




SIGNATURE PAGE

Country: **Uzbekistan**

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| <p>UNDAF Outcome(s)/Indicator(s): <i>(Link to UNDAF outcome., If no UNDAF, leave blank)</i></p> | <p>By 2009, national laws are harmonized with selected United Nations legal Instruments, and the implementation and monitoring of the latter are improved.</p> |
| <p>Expected Outcome(s)/Indicator (s): <i>(CP outcomes linked to the SRF/MYFF goal and service line)</i></p> | <p>Obligations under international environmental conventions and agreements fulfilled through improved effectiveness of environment management and development of clean energy sources.</p> |
| <p>Expected Output(s)/Indicator(s): <i>(CP outputs)</i></p> | <p>Improved institutional capacities of national/local authorities in environment management and clean energy development that respond to the needs of the poor.</p> |
| <p>Implementing partner: <i>(designated institution/Executing agency)</i></p> | <p>Forestry Department of Ministry of Agriculture and Water Resources</p> |
| <p>Responsible parties: <i>(formerly implementing agencies)</i></p> | <p>Academy of Sciences, State Committee on Land Resources, Geodesy, Cartography and State Cadastre, Uzbekistan Hydro meteorological Administration, and State Committee for Nature Protection</p> |

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| <p>Programme Period: 2005-2009 Key Result Area (Strategic Plan): 4.1. Mainstreaming Environment and Energy: Strengthened national capacities to mainstream environment and energy concerns into national development plans and implementation systems Atlas Award ID: 00060412 Start date: June 2008 End Date: June 2012 PAC Meeting Date: April 25, 2008</p> <p>Management Arrangements: NEX</p> | <p>Total budget: USD 2,215,000</p> <p>Allocated resources: USD 1,175,000 (a) GEF USD 975,000 (b) UNDP USD 200,000</p> <p>Others: USD 1,040,000 (d) Government in-kind USD 1,040,000 Unfunded budget: N/A</p> |
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| <p>Agreed by (Government): </p> | <p>Date</p> <p>_____</p> |
| <p>Agreed by (UNDP):  Ercan Murat UNDP Resident Representative a.i. </p> | <p>_____</p> |

Страна: Узбекистан

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| UNDAF Результаты/Индикаторы: (Свяжите с результатом UNDAF. Если таковой нет, не заполняйте графу) | К 2009 г. национальное законодательство гармонизировано с правовыми инструментами ООН, внедрение и мониторинг последних улучшены |
| Ожидаемые результаты/Индикаторы: (Результаты СР, связанные с SRF/MYFF целью и линией услуг) | Обязательства в рамках международных природоохранных конвенций и соглашений выполнены посредством улучшения эффективности управления природоохранной деятельностью и развития чистых источников энергии |
| Ожидаемые результаты/Индикаторы: (Результаты СР, связанные с SRF/MYFF целью и линией услуг) | Возросший потенциал национальной/местной администрации по управлению окружающей средой и развитию чистой энергии, что отвечает нуждам малоимущих слоев населения |
| Имплементирующий партнер: (Назначенное учреждение/Исполнительное агентство) | Главное Управление лесного хозяйства Министерства сельского и водного хозяйства Республики Узбекистан |
| Другие партнеры: | Академия наук РУз, Государственный комитет по земельным ресурсам, геодезии и картографии, Узгидромет, Государственный Комитет РУз по охране природы |

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| <p>Период Программы: <u>2005-2009</u></p> <p>Компонент Программы: 4.1. Внедрение вопросов окр. среды и энергии. Возросший страновой потенциал по внедрению вопросов окружающей среды и энергии в национальные планы развития и системы имплементирования последних</p> <p>№ Проекта: <u>00060412</u></p> <p>Дата начала проекта: <u>1 июня 2008 г.</u></p> <p>Дата завершения проекта: <u>31 мая 2012 г.</u></p> <p>Дата проведения LPAC: <u>25 апреля 2008 г.</u></p> <p>Организация управления: <u>NEX</u></p> | <p>Общий бюджет: USD 2,215,000</p> <p>Выделенные средства: USD 1,175,000</p> <ul style="list-style-type: none"> • ГЭФ USD 975,000 • ПРООН USD 200,000 <p>Другие:</p> <ul style="list-style-type: none"> • Вклады в натуральной форме Правительство USD 1,040,000 |
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Утверждено (Правительство):  _____ Дата

Утверждено (ПРООН):  _____ Дата

Эрджан Мурат, И.о. Постоянного Представителя 



United Nations Development Programme

Country: Uzbekistan

Project Document

Project Title

Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas

UNDAF Outcome(s):

By 2009, national laws are harmonized with selected United Nations legal instruments, and the implementation and monitoring of the latter are improved.

Expected CP Outcome(s):

(Those linked to the project and extracted from the CPAP)

Obligations under international environmental conventions and agreements fulfilled through improved effectiveness of environment management and development of clean energy sources.

Expected Output(s):

(Those that will result from the project and extracted from the CPAP)

Improved institutional capacities of national/local authorities environment management and clean energy development that respond to the needs of the poor

Implementing Partner:

Ministry of Agriculture and Water Resources

Responsible Parties:

UNDP, Ministry of Agriculture and Water Resources, Goskomprirody, Tashkent region Khokimiyat, Goskomgeologiya, Academy of Sciences, Uzhydromet.

Brief Description

Strict Nature Reserves represent the most numerous and important instrument of *in situ* biodiversity conservation in Uzbekistan. Under present conditions, the National Protected Area System (NPAS) of Uzbekistan does not effectively safeguard its biodiversity against threats.

The project will enhance sustainability of the NPAS through removal of the systemic barriers and institutional barriers and demonstrating new management approaches (at Surkhan Strict Nature Reserve) for the expansion of protected area system in Uzbekistan. The project will also build the management capacity of all strict nature reserves across the country, to effectively utilize opportunities that have been opened up by the adoption of the new law "On protected areas" in December 2004.

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| Programme Period: | 2005-2009 |
| Key Result Area (Strategic Plan): | 4.1. Mainstreaming Environment and Energy: |
| | Strengthened national capacities to mainstream environment and energy concerns into national development plans and implementation systems |
| Atlas Award ID: | 00060412 |
| Start date: | June 2008 |
| End Date | June 2012 |
| PAC Meeting Date | April 25, 2008 |
| Management Arrangements | NEX |

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|----------------------------|-----------|
| Total AWP budget: | 1,175,000 |
| Total resources required | 2,215,000 |
| Total allocated resources: | 2,215,000 |
| • Regular (TRAC) | 200,000 |
| • Other: | |
| o GEF | 975,000 |
| Unfunded budget: | ___n/a___ |
| In-kind Contributions: | |
| • Government | 1,040,000 |

Agreed by Ministry of Agriculture and Water Resources
of the Republic of Uzbekistan:

Agreed by UNDP:

Ms. Kyoko Postill, UNDP RR a.i.

I. SITUATION ANALYSIS

The Republic of Uzbekistan covers approximately 447,400 km² and is bordered by Kazakhstan to the north, Turkmenistan and Afghanistan to the south, and Kyrgyzstan and Tajikistan to the east. Nearly 85% of its territory is occupied by desert or semi-desert, including the largest desert in Central Asia, the Kyzylkum. These deserts are flanked by the extensive Tien Shan and Gissar-Alai mountain systems in the east and southeast. The territory of Uzbekistan shelters a number of globally significant flora and fauna species, including Snow Leopard (*Uncia uncia*), Saiga Antelope (*Saiga tatarica*), Bukhara Urial (*Ovis orientalis ssp. bocharensis*), Menzbier's Marmot (*Marmota menzbieri*), Striped Hyaena (*Hyaena hyaena*), Lesser Kestrel (*Falco naumanni*), Tadjik Markhor (*Capra falconeri ssp. heptneri*), Black Vulture (*Aegypius monachus*), Houbara Bustard (*Chlamydotis undulata*), Zizyphus (*Zyzyphus jujube mill.*) and others. The globally significant biodiversity of Uzbekistan is protected through a system of protected areas covering 5.75% of the territory. Uzbekistan's protected area estate is composed of: 9 strict nature reserves (zapovedniks), 2 national parks, 9 State reserves for special purposes (zakazniks) and 2 state nature memorials. The strict nature reserves represent the most numerous and important instrument of *in situ* biodiversity conservation in the country.

The main threats to the globally significant biodiversity of Uzbekistan are: (i) the degradation, fragmentation and loss of important habitats due to agricultural development, fires, logging and overgrazing; and (ii) over-exploitation of natural resources. Under current conditions, the National Protected Area System (NPAS) of Uzbekistan does not effectively safeguard its biodiversity against these threats. The national PA system's effectiveness in conserving biodiversity is constrained by several key barriers at both systemic and institutional levels, such as: inadequate legal and policy framework; institutional fragmentation; weak management capacity of the agencies responsible for strict reserves' management; the need for alternatives to current resource use patterns of local communities. The project will enhance sustainability of the NPAS through removal of the systemic barriers and institutional barriers that constrain effective operation of the category of strict nature reserves (SNR) at the national level, and the testing and demonstration of approaches to strengthened management effectiveness at a pilot level – in the Surkhan State Strict Reserve. Thus, in conjunction with the removal of key barriers at the national level, the site level work will provide the basis for up-scaling, dissemination and replication of the best practices and lessons learned throughout the NPAS, the region, and beyond.

