
Post Status:	New		
Post Type:	Project-funded		
Supervisor's Title:	GEF-SGP Global Manager	Level:	L-6

II. Post's ORGANIZATIONAL ACCOUNTABILITY

- A.** Effective management of the GEF-SGP (Global Environment Facility – Small Grants Programme) local team, the SGP Programme and its portfolio - from Programme strategy to individual project concept and design to technical support to SGP grantees, monitoring and evaluation - to ensure compliance with the overall approved global SGP Strategic Framework, the SGP Operational Guidelines, the SGP annual work Programme, the national environmental priorities, as well as the annual delivery of the national SGP targets.
- B.** Building strategic partnerships with development partners, such as donors, foundations, private sector and civil society, to promote SGP and mobilise resources.
- C.** Contribution to GEF-SGP's efforts to develop effective national, regional and global networks for technical support and knowledge management, within the GEF SGP and with external institution, including academia.

III. KEY RESULTS EXPECTED/MAJOR FUNCTIONAL ACTIVITIES

% of Time		Key Results Expected/Major Functional Activities
20%	1.	<p>Managerial Functions</p> <ul style="list-style-type: none"> • Supervise the national SGP team members and provide necessary guidance and coaching; • Promote and maintain a suitable environment for teamwork within the SGP team, the National Steering Committee members, and with the UNDP CO team; • Prepare annual workplan, including strategic and/or innovative initiatives to be undertaken/explored, and set delivery and co-financing targets; • Set annual performance parametres and learning objectives for the SGP team, assess their performance and provide feedback;

		<ul style="list-style-type: none"> • Build and maintain an effective relationship with key partners and stakeholders, and keep CPMT, UNOPS and UNDP CO informed as appropriate.
50%	2.	<p>Programme Development and Management</p> <p>Keep abreast of the national environmental concerns and priorities as well as the socio-economic conditions and trends as they relate to the GEF-SGP and its focal areas, and assess their impact on SGP's work and Programme.</p> <p>Contribute to the formulation of the Country Programming Strategy (CPS) and its biennium review and update;</p> <p>Exercise quality control over the development of a portfolio of project ideas and concepts, and closely monitor the Programme implementation progress and results;</p> <p>Organize periodic stakeholder workshops and project development sessions for NGOs, Community Based Organizations (CBO) and local communities, and other stakeholders to explain about SGP, and to assist potential applicants in making the link between local environmental problems and the global concerns of the GEF focal areas and operational Programmes;</p> <p>Work closely with NGOs and CBOs in preparation of project concepts and proposals to ensure that individual projects fit the GEF-SGP Strategic Framework;</p> <p>Authorize and manage project planning grants as required.</p> <p>Conduct periodic Programme monitoring field visits and provide technical and operational support and guidance to SGP grantees as required;</p> <p>Work closely and support the National Steering Committee and its deliberations during the process of project proposal selection and approval, especially the initial appraisal of proposals and assessment of eligibility.</p> <p>Foster operational and policy linkages between the GEF-SGP and the large or medium-sized GEF projects, planned or underway in the country, as well as those of other donors and development partners.</p> <p>Manage the annual SGP allocations (administrative and grants), maintain the financial integrity of the Programme, ensure most effective use of SGP resources;</p> <p>Report periodically to CPMT on Programme implementation status, including financial reporting, and update the relevant UNOPS and SGP databases.</p>
20%	3.	<p>Resource Mobilization</p> <ul style="list-style-type: none"> • Establish and maintain close working relationships with stakeholders, advocate SGP policies, comparative advantages and initiatives, and ensure visibility. • Assess Programme interest and priorities of key donors and other development partners, develop SGP advocacy campaigns and develop/update the SGP Resource Mobilization Strategy; • Identify opportunities and areas eligible for GEF-SGP support, and mobilise resources from the Government, donors and other partners to best leverage the GEF-SGP resources.
10%	5.	<p>Knowledge Management</p> <ul style="list-style-type: none"> • Assist in the preparation of SGP project/Programme evaluation; • Document lessons learnt and best practices in SGP Programme/project development, implementation, and oversight; • Raise awareness of Programme Team on corporate strategic issues, plans and initiatives to maximise highest impact and effectiveness; • Access UNDP's world-wide and regional knowledge, distill best practices and facilitate their dissemination within CO and to counterparts and partners; • Document lessons learnt and best practices in SGP Programme development,

	<p>implementation, and oversight;</p> <ul style="list-style-type: none"> • Access global best practices, share them with other local and international stakeholders and ensure their incorporation into the SGP portfolio and project design process.
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IV. IMPACT OF KEY RESULTS / KEY PERFORMANCE INDICATORS

Sound Programme development and build up, consistency of Programme focus with national needs and priorities and in the GEF-SGP Strategic Framework and the focal areas, high productivity in the use of resources to create maximum project/Programme impact. Increased trust by clients and donors and increased opportunities for visibility, partnerships and co-financing.

