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**Conservation and Sustainable Use of Biodiversity in the Kazakhstani Sector of the Altai-Sayan  
Ecoregion**

Brief description

The goal of the project is to help secure the globally significant biodiversity values of the Kazakhstan. The project's objective is to enhance the sustainability and conservation effectiveness of Kazakhstan's national PA system by demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion. The project will produce five outcomes: the protected area network will be expanded and PA management effectiveness will be enhanced; awareness of and support for biodiversity conservation and PAs will be increased among all stakeholders; the enabling environment for strengthening the national protected area system will be enhanced; community involvement in biodiversity conservation will be increased and opportunities for sustainable alternative livelihoods within PAs and buffer zones will be facilitated; and networking and collaboration among protected areas will be improved, and the best practices and lessons learned will be disseminated and replicated in other locations within the national protected area system.

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## List of Acronyms

ASE	Altai-Sayan Ecoregion
CBD	Convention on Biological Diversity
CCF	Country Cooperation Framework (of UNDP)
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
EA	Executing Agency
EKO	Eastern Kazakhstan Oblast
FHC	Forestry and Hunting Committee (of MA)
GEF	Global Environment Facility
GoK	Government of the Republic of Kazakhstan
IA	Implementing Agency
IC	Incremental Cost
IUCN	World Conservation Union
KASE	Kazakhstani (part of) Altai-Sayan Ecoregion
KKNP	Katon-Karagaiskiy National Park
MAB	Man and the Biosphere Program (of UNESCO)
MEP	Ministry of Environmental Protection
MA	Ministry of Agriculture
MSP	Medium-sized Project
MSR	Markakolskiy State Reserve (zapovednik)
NGO	Non-governmental Organization
NPAS	National Protected Area System
NTFP	Non-timber Forest Product(s)
PA	Protected Area
PD	Project Director
PDF-B	Project Development Facility, Block B (GEF)
PM	Project Manager
PSC	Project Steering Committee
PT	Project Territory
RCC	Regional Coordinating Committee
REC	Regional Environment Centre
RoK	Republic of Kazakhstan
SGP	Small Grants Program (of UNDP/GEF)
UNDP	United Nations Development Program
UNDP-CO	United Nations Development Program Country Office (Almaty)
UNESCO	United Nations Educational, Scientific and Cultural Organization
WWF	World Wide Fund for Nature

## SECTION I: ELABORATION OF THE NARRATIVE

### PART I: Situation Analysis

#### *Context and global significance*

##### Environmental Context

1. The Republic of Kazakhstan is the largest country (271,730,000 ha) in Central Asia. Being located between the Siberian taiga, the Central Asian deserts, the Caspian Sea and the mountains of the Tien-Shan, the country possesses a great variety of landscapes and ecosystems. These include lowland deserts, steppes, montane forests, meadows and wetlands. Lowland plains characterized by steppes, semi-deserts, and deserts comprise 60% of the country's surface area, while arid foothills represent 30% and mountains 10 % of its territory. The diverse terrain and climatic conditions contribute to a great diversity of ecosystems and species. Kazakhstan is considered to be the most important country from a biodiversity perspective among all Central Asian countries. It includes parts of the Mountains of Central Asia Biodiversity Hotspot and the Altai-Sayan Global 200 Ecoregion. The entire Altai-Sayan ecoregion covers an area of approximately 1,000,000 km<sup>2</sup> where Russia, Kazakhstan, China and Mongolia meet. It is characterized by a mix of ecosystems, including montane, tundra, forest, steppe and desert, with the latter two biomes being prevalent in Mongolia and China. The Altai-Sayan ecoregion's dramatically varying landscapes, ranging from snow-covered mountain ranges, to tundra, steppe, coniferous forest and deserts, provide a truly remarkable diversity of habitats and account for associated high levels of biodiversity. The Kazakhstani part of the Altai-Sayan ecoregion (KASE) is largely a mountain-steppe ecosystem located within the southern sub-zone of dry feather-grass steppes and the semi-arid zone, and is comprised of scrub bushes, cryophytic meadows and coniferous forests. Forests occupy a considerable part (1,712,000 hectares) of the Altai-Sayan ecoregion in Eastern Kazakhstan and represent 15% of all national forests. The forests are mainly located in mountainous areas and can be classified into two major groups: dark-coniferous<sup>1</sup> and larch forests<sup>2</sup>. The Kazakhstani sector of the Altai-Sayan ecoregion is home to 394 mammal species, 32 of which are listed in the Kazakhstani Red Book. Three species of birds (*Haliaeetus albicilla* or White-tailed sea-eagle; *Aquila heliaca* or Imperial eagle; and, *Grus monacha* or Hooded crane) and three mammals (*Uncia uncia* or snow leopard, *Ovis ammon* or Altai argali, and *Cuon alpinus* or red wolf) are listed in the IUCN Red Book.