The Government of Uzbekistan recognizes the importance of biodiversity, as reflected in the adoption of the National Biodiversity Strategy and Action Plan (NBSAP), which was approved by the Chairman of the Cabinet of Ministers of Uzbekistan on 1st April 1998. The main focus areas of the NBSAP were protected area development and the conservation and sustainable use of biodiversity in Uzbekistan, and the proposed project will directly assist in the implementation of these priority areas. Whereas it is difficult for the Government, in light of the existing socio-economic problems of the country, to allocate sufficient amount of state budget resources for effective operations of the protected areas, the governmental agencies involved in protected areas management seek new approaches to sustain protected areas and their biodiversity protective functions. Recognizing the necessity to protect biodiversity and admitting that biodiversity preservation through protected areas solely funded with state financial support is a costly option, in 2004 Uzbekistan adopted a new law "On protected areas". This law provides additional financing opportunities for biodiversity protection. The proposed project targets building the management capacity of strict nature reserves to effectively utilize opportunities that have been opened up by the adoption of the new law. Previous legislation did not allow the involvement of local communities in decision making in strict reserves. Under the current law this opportunity is granted and presents the possibility to implement a mechanism for bringing the interest of SNRs and local stakeholders together in a participatory approach to protected area management.

Since this project cannot be effectively undertaken at the scale of the entire country, during the preparation stage, the Surkhan strict nature reserve was selected as a candidate site to demonstrate approaches relevant for the conservation management of the entire network of strict nature reserves. It has an area of 245 km², including 90 km² of mountain juniper (archa) forests and 76 km² of grassland/meadows. The reserve is surrounded by an as yet to be legally established buffer zone of 30,000 ha. The area includes a few settlements, communal farms, roads, pasture lands and lands of the Forest Fund. The land of the strict nature reserve, the future buffer zone, farms, Forestry Fund and pastures are under direct authorities of the Ministry of Agriculture and Water Resources. The reserve is typical of other SNRs in Uzbekistan and thus conservation lessons and practices developed in SSNR can be readily transferred to other locations in the NPAS. The selection of SSNR was made based on the following criteria: (i) The SSNR is located in the

Kugitang Mountains that represents one of the most important habitats for globally significant biodiversity in Uzbekistan; (ii) The area around the SSNR is not yet highly developed that provides opportunity to demonstrate the expansion of conservation management influence beyond the strict reserve's boundary using innovative mechanisms for Uzbekistan at the same time demonstrating how biological resources can be used sustainably; (iii) Local communities around the SSNR have positive attitude towards biodiversity conservation, which provides an opportunity to develop and demonstrate community involvement mechanisms and sustainable biodiversity use options in the context of PA management for replication elsewhere in the country.

II. STRATEGY

The outcome of the project is to strengthen Uzbekistan's protected area system. It will contribute the Country Program Outcome 4.2: *Obligations under international environmental conventions and agreements fulfilled through improved effectiveness of environment management (...)*. The output of the project is to develop successful, cost-effective, and replicable approaches towards effective management of strict nature reserves. These reserves represent the most numerous and important instrument of *in situ* biodiversity conservation in the country. The project will attain its output through the realization of three major activities: one - exclusively at the national level, and two others with impacts both at the national and local levels. These are: (i) national level: an improved enabling environment for strict nature reserves conservation management; (ii) national and local level: strict nature reserves' management effectiveness enhancing reforms are demonstrated; and (iii) national and local level: community-based conservation programme that corresponds to the reserve's conservation objectives is tested and replicated.

Activity 1: Master Plan for Protected Area System of Uzbekistan is guiding the expansion

Activity 1.1 Progressive changes in legislation are realized and required implementing regulations are developed:

The project will support a series of interventions aimed at reviewing the legal and regulatory framework for strict nature reserves. The areas of intervention will include but will not be limited to the following: (i) Develop secondary legislation related to buffer zone establishment and designation on mechanisms for land allocation and its administration, rights and obligations of the land users in the buffer zone, compensation schemes, tax abatements or other economic incentives necessary in the light of proposed restrictions on the land users residing in the buffer zones, etc; (ii) Develop and submit to the Government a package of legislative norms, justifying and regulating financial commitments from the state budget for sustaining operational capacities of the strict nature reserves; (iii) Legislation on benefit sharing and inclusion of local communities in biodiversity conservation and PA management. The work will built upon the recommendations of the completed GEF – funded Enabling Activity (Assessment of Priority National Capacity Development needs for Implementation of the BSAP and Establishment of CHM Structures) which developed recommendations for adjusting regulations on sustainable hunting that ensure communities receive the majority of revenues from hunting (based on the successful experience of Kyrgyzstan and Pakistan); and (iv) development of a mechanism for receiving additional bonuses for efficient fulfilling of responsibilities and tasks in order to provide rangers with an additional economic incentive.

Activity 1.2 Assessment of the representation and ecological gaps:

Work under this activity will assist Uzbekistan in identifying priority areas required for the long-term survival of its biodiversity features. It will specifically seek to spatially focus, and align, the biodiversity conservation priorities of the Ministry of Agriculture and Water Resources (MAWR), Goskomprirody and other institutions. The activities include: (i) Assessing and mapping the types of habitats in Uzbekistan, and the extent to which they are endangered or threatened; (ii) Assessing and mapping the species distributions for endemic and threatened taxa (where practicable); (iii) Assessing and mapping spatial surrogates of ecological and evolutionary processes (such as highland-lowland gradients as a surrogate for movement of biota and response to climate change); (iv) Mapping the different categories of protected areas; (v) Defining

and mapping the current, and projected, degree of landscape transformation; and (vi) Setting explicit quantitative conservation targets for habitats and species.

Activity 1.3 Development of a PA Expansion Plan:

This activity will assist the country in developing a strategic national approach in the establishment, management and monitoring of a comprehensive, adequate and representative protected area system for Uzbekistan. These activities include: (i) Describing the current protected area system context and briefly summarizing global reviews of best practice in protected area establishment, planning and management; (ii) Establishing short- and long-term spatial targets for a representative protected area network design that: (a) aims to contain samples of all ecosystems at the appropriate scale; (b) aims to contain areas which are refugia or centers of species richness or endemism; (c) considers the ecological requirements of rare or threatened species, communities or habitats; and (d) takes account of special groups of organisms (e.g. ranging or migratory species); (iii) developing a standard approach to the establishment of protected areas, including drafting an agreed set of minimum standards which different categories of protected areas must meet to be incorporated in the National Protected Area System. It will also provide protected area establishment guidelines on: (a) the mechanisms to secure the legal conservation tenure of different types of land ownership; (b) mechanisms for the delineation of protected areas; (c) options for delegating management authority (see activity 2.1); (d) accreditation of the protected area management institution; (e) the information requirements and flow of relevant PA establishment information; and (f) the participative requirements and processes; (iv) Identifying a set of common broad management principles for protected areas, which embody contemporary thinking on protected area management, to ensure the on-going maintenance and management of their primary biodiversity and heritage conservation values. This will include: (a) requirements for management planning, including for buffer zone management; (b) responses to common management issues such as fire, invasive alien species, neighbour relations, tourism/visitor facilities and services, resource use and stakeholder engagement; and (c) requirements for co-operative governance; (v) Identifying the broad options for the sustainable financing of protected areas; (vi) Identifying the role of the various stakeholders (communities and private sector) in protected area establishment and management; (vii) Identifying the reporting requirements to monitor management effectiveness of protected areas and the protected area system; (viii) Identifying the respective roles and responsibilities of the MAWR, other ministries, public enterprises and protected area institutions; and (ix) Collating all the information into a 'Master Plan for Protected Area System of Uzbekistan'.

Activity 1.4: PA Financing Plan in place and screening tools for feasibility of financial mechanisms:

Work under this activity is designed to provide the relevant institutions responsible for protected areas with the tools to identify and implement a range of affordable and sustainable financing options and mechanisms that could fund the planning and management of the protected area network. The activities would include: (i) Identifying the current financing mechanisms for protected areas in Uzbekistan and lessons learnt from their implementation; (ii) Identifying the range of appropriate financing mechanisms for the protected area network and individual protected areas; (iii) Analyzing each financing mechanism in terms of: (a) A general description (what is it, how does it work); (b) The affected stakeholders (who pays, who receives); (c) Regulatory requirements (enabling legal requirements); (d) Structural considerations (institutional arrangements and controls for collection and distribution of benefit flows); (e) Optimal pricing and payment systems; (f) Projected operating costs and income flows; (g) Likelihood of acceptance of mechanism (risks, willingness-to-pay, political support); and (h) Possible mitigation measures (to overcome low probability of implementation or acceptance of mechanism); (iv) Development of a broad financing plan for the protected areas network, and a detailed financing plan for individual protected areas (on a piloted, prioritized basis only); and (v) Drafting the secondary legislation required to implement key financing mechanisms.