V. QUALIFICATIONS AND SKILLS REQUIRED

Education:	Advanced university degree in environmental fields, Environmental Economics, Business Administration or similar field.
Experience:	At least 5-8 years of relevant experience in development work, which should include Programme management, preferably with an extended specialised experience in any of the GEF-SGP focal areas at the national level.
Managerial skills	<p>Excellent analytical and writing skills</p> <p>Excellent teamwork and people management skills.</p> <p>Excellent communication and interpersonal skills.</p> <p>Good negotiation and problem-solving skills.</p>
Language requirements:	Fluency in the official national language (must be one of the 6 UN languages) and English.
IT skills	Proficiency in standard computer software (word-processing, excel, presentations, databases and internet)

ANNEX 9: TERMS OF REFERENCE FOR THE NATIONAL STEERING COMMITTEE

Task Title:	Performance of functional duties for a successful execution of the GEF SGP in Uzbekistan
Programme Name:	Small Grants Programme of the Global Environmental Facility (GEF SGP)
Planned duration (approximately):	regularly, during the time of the GEF SGP activities in Uzbekistan, taking into account the rotational principle of membership in the steering committee
Duty station:	Tashkent and home office, with communication through e-mail and phone

SHORT DESCRIPTION OF THE GEF SGP ACTIVITY

The GEF Small Grants Programme (the GEF SGP) is a GEF corporate programme aimed at supporting initiatives of non-governmental organizations (NGO) and community-based organizations (CBOs) in developing countries in GEF thematic the areas. The areas include:

- ✓ Mitigating consequences and prevention of climate change;
- ✓ Biodiversity conservation;
- ✓ Protection of transboundary waters;
- ✓ Decreasing impact by persistent organic pollutants; and
- ✓ Combating land degradation.

An important feature of the supported activities is to generate simultaneous income opportunities for local population. The support is extended in form of endowing applicants with grants, with a maximum size of US\$50,000.

The principal objectives of the GEF SGP are to:

- ✓ Develop community-level strategies and implement technologies that could reduce threats to the global environment if they are replicated over time.
- ✓ Gather lessons from community-level experience and initiate the sharing of successful community-level strategies and innovations among CBOs and NGOs, host governments, development aid agencies, GEF and others working on a regional or global scale.
- ✓ Build partnerships and networks of stakeholders to support and strengthen community, NGO and national capacities to address global environmental problems and promote sustainable development.
- ✓ Ensure that conservation and sustainable development strategies and projects that protect the global environment are understood and practised by communities and other key stakeholders..

The SGP in Uzbekistan was initiated by the State Committee for Nature Protection together with the UNDP country office in Uzbekistan in 2005. By the present moment Uzbekistan is included in the list of the countries-participants to the GEF SGP and activities of SGP will start in early 2008.

The key principle of the GE SGP is to achieve environmental benefits by means of local communities and NGOs, which means that the initiative should be vested in their hands. The GEF SGP adheres to a decentralized approach to decision-making in the sphere of environmental management. This approach is embodied in the management of the SGP by the National Steering Committee in each country.

The National Steering Committee (NSC) is the central element of the GEF SGP and makes the key contribution to the programme and its strategic management. The NSC should include representatives of local NGOs, the government, academic circles, UNDP and, probably, other donors, the private sector, representatives of the small indigenous groups and mass-media. In doing so, an overwhelming majority of representatives in the NSC should be from non-governmental sector. However, the government's participation in the NSC and cooperation with local and national authorities is necessary, since this will

allow local communities to cover directions which need a change in the policy of the state and decision-making for situation improvement.

DETAILED TASK INFORMATION

To ensure effective work of the GEF SGP in Uzbekistan, the NSC assumes the following functions.

Basic **functions of the NSC** are:

1. Preparation and approval of the country programming strategy for the GEF SGP in Uzbekistan;
2. Consideration, at the NSC sessions, of proposed project applications submitted through the National Coordinator of GEF SGP for a grant, for the conformity with the established criteria and procedures of the GEF SGP and practical possibilities for their realization;
3. Decision-making on approving or rejecting financing of a project through the SGP Uzbekistan;
4. Monitoring of projects implementation;
5. Advocacy of the GEF SGP at the national level.

Working conditions for the NSC

Membership in the NSC:

- (a) Inclusion into the NSC is carried out through an invitation on behalf of the UNDP Resident Representative in Uzbekistan
- (b) The UNDP Resident Representative will request organizations from the non-governmental sector, academic structures, donor community to delegate representatives for the participation in the NSC as members
- (c) The UNDP Resident Representative will also request the Government to delegate one or more representatives for NSC sessions as member (s).
- (d) The UNDP Resident Representative approves the list of members to the NSC.
- (e) The term of membership in the NSC is two years, with a possible renewal, but with preservation of the rotation principle. The rotation conditions are defined by the NSC's regulations.
- (f) If one of the members cannot serve the full term, a new member can be appointed by the UNDP Resident Representative, either to complete the term of the previous member, or discharge the duties for a full term.
- (g) The UNDP Resident Representative or its representative will execute functions *ex officio* as a member of the NSC.
- (h) The NSC nominates a Chairperson from the members, preferably through a consensus. The order for the rotation of the NSC chairperson is defined by NNC's regulations.
- (i) Neither the UNDP Resident Representative, nor the National SGP coordinator can be the Chairperson of the NSC.
- (j) Ideally, the members of the NSC serve as individuals, rather than as representatives of the organization or institutions with which they are associated in one way or another.
- (k) The membership in the NSC should not be considered as transferable or delegable. The members of the Committee should carry out the functions independently to ensure succession and sequence in decision-making.
- (l) The National Coordinator of the GEF SGP and COMPACT projects shall perform the functions of a Secretary to the NSC, and the participates in the discussions of the NSC as an *ex officio member*, but has no right to vote for project applications.