Activity 2: Strengthened institutional and individual capacity to enable expansion and improved management effectiveness.

Activity 2.1: Coordination among agencies responsible for biodiversity and reserves management is strengthened:

Conservation in Uzbekistan” and its results under the components “Community Forestry” and “Ecotourism and Hunting” that have identified deficiencies and capacity development needs for undertaking sustainable game species management, reforestation and domestic eco-tourism. The project will ensure that all interests and concerns of the affected population, including relevant tax abatements, land zoning requirements, etc, are reflected in the projected legislation changes that are carried out under Activity 1 of the project. The project will undertake a comprehensive analysis of the territory in order to identify the most attractive and suitable areas for creating a game species (hunting) reserve, forestry plantations and recreational facilities for domestic eco-tourism. The project will ensure that the model, which will be tested within the SSNR buffer zone, serves the objective of reconciling the interests of local population and biodiversity conservation within the PAs and is sustainable in the long run. After broad consultation processes are held and consensus is reached on the proposed boundaries and potential location of the mentioned zones, the project will assist the executing agency and people who will have expressed their interest and sound commitments to participate in active buffer zone management with preparation of all required legal documents for the buffer zone designation and demarcation. The package of documents will be submitted to the Government for approval. The project will also prepare all necessary GIS layers for future use by the administration of the reserve. Further, in future, the documentation shall be used and disseminated across other SNRs in Uzbekistan with provision of relevant training to the concerned parties.

III. RESULTS AND RESOURCES FRAMEWORK

Intended Outcome as stated in the Country Programme Results and Resource Framework:

Outcome 4.2: *Obligations under international environmental conventions and agreements fulfilled through improved effectiveness of environment management and development of clean energy sources.*

Outcome indicators as stated in the Country Programme Results and Resources Framework, including baseline and targets:

Indicators: Improved capacity in environmental management through reorganization of environmental governance structures. National renewable energy strategy and national waste management strategy adopted and implementation started

Baseline: National policy/strategic plans in place, but poorly implemented (national biodiversity action plan, national environmental action plan, national action plan to combat desertification)

Target: Uzbekistan meets obligations under United Nations Framework Convention on Climate Change (UNFCCC), United Nations Convention on Bio-Diversity (UNCBD) and United Nations Convention to Combat Desertification (UNCCD) and timely reports on implementation

Applicable Key Result Area (from 2008-11 Strategic Plan): 4.1 Mainstreaming environment and energy

Partnership Strategy: Ministry of Agriculture and Water Resources is Implementing Agency of the project with support of UNDP in cooperation with the State Committee for Environment protection (Goskomprroda), State Committee on Geology and Mineral Resources, Tashkent region Khokimiat, Uzhydromet and Academy of Sciences of Uzbekistan.

Project title and ID (ATLAS Award ID): Strengthening Sustainability of the National Protected Area System by Focusing on Strictly Protected Areas (00060412)

| INTENDED OUTPUTS | OUTPUT TARGETS FOR (YEARS) | INDICATIVE ACTIVITIES | RESPONSIBLE PARTIES | INPUTS |
|--|---|---|--|--|
| <p>Output : Successful, cost-effective, and replicable approaches towards effective management of Strict Nature Reserves and support their further expansion developed and demonstrated.</p> <p>Baseline: National Law on Protected Area is adopted but mechanism and skills are missing for its successful implementation. The existing governmental programming baseline is limited to the NBSAP formulated in 1998.</p> | <p>Targets (2008)</p> <ul style="list-style-type: none"> - Project office is operationalized; - International and national staff is recruited; - Inception Workshop is carried out. <p>Targets (2009)</p> <ul style="list-style-type: none"> - METT is implemented in all SNRs of the country; - ToR for future PA Management plan is drafted. <p>Targets (2010)</p> <ul style="list-style-type: none"> - Legislation and required implementing regulations are | <p>1. Master Plan for Protected Area System of Uzbekistan is guiding the expansion.</p> <ul style="list-style-type: none"> ▪ Progressive changes in legislation are realized and required implementing regulations are developed ▪ Assessment of the representation and ecological gaps ▪ Development of a PA Expansion Plan ▪ PA Financing Plan in place and screening tools for feasibility of financial mechanisms | <p>UNDP, Ministry of Agriculture and Water Resources</p> | <p>Activity 1 International Consultancy: GEF =60,000 Local Consultancy: GEF= 85,000 Personnel cost: GEF= 36,500 Contractual Services: GEF=69,800 UNDP=24,000 Printing cost: GEF= 35,000 UNDP= 24,000</p> |

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| <p>The Strategy and Action Plan provides a general framework for development of the protected area system in Uzbekistan and improved efficiency of biodiversity conservation measures. However, the plan of action articulated in the NBSAP has never been translated to any concrete actions by any of the entities in the governmental structure for biodiversity management.</p> <p><u>Indicators:</u></p> <ol style="list-style-type: none"> 1. Legal, regulatory and institutional frameworks for financial sustainability are developed to facilitate expansion of the Protected Area System of Uzbekistan to cover an additional 2 million ha; 2. Improved management effectiveness of 822,500 ha of protected areas in Uzbekistan; 3. Business planning and tools for cost-effective management in place; 4. Number of tools for revenue generation are applicable; 5. Number of replicates within other strict reserves, of approaches demonstrated and lessons learned by the project. <p><u>Target:</u></p> <ul style="list-style-type: none"> - Protected Area Expansion Plan (incl. Financing Plan) developed and submitted to the Government of Uzbekistan | <p>developed;</p> <ul style="list-style-type: none"> - Biodiversity assessment and mapping; - Reviewing best practices and developing generic guiding principles for management planning; - New SNR organizational structure is designed and personnel qualifications are upgraded to meet requirements; - Standardized methodologies for inventorying, monitoring and data management on SNRs biodiversity are developed; - Management Plan's components are worked out; - Revising boundaries of the SSNR to improve the long-term conservation effectiveness; - Delineation of the buffer zone of SSNR is made. <p>Targets (2011)</p> <ul style="list-style-type: none"> - Buffer zone is established; - Secondary legislation for its management is prepared; - Innovative approaches in strict nature reserves' management are tested and carried out; - Management Plan is | <ol style="list-style-type: none"> 2. Strengthened institutional and individual capacity to enable expansion and improved management effectiveness <ul style="list-style-type: none"> ▪ Coordination among agencies responsible for biodiversity and reserves management is strengthened ▪ Business and management planning for Protected Area staff ▪ New staffing and reporting system for strictly nature reserves (SNR) and personnel qualifications requirements upgraded ▪ Standardized methodologies for inventorying, monitoring and data management on SNRs biodiversity are developed 3. Demonstration of new conservation management approaches (new governance approaches) in buffer areas of strict nature reserves in Uzbekistan <ul style="list-style-type: none"> ▪ The pilot reserve's boundary is adjusted to improve its conservation effectiveness ▪ Legal designation is provided for the buffer zone around the reserve. 4. Project management <ul style="list-style-type: none"> ▪ Administrative and financial management of the project | <p>Activity 2</p> <p>International Consultancy: GEF =54,000</p> <p>Local Consultancy: GEF= 68,000</p> <p>Travel: GEF= 40,000</p> <p>Contractual Services: GEF=109,000</p> <p>Equipment: GEF= 48,000</p> <p>Printing cost: GEF= 20,000</p> <p>Activity 3</p> <p>International Consultancy: GEF =18,000</p> <p>Local Consultancy: GEF= 48,000</p> <p>Travel: GEF= 29,000</p> <p>UNDP=10,000</p> <p>Contractual Services: GEF=47,000</p> <p>UNDP=10,000</p> <p>Grants: GEF= 32,000</p> <p>Activity 4</p> <p>Personnel cost: GEF= 60,000</p> |
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IV. TOTAL WORK PLAN

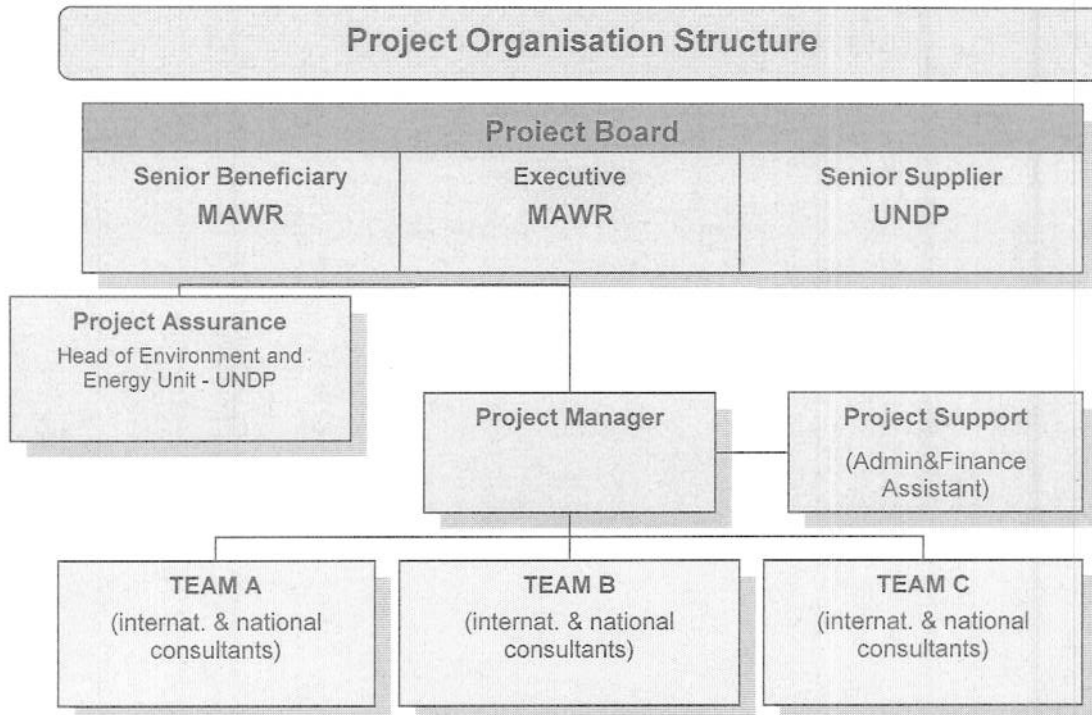
Year: 2008-2012

| EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i> | PLANNED ACTIVITIES <i>List activity results and associated actions</i> | TIMEFRAME | | | | RESPONSIBLE PARTY | PLANNED BUDGET | | | |
|--|---|-----------|----|----|----|--------------------|----------------|---------------------------------|--|---------|
| | | Y1 | Y2 | Y3 | Y4 | | Funding Source | Budget Description | Amount | |
| <p>Output: Successful, cost-effective, and replicable approaches towards effective management of Strict Nature Reserves and support their further expansion developed and demonstrated.</p> <p>Baseline: National Law on Protected Area is adopted but mechanism and skills are missing for its successful implementation. The existing governmental programming baseline is limited to the NBSAP formulated in 1998. The Strategy and Action Plan provides a general framework for development of the protected area system in Uzbekistan and improved efficiency of biodiversity conservation measures. However, the plan of action articulated in the NBSAP has never been translated to any concrete actions by any of the entities in the governmental structure for biodiversity management.</p> | <p>1. Master Plan for Protected Area System of Uzbekistan is guiding the expansion.</p> <ul style="list-style-type: none"> ▪ Progressive changes in legislation are realized and required implementing regulations are developed ▪ Assessment of the representation and ecological gaps ▪ Development of a PA Expansion Plan ▪ PA Financing Plan in place and screening tools for feasibility of financial mechanisms | | | | | 000641 | 62000/10003 | 71200 International Consultants | 60,000 | |
| | | | | | | | 000641 | 62000/10003 | 71300 Local Consultants | 84,960 |
| | | | | | | | 000641 | 62000/10003 | 71400 Contractual services-Individual | 36,500 |
| | | | | | | | 000641 | 62000/10003 | 71600 Travel | 28,000 |
| | | | | | | | 000641 | 62000/10003 | 72100 Contractual services | 69,800 |
| | | | | | | | 000641 | 62000/10003 | 72200 Equip | 15,240 |
| | | | | | | | 000641 | 62000/10003 | 74200 Audio Visual& Print Prod Costs | 35,000 |
| | | | | X | X | X | 000641 | 62000/10003 | 74500 Miscellaneous | 4,000 |
| | | | | | | | | | Sub-total for GEF | 333,500 |
| | | | | | | | 000641 | 04000/00012 | 72100 Contractual services | 24,000 |
| | | | | | | | 000641 | 04000/00012 | 73500 Implementation Support Service ISS | 2,000 |
| | | | | | | | 000641 | 04000/00012 | 74200 Audio Visual& Print Prod Costs | 22,000 |
| | | | | | | | 000641 | 04000/00012 | 74500 Miscellaneous | 2,000 |
| | | | | | | Sub-total for UNDP | | 50,000 | | |
| | TOTAL Activity 1 | | | | | | | | 383,500 | |

| EXPECTED OUTPUTS <i>And baseline, indicators including annual targets</i> | PLANNED ACTIVITIES <i>List activity results and associated actions</i> | TIMEFRAME | | | | RESPONSIBLE PARTY | Funding Source | PLANNED BUDGET | |
|--|--|---|----|----|--------|-------------------|---------------------------------------|--------------------------------------|---------------------------------|
| | | Y1 | Y2 | Y3 | Y4 | | | Budget Description | Amount |
| <p>Indicators:</p> <p>Legal, regulatory and institutional frameworks for financial sustainability are developed to facilitate expansion of the Protected Area System of Uzbekistan to cover an additional 2 million ha;</p> <p>2. Improved management effectiveness of 822,500 ha of protected areas in Uzbekistan;</p> <p>3. Business planning and tools for cost-effective management in place;</p> <p>4. Number of tools for revenue generation are applicable;</p> <p>5. Number of replicates within other strict reserves, of approaches demonstrated and lessons learned by the project.</p> <p>Targets:</p> <ul style="list-style-type: none"> - Protected Area Expansion Plan (incl. Plan) developed and submitted to the Government of Uzbekistan for approval; METT assessment demonstrates improved score (in 3 times compared to baseline); - At least 3 strict reserves follow their own Management Plans for | <p>2. Strengthened institutional and individual capacity to enable expansion and improved management effectiveness.</p> <ul style="list-style-type: none"> ▪ Coordination among agencies responsible for biodiversity and reserves management is strengthened ▪ Business and management planning for Protected Area staff ▪ New staffing and reporting system for strictly nature reserves (SNR) and personnel qualifications requirements upgraded ▪ Standardized methodologies for inventorying, monitoring and data management on SNRs biodiversity are developed | X | X | X | X | 000641 | 62000/10003 | 71200 Consultants International | 54,000 |
| | | | | | | 000641 | 62000/10003 | 71300 Consultants Local | 68,160 |
| | | | | | | 000641 | 62000/10003 | 71600 Travel | 40,000 |
| | | | | | | 000641 | 62000/10003 | 72100 Contractual services | 109,000 |
| | | | | | | 000641 | 62000/10003 | 72200 Equip | 48,000 |
| | | | | | | 000641 | 62000/10003 | 74200 Audio Visual& Print Prod Costs | 20,000 |
| | | | | | | 000641 | 62000/10003 | 74500 Miscellaneous | 3,840 |
| | | | | | | Sub-total for GEF | | | 343,000 |
| | | TOTAL Activity 2 | | | | | | | 343,000 |
| | | <p>3. Demonstration of new conservation management approaches (new governance approaches) in buffer areas of strict nature reserves in Uzbekistan</p> <ul style="list-style-type: none"> ▪ The pilot reserve's boundary is adjusted to improve its conservation effectiveness ▪ Legal designation is provided for the buffer zone around the reserve. | X | X | X | X | 000641 | 62000/10003 | 71200 Consultants International |
| | | | | | 000641 | 62000/10003 | 71300 Consultants Local | 48,000 | |
| | | | | | 000641 | 62000/10003 | 71400 Contractual services-Individual | 13,300 | |
| | | | | | 000641 | 62000/10003 | 71600 Travel | 29,000 | |
| | | | | | 000641 | 62000/10003 | 72100 Contractual services | 47,000 | |
| | | | | | 000641 | 62000/10003 | 72200 Equip | 28,000 | |
| | | | | | 000641 | 62000/10003 | 74200 Audio Visual& Print Prod Costs | 10,000 | |
| | | | | | 000641 | 62000/10003 | 72600 Grants | 32,000 | |
| | | | | | 000641 | 62000/10003 | 74500 Miscellaneous | 3,200 | |

| | | | | | | | | | | |
|--|--------------------|--------------------|--|--|--|---|--|--|------------------|---------|
| operation and management of the reserves CP Outcome 4.2: <i>Obligations under international environmental conventions and agreements fulfilled through effectiveness of environment management and development of clean energy sources.</i> | Sub-total for GEF | | | | | | | | 228,500 | |
| | 000641 | 04000/00012 | 71600 Travel | | | | | | 9,000 | |
| | 000641 | 04000/00012 | 72100 Contractual services | | | | | | 9,000 | |
| | 000641 | 04000/00012 | 73500 Implementation Support Service ISS | | | | | | 1,000 | |
| | 000641 | 04000/00012 | 74500 Miscellaneous | | | | | | 1,000 | |
| | Sub-total for UNDP | | | | | | | | 20,000 | |
| | TOTAL Activity 3 | | | | | | | | 248,500 | |
| <ul style="list-style-type: none"> 4. Project management <ul style="list-style-type: none"> ▪ Recruitment of the project team ▪ Administrative and financial management of the project | Sub-total for GEF | | | | | | | | 70,000 | |
| | 000641 | 62000/10003 | 71400 Contractual services-Individual | | | | | | 60,000 | |
| | 000641 | 62000/10003 | 71600 Travel | | | | | | 9,000 | |
| | 000641 | 62000/10003 | 74500 Miscellaneous | | | | | | 1,000 | |
| | | Sub-total for GEF | | | | | | | | 70,000 |
| | | 000641 | 04000/00012 | 71400 Contractual services-Individual | | | | | | 60,600 |
| | | 000641 | 04000/00012 | 71600 Travel | | | | | | 10,000 |
| | | 000641 | 04000/00012 | 72200 Equip | | X | | | | 39,400 |
| | | 000641 | 04000/00012 | 72400 Communic&Audio Visual Equip | | | | | | 7,000 |
| | | 000641 | 04000/00012 | 72500 Supplies | | | | | | 7,000 |
| | | 000641 | 04000/00012 | 73500 Implementation Support Service ISS | | | | | | 3,000 |
| | | 000641 | 04000/00012 | 74500 Miscellaneous | | | | | | 3,000 |
| | | Sub-total for UNDP | | | | | | | | 130,000 |
| | TOTAL Activity 4 | | | | | | | | 200,000 | |
| GRAND TOTAL | | | | | | | | | 1,175,000 | |