Holding sessions of the NSC:

- (m) The number and order for NSC sessions is defined by regulations of NSC which will be approved by the committee prior to the beginning of its work.

- (n) No member of the NSC should participate in consideration or approval of any project in which s/he, or the organization with which s/he is associated, have a financial interest. In such cases, such a member should abstain from voting on the project.
- (o) In case a consent cannot be achieved on disputable questions, or an ambiguity in interpretation of certain cases, the decision of the UNDP Resident Representative will have the decisive force;
- (p) The decisions of the NSC are considered as final, subject only to the subsequent approval by the UNDP Resident Representative.

Financing:

- (q) Members of the NSC will fulfill the duties on a voluntary no-pay basis, without a financial compensation. Nevertheless, small compensation of reasonable and necessary expenses can be made (such as transport) which are directly connected with the membership or visiting of the sessions.
- (r) A compensation of expenses under business trips, related to the activity within the limits of GEF SGP is carried out upon submission of all confirming documents, according to the UNDP procedures and standards, and should be approved prior to expenses are made.

Requirements to the work and representatives to the NSC:

- (s) The members of the NSC should take all required measures to ensure full objectivity of the NSC, both actual and formal (visible), and should avoid conflicts of interest or excessive influence. The Representatives to the NSC are obliged to ensure objectivity in the decision-making process using a principle of consensus, to exclude questions of personal character and conflict of interests as well as possible external influences.
- (t) As the main principle, the NSC will be keen to function in the most transparent manner. The coordinator will hold an official record of each meeting of the NSC which will be made accessible to the general public.
- (u) Neither the NSC as a body, nor the members of the NSC have the right to legally represent the GEF SGP, the COMPACT project, GEF or UNDP in any financial or other transaction.
- (v) In a case where a representative to the NSC is as member to an organization applying for the financial support to GEF SGP, has any interest in the project or a conflict of interests with the organization applicant, s/he is obliged to inform the members of the NSC well in advance and abstain from participation in the discussion even if s/he is not an executor under the project. The representatives of the NSC have no right to participate in the project realization.

Functions of each member of the NSC:

Each member of the NSC should have a possibility to carry out the following functions:

- (w) Seek possibilities to get acquainted with the concepts of the project proposals which have been submitted;
- (x) Consider the submitted project applications according to the GEF SGP criteria, provide remarks and comments as to the project applications;
- (y) Make decisions to support or reject the submitted projects for the GEF SGP financing. Both in case of approval or rejection of the project application, the NSC members should present the substantiated reasons for the decision, being based on the principles and criteria of the GEF SGP;
- (z) Provide a consultative support to the potential beneficiaries within their competence during the pre-project and project activity;
- (aa) Participate in monitoring of the execution of the national GEF SGP programme strategy;
- (bb) Participate in Monitoring and evaluation of the current projects and the entire GEF SGP programme as a whole;
- (cc) Participate in fact-finding visits under the projects of potential beneficiaries;
- (dd) Participate in training exercises the GEF SGP holds for potential beneficiaries as trainers;

Expected results of the NSC activities

The results of the work of the NSC shall be as follows:

1. Quality consideration of the project applications submitted for financing from GEF SGP;
2. Timely and regular decisions to be made to approve/reject project applications;
3. Monitoring and evaluation of the performance of the Country Programming Strategy of the GEF SGP in Uzbekistan.

Required conditions, experience and technical competence of the members to the NSC

To perform the current technical project, a committee consisting of 9 members is created. The members of the NSC should possess the following qualification:

1. Higher education;
2. Proven operational experience in one of the spheres connected with: agriculture; energy; environmental conservation; work with local population and-or non-governmental organizations; academic experience; or in any other sphere allowing the member NSC to issue an expert conclusion on one of the three directions of GEF SGP activities, i.e. climate change, preservation of biodiversity and land degradation.
3. To be dedicated to assist local population in addressing environmental problems;
4. To be obliging and punctual;
5. Exert honesty, responsiveness, ability to work in a team and be able to achieve trade offs on disputable issues;
6. Have a basic experience with electronic programmes, such as MS Word, Excel, web browsers and e-mail agents;
7. Good command of either Russian or Uzbek is required, both would be an advantage.