V. MANAGEMENT ARRANGEMENTS



The strategic management of the project will be provided by the Project Board (see the organigramme above). The Project Board is the group responsible for making by consensus, management decisions for the project when guidance is required by the Project Manager, including recommendation for UNDP/Implementing Partner approval of project plans and revisions. In addition, the Project Board plays a critical role in UNDP commissioned project evaluations by quality assuring the evaluation process and products, and using evaluations for performance improvement, accountability and learning. Project reviews by this group are made at designated decision points during the running of the project, or as necessary when raised by the Project Manager. This group is consulted by the Project Manager for decisions when Project Manager's tolerances (normally in terms of time and budget) have been exceeded (flexibility). Based on the approved annual work plan (AWP), the Project Board may review and approve project quarterly plans when required and authorizes any major deviation from these agreed quarterly plans.

The Project Board consists of 3 parties:

- (i) Senior Supplier – UNDP - that will insure that necessary inputs are provided for the achievement of project's deliverables. These inputs may consist of programming and technical expertise, knowledge, planning and monitoring support, financial resources, logistic arrangements and other support;
- (ii) Executive – in the capacity of the Implementing Agency – the Ministry of Agriculture and Water Resources. The role of the Executive is representing the project ownership;
- (iii) Senior Beneficiary – is the Ministry of Agriculture and Water Resources representing the interests of those who will ultimately benefit from the project. The Senior Beneficiary's primary function within the Board is to ensure the realization of project results from the perspective of project beneficiaries.

The Project Board approves the appointment and responsibilities of the Project Manager and any delegation of its Project Assurance responsibilities. The project assurance role supports the Project Board by carrying out objective and independent project oversight and monitoring functions. This role ensures appropriate project management milestones are managed and completed. Project Assurance has to be independent of the Project Manager. A UNDP Programme Officer (Head of the Environment and Energy Unit) typically holds the Project Assurance role.

The Project Manager will be responsible for direct implementation and oversight of project activities and will have an authority to execute tasks according to the Annual Workplan approved by the Project Board (See Terms of Reference for Project Manager in Annex 3).

The Project Support role provides project with administrative and clerical support as required by the needs of the individual project or Project Manager. It may include documentation, filing, logistics and other support in facilitation financial, HR and procurement related operations.

For the realisation of each project's activity, the Project Manager will be supported by teams of National and International Consultants (from research institutes, relevant ministries, NGOs etc.) in accordance with project's activities. The Project manager will be responsible for coordinating the outputs of consultants to contribute to the overall realisation of the project's plan(s).

Direct UNDP Country office Support Services to the Programme Implementation

The UNDP and *Implementing Agency* - the Ministry of Agriculture and Water Resources have agreed that the UNDP Country Office will provide the following support services for the project activities at the request of the *Implementing Agency*:

- (a) Identification and/or recruitment and solution of administrative issues related to the project personnel;
- (b) Procurement of commodities, labor and services;
- (c) Identification and facilitation of training activities, seminars and workshops;
- (d) Financial monitoring and reporting;
- (e) Processing of direct payments;
- (f) Supervision of project implementation, monitoring and assistance in project assessment.

The UNDP country office may provide support services for assistance with reporting requirements and direct payment. In providing such support services, the UNDP country office shall ensure that the capacity of the Ministry of Agriculture and Water Resources is strengthened to enable it to carry out such activities directly.

When providing the above support services, the UNDP Country Office will recover the costs for providing Implementation Support Services on the basis of actual costs and transaction fee based on the Universal Price List (see Annex1 attached). According to the corporate guidelines, these costs are an integral part of project delivery and, hence, will be charged to the same budget line (account in AWP) as the project input itself.

The procurement of goods and services and the recruitment of project personnel by the UNDP country office shall be in accordance with the UNDP regulations, rules, policies and procedures. If the requirements for support services by the country office change during the life of a project, the list UNDP country office support services is revised with the mutual agreement of the UNDP Resident Representative and the Ministry of Agriculture and Water Resources.

The relevant provisions of the Standard Basic Assistance Agreement (SBAA) between the Government of Uzbekistan and the UNDP, signed by Parties on 10th June 1993, including the provisions on liability and privileges and immunities, shall apply to the provision of such support services.

The Ministry of Agriculture and Water Resources shall retain overall responsibility for this nationally managed project and will appoint the National Project Coordinator (NPC). Direct

responsibility of the NPC will be provision of strategic advice, as well as coordination of the project activity taking into account interests of the Government. He/she will approve Annual Work Plan of the Project, according to which the whole project activity will be carried out.

Any claim or dispute arising under or in connection with the provision of support services by the UNDP country office in accordance with this document shall be handled pursuant to the relevant provisions of the SBAA.

VI. MONITORING FRAMEWORK AND EVALUATION

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

Within the annual cycle

- On a quarterly basis, a quality assessment shall record progress towards the completion of key results, based on quality criteria and methods captured in the Quality Management table below.
- An Issue Log shall be activated in Atlas and updated by the Project Manager to facilitate tracking and resolution of potential problems or requests for change.
- Based on the initial risk analysis submitted (see annex 1), a risk log shall be activated in Atlas and regularly updated by reviewing the external environment that may affect the project implementation.
- Based on the above information recorded in Atlas, a Quarterly Progress Reports (QPR) shall be submitted by the Project Manager to the Project Board through Project Assurance, using the standard report format available in the Executive Snapshot.
- a project Lesson-learned log shall be activated and regularly updated to ensure on-going learning and adaptation within the organization, and to facilitate the preparation of the Lessons-learned Report at the end of the project
- a Monitoring Schedule Plan shall be activated in Atlas and updated to track key management actions/events

Annually

- **Annual Review Report.** An Annual Review Report shall be prepared by the Project Manager and shared with the Project Board and the Outcome Board. As minimum requirement, the Annual Review Report shall consist of the Atlas standard format for the QPR covering the whole year with updated information for each above element of the QPR as well as a summary of results achieved against pre-defined annual targets at the output level.
- **Annual Project Review.** Based on the above report, an annual project review shall be conducted during the fourth quarter of the year or soon after, to assess the performance of the project and appraise the Annual Work Plan (AWP) for the following year. In the last year, this review will be a final assessment. This review is driven by the Project Board and may involve other stakeholders as required. It shall focus on the extent to which progress is being made towards outputs, and that these remain aligned to appropriate outcomes.

In accordance with GEF procedure, the project will be subject to at least two independent external evaluations as follows:

Mid-term Evaluation

1. An independent Mid-Term Evaluation will be undertaken at the mid point of project implementation. The Mid-Term Evaluation will determine progress being made towards the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization, terms of reference and timing of the mid-term evaluation will be decided after consultation between the parties to the project document. The Terms of Reference for this Mid-term evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and UNDP-GEF.

Final Evaluation

2. An independent Final Evaluation will take place three months prior to the terminal tripartite review meeting, and will focus on the same issues as the mid-term evaluation. The final evaluation will also look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental goals. The Final Evaluation should also provide recommendations for follow-up activities. The Terms of Reference for this evaluation will be prepared by the UNDP CO based on guidance from the Regional Coordinating Unit and UNDP-GEF.

Audit Clause

The GoU will provide the Resident Representative with certified periodic financial statements, and with an annual audit of the financial statements relating to the status of UNDP (including GEF) funds according to the established procedures set out in the Programming and Finance manuals. The Audit will be conducted by the legally recognized auditor of the Government, or by a commercial auditor engaged by the Government.

Quality Management for Project Activity Results

| | | |
|--|--|---|
| OUTPUT : To develop and demonstrate successful, cost-effective, and replicable approaches towards effective management of Strict Nature Reserves and support their further expansion. | | |
| Activity Result 1 (Atlas Activity ID) | <i>Management Plan for PA</i> | Start Date: 2008 End Date: 2012 |
| Purpose | <i>To develop a PA management plan with economic, financial and legal aspects based on participatory approach to ensure the on-going maintenance and management of biodiversity and heritage conservation values.</i> | |
| Description | <ol style="list-style-type: none"> 1. Progressive changes in legislation are realized and required implementing regulations are developed 2. Assessment of the representation and ecological gaps 3. Development of a PA Expansion Plan 4. PA Financing Plan in place and screening tools for feasibility of financial mechanisms | |
| Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i> | Quality Method <i>Means of verification. what method will be used to determine if quality criteria has been met?</i> | Date of Assessment <i>When will the assessment of quality be performed?</i> |
| 1. % contribution of PA estate to meeting the country representativeness targets | PA Expansion plan | Final Evaluation (6 mo. before project's completion) |
| 2. Number of SNRs with approved management plan | Management plans Monitoring reports | Final Evaluation (6 mo. before project's completion) |
| 3. Percentage of the annual SSNR recurrent costs received from sources other than the state budget for their annual recurrent costs. | Budget figures from accounting books of the PA controlling authority/letters of confirmation | Final Evaluation (6 mo. before project's completion) |
| 4. Management costs of the SNRs are in line with available funds | Financial records of the SNRs management authority | Final Evaluation (6 mo. before project's completion) |
| Activity Result 2 (Atlas Activity ID) | Institutional and individual capacity and improved management effectiveness | Start Date: 2008 End Date: 2011 |
| Purpose | <i>To align the standards of biodiversity monitoring agencies with best international methodologies and improve capacity of PA staff in their implementation.</i> | |
| Description | <ol style="list-style-type: none"> 1. Coordination among agencies responsible for biodiversity and reserves management is strengthened 2. Business and management planning for Protected Area staff 3. New staffing and reporting system for strictly nature reserves (SNR) and personnel qualifications requirements upgraded 4. Standardized methodologies for inventorying, monitoring and data management on SNRs biodiversity are developed | |
| Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i> | Quality Method <i>Means of verification. what method will be used to determine if quality criteria has been met?</i> | Date of Assessment <i>When will the assessment of quality be performed?</i> |
| 1. Level of the adequate professional knowledge among the reserve's staff required for effective reserve's management. | Institutional Assessment scorecard Personnel records and TORs of staff Personnel performance reviews | Annual Project Report |
| 2. Increase in number of protected areas with an effective and properly resourced management institution. | Ministry reports Audit | Final Evaluation (6 mo. before project's completion) |
| 3. Use of business methods at SNRs level and existence of a PA performance | Business plan | METT (annually) |

| | | |
|---|--|---|
| monitoring system. | Monitoring plan | |
| Activity Result 3 (Atlas Activity ID) | New conservation management approaches in buffer areas of strictly nature reserves in Uzbekistan | Start Date: 2008 End Date: 2012 |
| Purpose | <i>To establish a buffer zone around SNRs, with active management reconciling conservation and sustainable economic development.</i> | |
| Description | 1. The pilot reserve's boundary is adjusted to improve its conservation effectiveness. 2. Legal designation is provided for the buffer zone around the reserve. | |
| Quality Criteria <i>how/with what indicators the quality of the activity result will be measured?</i> | Quality Method <i>Means of verification. what method will be used to determine if quality criteria has been met?</i> | Date of Assessment <i>When will the assessment of quality be performed?</i> |
| 1. Populations of globally significant species in SSNR. | Population surveys and monitoring results | Final Evaluation (6 mo. before project's completion) |
| 2. Number of ha under active conservation management in the SSNR. | PA register and legal description of new boundary | METT (annually) Final Evaluation (6 mo. before project's completion) |
| 3. Legal establishment of the buffer zones around other protected areas in Uzbekistan and/or the region. | NPAS register and recorded citations of this project as source of lessons Questionnaires of villagers residing around another strict reserve | Final Evaluation (6 mo. before project's completion) |

VII. LEGAL CONTEXT

This project document shall be the instrument referred to as such in Article 1 of the SBAA between the Government of Uzbekistan and UNDP, signed on June 10, 1993.

Consistent with the Article III of the Standard Basic Assistance Agreement, the responsibility for the safety and security of the executing agency and its personnel and property, and of UNDP's property in the executing agency's custody, rests with the executing agency.

The executing agency shall:

- a) put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried;
- b) assume all risks and liabilities related to the executing agency's security, and the full implementation of the security plan.

UNDP reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

The executing agency agrees to undertake all reasonable efforts to ensure that none of the UNDP funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by UNDP hereunder do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this Project Document.

VIII. ANNEXES

Risk Analysis. Use the standard Risk Log template. Please refer to the Deliverable Description of the Risk Log for instructions

Agreements. Any additional agreements, such as cost sharing agreements, project cooperation agreements signed with NGOs¹ (where the NGO is designated as the "executing entity") should be attached.

Terms of Reference: TOR for key project personnel should be developed and attached

Capacity Assessment: Results of capacity assessments of Implementing Partner (including HACT Micro Assessment)

Special Clauses. In case of government cost-sharing through the project which is not within the CPAP, the following clauses should be included:

1. The schedule of payments and UNDP bank account details.

¹ For GEF projects, the agreement with any NGO pre-selected to be the main contractor should include the rationale for having pre-selected that NGO.

2. The value of the payment, if made in a currency other than United States dollars, shall be determined by applying the United Nations operational rate of exchange in effect on the date of payment. Should there be a change in the United Nations operational rate of exchange prior to the full utilization by the UNDP of the payment, the value of the balance of funds still held at that time will be adjusted accordingly. If, in such a case, a loss in the value of the balance of funds is recorded, UNDP shall inform the Government with a view to determining whether any further financing could be provided by the Government. Should such further financing not be available, the assistance to be provided to the project may be reduced, suspended or terminated by UNDP.

3. The above schedule of payments takes into account the requirement that the payments shall be made in advance of the implementation of planned activities. It may be amended to be consistent with the progress of project delivery.

4. UNDP shall receive and administer the payment in accordance with the regulations, rules and directives of UNDP.

5. All financial accounts and statements shall be expressed in United States dollars.

6. If unforeseen increases in expenditures or commitments are expected or realized (whether owing to inflationary factors, fluctuation in exchange rates or unforeseen contingencies), UNDP shall submit to the government on a timely basis a supplementary estimate showing the further financing that will be necessary. The Government shall use its best endeavors to obtain the additional funds required.

7. If the payments referred above are not received in accordance with the payment schedule, or if the additional financing required in accordance with paragraph []above is not forthcoming from the Government or other sources, the assistance to be provided to the project under this Agreement may be reduced, suspended or terminated by UNDP.

8. Any interest income attributable to the contribution shall be credited to UNDP Account and shall be utilized in accordance with established UNDP procedures.

In accordance with the decisions and directives of UNDP's Executive Board:

The contribution shall be charged:

- (a) 0 % cost recovery for the provision of general management support (GMS) by UNDP headquarters and country offices
- (b) Direct cost for implementation support services (ISS) provided by UNDP and/or an executing entity/implementing partner (as per Annex 1).

9. Ownership of equipment, supplies and other properties financed from the contribution shall vest in UNDP. Matters relating to the transfer of ownership by UNDP shall be determined in accordance with the relevant policies and procedures of UNDP.

10. The contribution shall be subject exclusively to the internal and external auditing procedures provided for in the financial regulations, rules and directives of UNDP."

Annex 1. UNIVERSAL PRICE LIST

Valid as of 01 March 2008

UNDP 2008 Universal Price List For Country Office Services to UN Agencies and Programmes



(For Country Office Cost Bands, refer to page 3 of this document)

| Service ¹ (see service notes overleaf) | High Cost | Mid-High Cost | Mid-Low Cost | Low Cost |
|--|---------------|---------------|---------------|---------------|
| Payment Process ² | 24.13 | 16.38 | 12.69 | 8.53 |
| Issue check only (Atlas Agencies) | 6.91 | 4.69 | 3.63 | 2.44 |
| Vendor profile only (Atlas Agencies only) | 11.01 | 7.45 | 5.76 | 3.86 |
| Staff selection and recruitment process | 374.16 | 250.14 | 190.01 | 125.83 |
| Advertising (20%) | 74.83 | 50.03 | 38.00 | 25.17 |
| Short-listing (40%) | 149.67 | 100.05 | 76.00 | 50.33 |
| Interviewing (40%) ³ | 149.67 | 100.05 | 76.00 | 50.33 |
| Staff HR & Benefits Administration & Management ⁴ (one time fee, per staff. Service incl. contract issuance, UNJPF/MIP enrollment, payroll setup - Starting 2006 this price applies to the separation process as well) | 136.85 | 93.14 | 72.39 | 48.74 |
| Recurrent personnel management services: Staff Payroll & Banking Administration & Management ⁵ (per staff, per calendar year) | 338.49 | 225.55 | 170.61 | 112.62 |
| Payroll validation, disbursement (35%) | 118.47 | 78.94 | 59.71 | 39.42 |
| Performance evaluation (30%) | 101.55 | 67.67 | 51.18 | 33.79 |
| Extension, promotion, entitlements (30%) | 101.55 | 67.67 | 51.18 | 33.79 |
| Leave monitoring (5%) | 16.92 | 11.28 | 8.53 | 5.63 |
| Consultant recruitment | 151.94 | 103.36 | 80.27 | 54.02 |
| Advertising (20%) | 30.39 | 20.67 | 16.05 | 10.80 |
| Short-listing & selection (40%) | 60.78 | 41.34 | 32.11 | 21.61 |
| Contract issuance (40%) | 60.78 | 41.34 | 32.11 | 21.61 |
| Issue/Renew IDs (UN LP, UN ID, etc.) | 29.20 | 19.85 | 15.40 | 10.36 |
| Local driver's licenses (full process) | 37.67 | 25.63 | 19.91 | 13.40 |
| Accreditation w. government | 37.67 | 25.63 | 19.91 | 13.40 |
| Vehicle registration (full process) | 37.67 | 25.63 | 19.91 | 13.40 |
| Visa request (excl. government fee) | 26.11 | 17.67 | 13.64 | 9.14 |
| Ticket request (booking, purchase) | 31.75 | 21.52 | 16.65 | 11.17 |
| Travel authorization | 26.11 | 17.67 | 13.64 | 9.14 |
| Hotel reservation | 14.11 | 9.63 | 7.52 | 5.08 |
| F10 settlement | 17.36 | 11.76 | 9.08 | 6.09 |
| Procurement process involving CAP (and/or ITB, RFP requirements)⁶ | 296.43 | 199.27 | 152.46 | 101.50 |
| Identification & selection (50%) ³ | 148.22 | 99.64 | 76.23 | 50.75 |
| Contracting/issue purchase order (25%) | 74.11 | 49.82 | 38.11 | 25.38 |
| Follow-up (25%) | 74.11 | 49.82 | 38.11 | 25.38 |
| Procurement not involving CAP (low value procurement, local) | 90.17 | 61.10 | 47.23 | 31.68 |
| Identification & selection ³ (50%) | 45.08 | 30.55 | 23.61 | 15.84 |
| Issue purchase order (25%) | 22.54 | 15.28 | 11.81 | 7.92 |
| Follow-up (25%) | 22.54 | 15.28 | 11.81 | 7.92 |
| Disposal of equipment ² | 125.33 | 84.57 | 65.03 | 43.45 |
| Custom clearance | 46.29 | 31.23 | 24.01 | 16.04 |
| Shipment arrangement | 77.88 | 52.93 | 41.07 | 27.62 |
| Fellowship package (per participant) | 84.95 | 57.45 | 44.28 | 29.65 |
| AR Management Process (create/apply receivable pending item- Atlas Agencies Only) | 9.73 | 6.62 | 5.13 | 3.45 |

Explanatory Notes on the Universal Price List Services

The UPL only reflects the cost of standard services, i.e. services involving transactions and processes universally applicable in most Country Office settings. As such the UPL is applicable not only to the recovery of agency support services but also to certain categories of programme implementation support services (ISS) in cases where it is not practical to build these costs directly into the project budget.

The UPL does not reflect the actual cost of specialized or locally provided *ad-hoc* services, irrespective of whether they are provided to agencies and/or to projects. Country Office are to ensure these latter costs are recovered through a fully transparent costing methodology, which should be part of a local agreement, consistent with the provisions stipulated in the UNDP Cost Recovery Policy for services to Agencies, and pursuant to the Memoranda of Understanding stipulated with each partner agency.

The UPL does not include the cost of local security measures that might be necessary in certain countries without banking facilities, and which are agreed locally with UN clients.

- ¹ Not all UN clients require all services. In particular, Atlas partner Agencies or resident UN entities carry out themselves several UPL sub-transactions, thus reducing the overall cost of the service. Each service category in the UPL attempts to address as accurately as possible the possibility that certain steps of specific services might be performed by some UN clients themselves.
- ² **Payment Process:** the process includes disbursement only, and requires a written instruction by the budget owner agency. UNDP does not review procurement process supporting documentation other than vendor banking information, unless otherwise stipulated locally. Note that UNDP does not charge fellow Atlas partner agencies for running a fully automated pay cycle
- ³ Because of reciprocity agreements, UNDP does not charge other UN entities for time spent on joint boards (recruitment, procurement).
- ⁴ **Staff HR & Benefits Administration & Management** include services such as:
 - Position Data & Budget management
 - Issuance of contract
 - HR & dependent/beneficiary data entry & maintenance
 - Benefits data entry & maintenance (PF/Medical/Life Insurance)
 - Interface with GMC Henner on MIP reimbursements
 - Organization events (extensions, promotions, within grade increments, secondments, transfers etc)
 - Life events (changes to marital status and dependents)
 - HR data management for ASHI retirees
 - Production of key HR reports such as staffing table & personnel action forms (PAFs)
 - Guidance to staff & managers on HR rules & regulations
- ⁵ **Staff Payroll & Banking Administration & Management** are distinct from Global Payroll Services (provided by UNDP Copenhagen) and include services such as:
 - Setting up transactions that impact payroll such as one-time or recurring earnings and deductions, garnishments, positive inputs for overtime payments and transportation allowance.
 - Administration of retroactivity, recoveries and adjustments
 - Maintenance of the absence calendars for that location
 - Management of absence data
 - Validation of trial payroll results prior to the final pay run.
 - Maintenance of employee banking instructions
 - Tracking and adjusting of leave balances that affect pay
 - Reporting of pay roll activity to Managers
 - Production of payroll reports and queries
 - Production of pay slips for employees
 - Manage receivables and payables that have an impact in Payroll including benefits billing for retirees and SLWOP. The Administrator GP will be granted access to the Finance Module to process these transactions.
 - Production, follow up and clean up of the PVR reports
- ⁶ For development projects subject to ISS recovery, where the portion of the **procurement process** that takes place outside Atlas is of a clearly complex (non standard) nature involving specialized supply-chain management processes, dedicated procurement staff, etc., offices are encouraged to determine the true cost of the exercise and explore with donors/partners the possibility of charging the cost of some of its specific components (e.g. dedicated staff) – in full or in part – to the project budget as a direct input to project delivery.

(FOR COUNTRY OFFICE COST BANDS REFER TO PAGE 3 OF THIS DOCUMENT)

2008 Universal Price List Country Office Cost Bands



| Country Office | Cost Band | Country Office | Cost Band | Country Office | Cost Band |
|--------------------------|-----------|------------------------|-----------|------------------------|-----------|
| Afghanistan | Mid-Low | Fiji | Mid-High | Nepal | Mid-Low |
| Albania | Mid-Low | Gabon | High | Nicaragua | Mid-Low |
| Algeria * | Low | Gambia | Low | Niger | Low |
| Angola | High | Georgia | Mid-Low | Nigeria | High |
| Argentina | Mid-Low | Ghana | Low | Pakistan | Mid-Low |
| Armenia | Mid-Low | Guatemala | High | Panama | Mid-High |
| Azerbaijan | Mid-Low | Guinea | Low | Papua New Guinea | Low |
| Bahrain | High | Guinea-Bissau | Mid-High | Paraguay | Mid-High |
| Bangladesh | Mid-Low | Guyana | Low | Peru | High |
| Barbados | High | Haiti | High | Philippines | Mid-Low |
| Belarus | Low | Honduras | Mid-High | Poland | High |
| Belize | Mid-Low | India | Mid-High | Republic of Montenegro | Mid-High |
| Benin | Mid-Low | Indonesia | Mid-High | Romania | High |
| Bhutan | Low | Iran (Islamic Rep) | Mid-Low | Russian Federation | High |
| Bolivia | Mid-High | Iraq | Mid-Low | Rwanda | Mid-Low |
| Bosnia and Herzegovina | Mid-Low | Israel/PAPP | Mid-High | Samoa | Low |
| Botswana | Mid-High | Jamaica | Mid-High | Sao Tome and Principe | Low |
| Brazil | High | Jordan | Mid-Low | Saudi Arabia | High |
| Bulgaria | Mid-High | Kazakstan | Mid-High | Senegal | Mid-High |
| Burkina Faso | Mid-Low | Kenya | High | Serbia | Mid-High |
| Burundi | Low | Korea - Republic of | High | Sierra Leone | Low |
| Cambodia | Low | Kosovo | Mid-Low | Slovakia | High |
| Cameroon | Mid-High | Kuwait | High | Somalia | Low |
| Cape Verde | Mid-High | Kyrgyzstan | Low | South Africa | High |
| Central African Republic | Mid-High | Lao PDR | Low | Sri Lanka | Low |
| Chad | Mid-High | Latvia | Mid-Low | Sudan | High |
| Chile | High | Lebanon | High | Swaziland | Mid-High |
| China | Mid-High | Lesotho | Mid-Low | Syrian Arab Republic | Low |
| Colombia | High | Liberia | Low | Tajikistan | Low |
| Comoros | Mid-Low | Libyan Arab Jamahiriya | Low | Tanzania - U Rep of | Mid-High |
| Congo | High | Lithuania | Mid-Low | Thailand | High |
| Congo - Dem Rep | Mid-High | Macedonia | Mid-High | Togo | Mid-High |
| Costa Rica | Mid-High | Madagascar | Low | Trinidad and Tobago | Mid-High |
| Cote D'Ivoire | High | Malawi | Mid-Low | Tunisia | Mid-Low |
| Croatia | Mid-High | Malaysia | Mid-High | Turkey | High |
| Cuba | Low | Maldives | Low | Turkmenistan | Low |
| Cyprus | High | Mali | Mid-Low | Uganda | Mid-Low |
| Djibouti | Mid-Low | Mauritania | Low | Ukraine | Mid-Low |
| Dominican Republic | High | Mauritius | Mid-Low | United Arab Emirates | High |
| East Timor | Low | Mexico | High | Uruguay | High |
| Ecuador | High | Moldova - Rep of | Low | Uzbekistan | Low |
| Egypt | Mid-High | Mongolia | Low | Venezuela | High |
| El Salvador | Mid-High | Morocco | High | Viet Nam | Low |
| Equatorial Guinea | Mid-High | Mozambique | Mid-Low | Yemen | Mid-Low |
| Eritrea | Low | Myanmar | Low | Zambia | High |
| Ethiopia | Low | Namibia | Mid-High | Zimbabwe | Mid-Low |

* May be subject to review.

Annex 2. RISK LOG

| # | Description | Category | Impact & Probability | Countermeasures / Mngt response | Owner | Author | Date Identified | Last Update | Status |
|---|--|-------------|----------------------|---|-----------------|----------|-----------------|--|---|
| 1 | Baseline funding and co-financing commitments are not maintained | Operational | P = 2 | Constant working contacts with donors and the Government to retain the interest to the project | Project Manager | A.Volkov | Jan 2008 | When was the status of the risk last checked | e.g. reducing, increasing, change, dead, no |
| 2 | Executing Partner and the administration of the SNRs are not cooperative and not willing to improve the management effectiveness | Strategic | P = 2 | Involvement of the EA and PA staff in any capacity building activities of the project; Project Steering Committee to express concrete strategic guidance that the project should follow; Conformity of the project activities with the National Biodiversity Strategy and Action Plan and obligations of Uzbekistan under the UN CBD. | UNDP | A.Volkov | Jan 2008 | | |
| 3 | Government is not supportive towards changes in reserves' management approaches promoted by the project | Political | P = 3 | The project is ground testing innovative approaches for expansion provided by the new protected area law at the request of the government. In addition, a series of government oriented events – seminars, workshops; PR | UNDP | A.Volkov | Jan 2008 | | |

| | | | | | | | | | | | | | | | |
|---|--|-----------|-------|--|--|---|-----------------|----------|----------|--|--|--|--|--|--|
| | | | | | | campaign of the project will contribute to improving understanding of the new management practices and governance types | | | | | | | | | |
| 4 | Government is not supportive of the proposed innovations and respective legislation (secondary legislation) isn't timely adopted | Strategic | P = 3 | | | For the legislation changes to take place in a reasonable period of time, the project will be constantly following up on the proposed innovations and provide any technical support that may possibly be required for timely processing of the documents in the corresponding governmental structures. | UNDP | A.Volkov | Jan 2008 | | | | | | |
| 5 | A misuse of project funds could undermine the achievement of proposed project activities, outcomes and impacts. | Financial | P = 3 | | | (i) This is a TA project with the bulk of resources being spent on harnessing specialist expertise to develop capacity to plan an expanded protected areas and implement new management approaches for expansion. There are no large sub-contracts typical of large investment projects; (ii) UNDP's audit requirements will be | Project Manager | A.Volkov | Jan 2008 | | | | | | |

| | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | carefully observed; and (ii) UNDP-Uzbekistan, has adopted a project execution modality that eliminates the possibility of misuse of funds. | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|

Annex 3. TERMS OF REFERENCE FOR KEY PERSONNEL.

Job Title: National Project Coordinator (NPC)
Duty Station: Tashkent, Uzbekistan
Duration: 4 years

National Project coordinator (NPC) shall execute the responsibilities of the national coordinator under the national executing agency for this UNDP sponsored technical cooperation project. NPC has to be a high-ranking official of the executing agency; his/her position should not be paid from the project budget. His/her major function shall include provision of strategic guidelines on project implementation, ensuring contribution from the Government side and achievement of the set goals and objectives by the project.

Job Description:

- Ensure the project activities' compliance with the national priorities;
- Ensure the all Government inputs committed to the project are available to the project;
- Delegate to Project manager relevant responsibilities for managing the project, on behalf of Project Board;
- Approve annual work plans and reports;
- Represent the project at the meetings of the project agreement parties;
- Provide assistance in coordinating the project activities, which involve other Government agencies.

Selection Criteria:

- Acting as a National coordinator be a high-ranking official representing the Government Executing agency;
- University degree (Diploma) in the relevant sphere and minimum 5 years experience in management positions within the structures of rural economy;
- Experience in project management and administration;
- Leadership skills and ability to motivate staff.

Job Title: Project Manager (PM)
Duty Station: Tashkent, with frequent travel to Uzbekistan's regions
Duration: 1 year with possible extension (with initial 3 months of probation period)

Job Description:

Under the direct supervision of the Head of Environment and Energy Unit and in close cooperation with UNDP GEF Specialist, the Project Manager (PM) undertakes responsibility for timely and efficient realization of necessary activities for achieving project's objective and outcomes in accordance with the approved project document.

More specifically, tasks and responsibilities of the PM will include:

- Lead effective communication and coordination of activities between UNDP, Government, Implementing Agency and other stakeholders for production of required outputs;

- Manage and ensure smooth and timely progress of the project implementation, including monitoring and assessment of results;
- Facilitate the selection and recruitment of technical and administrative personnel;
- Coordinate the project components' daily work activities, ensuring continued communication and transfer of information between the project participants, including coordination of work of international and national experts;
- Drafting, updating and regular reviewing of the project Workplan and budget;
- Introduce amendments into the current plan in consultation with the Head of Unit;
- Ensure financial and administrative management of project activities in cooperation with UNDP Business Center's Guidelines;
- Timely preparation and submission of the Annual Project Report (APR) and any other required progress reports in compliance with existing requirements;
- Report to National Project Coordinator and UNDP Head of Environment & Energy Unit on a regular basis to keep them updated of the progress and problems/risks;
- Organize workshops, seminars and round tables to introduce project outputs to all stakeholders involved;
- Render support to resource mobilization efforts;
- Render support to related UNDP thematic activities such as publications, sharing of knowledge and group discussions;
- Perform other tasks as might be required and aimed at the successful implementation of the project.

Required Qualifications and Experience:

- Advanced University Degree in one of the following areas: Environmental Policy, Natural Resources Management, Economics, Finance and Management;
- Working experience with government structures or other international organizations at management level;
- Experience with managing financial and human resources in the context of project or program;
- Knowledge of the system of Environment Protection of Uzbekistan and international Environmental Conventions; knowledge of UNDP/GEF procedures is an advantage;
- Result-oriented management, team building and leadership skills;
- Determination, independence, analytical skills, ability to work with tight deadlines;
- Excellent communication skills, knowledge of resource mobilization techniques and cross-cultural communication skills;
- Ability to use information technologies as a tool and source of information;
- Fluency in written and spoken Russian. Knowledge of English and Uzbek languages is an asset.

Job Title: Administrative and Finance Assistant
 Duty Station: Tashkent, Uzbekistan
 Duration: 1 year with possible extension (with initial 3 months of probation period)

Under the direct supervision of the Project Manager, Administrative and Finance Assistant will undertake a variety of administrative and financial tasks and fulfil the following tasks and responsibilities:

Job Description:

- Prepare all financial, logistical and administrative documents related to the project implementation in accordance with the UNDP rules and procedures for nationally executed projects (RDPs and RPAs together with relevant supporting documentation) and ensure their timely submission to UNDP CO for further processing;

- Maintain programme's expenditure & commitments shadow budget through regular reconciliation with UNDP CO's financial records and advise the Project Manager on project budget and funds availability;
- Prepare proposals for budget revisions and progress reports on quarterly project's work plans;
- Draft project reports in English and Russian;
- Perform Cash Custodian's duties being primarily responsible for project' cash disbursements and payrolls;
- Arrange tendering, shipment and receipt of the project supplies;
- Maintain and update the inventory of the project's non-expendable equipment;
- Perform tasks related to logistics and administrative issues of organizing seminars and workshops, including rent of conference hall, arranging coffee breaks, procurement of stationary, travel of participants etc;
- Compile the required documents for RAP review and short term recruitments and ensure timely submission;
- Ensure leave monitoring of the project staff, check the accuracy and proper completion of Monthly Leave Reports;
- Follow up on vacancy announcements for different positions and register them with UNDP Personnel Unit;
- Perform day-to-day translation of project related documents from English to Russian and vice versa;
- Brief international experts/consultants on general administrative matters relating to visas, provide advice and ensure administrative support as required and provide oral translations for them during missions, meetings, etc.
- Draft correspondence and reports in accordance with the standard procedures;
- Perform other duties related to administrative and financial issues of the project as may be required.

Required qualifications and experience:

- University Degree in Business Administration, International Economics, Finance and Business;
- Minimum 3 years practical experience in administration and finance (experience with UNDP projects is an asset);
- Strong communication and writing skills in both English and Russian, client-orientation, ability to work in a team;
- Initiative, analytical judgement, ability to work under pressure, ethics and honesty;
- Ability to use information and communication technology as a tool and resource;
- Fluency in English, Uzbek and Russian.