##### National System of Protected Areas

2. The total area of national level PAs in Kazakhstan is 14,268,187 ha, while regional PAs occupy an additional 203,900 ha. The total area of PAs, however, constitutes only 5% of the total area of the country. Currently, there are 107 PAs in the country comprised of: zapovedniks or strict reserves, national parks, nature reserves, special purpose reserves or zakazniks, and natural monuments.

**Table 1. Protected areas of Kazakhstan**

Type of protected area	Number	Area (ha)	Management authority
Zapovedniks (IUCN category I)	10	1,016,687	MA-FHC
National Parks (IUCN category II)	8	1,396,000	MA-FHC
Natural Monuments (IUCN category III)	26	60,000	Varied

<sup>1</sup> Dark-coniferous forests occupy 625,000 hectares, and primarily consist of: silver fir (385,000 hectares), larch (173,000 hectares), cedar (44,000 hectares) and fir (23,000 hectares). Cedar (referred to locally as cedar but classified as Siberian stone pine or *Pinus sibirica*), the symbol of the Altai and a highly valued source of nutrition for people as well as wildlife, can be found in the upper parts of the following mountains: Kholzun, Ivanovsky, Ulbinsky (Rudny Altai), Listvyaga, Sarymsakty, Tarbagatay and Southern Altai. Silver fir is the dominant species in the basin of the Uba and Ulba Rivers and along the banks of the Bukhtarma River. Siberian fir is found in dark-coniferous forests. Silver fir forests in the Altai are alternatively known as dark forest or dark taiga.

<sup>2</sup> Siberian larch forests grow along the slopes in the Southern Altai (2,200 – 3,200 meters above sea level). They occupy nearly 200,000 hectares, with a total standing volume of 36 million m<sup>3</sup>, although this is declining due to large-scale logging and fires.

Nature Reserves (IUCN category II)	2	1,123,000	MA-FHC
Zakazniks (IUCN category IV) – zoological, botanical and multi-purpose)	57	5,580,000	Akimats
Natural Parks (IUCN category IV)	4	5,029,500	OkhotZooProm company
<b>Total</b>	<b>107</b>	<b>14,268,187</b>	

3. The management responsibility for the PAs is dispersed among various agencies and organizations. Most of Kazakhstan's PAs are managed by the Forestry and Hunting Committee of the Ministry of Agriculture. Botanical gardens are managed by the Ministry of Education and Science, and zoos by the Ministry of Culture, Information and Public Consent. Zapovednik zones (except for the North-Caspian zone) are managed by the OkhotZooProm company, a division of the Forestry and Hunting Committee. Burabai National Park, however, is managed by the Administration of the President of Kazakhstan.

#### Protected Areas in the Kazakhstani part of the Altai-Sayan ecoregion

4. Since this project cannot be effectively undertaken at the scale of the entire country, a set of protected areas have been identified within the Kazakhstani part of the Altai-Sayan ecoregion and assessed during the preparation stage as potential candidate sites to demonstrate approaches relevant for the conservation management of the entire network of protected areas. These areas are home to virgin forests that provide the principal remaining habitats for globally rare and endangered flora and fauna and are mainly located along the national border, adjacent to Russian PAs (Katunsky Biosphere Reserve, Belukha National Park, the Ukok Quiet Zone, and Shavlinsky Game Reserve), and the Khanassi Reserve in China. The common border and large territory of the Altai PAs is conducive to protecting natural areas of global significance – the Belukha Mountains in the southwest of the Altai-Sayan ecoregion (across the Russian-Kazakhstani border) and Tabyng Bogdo Oul (Mongolia-Russia). Thus, the selected protected areas also present the greatest opportunities for trans-boundary conservation action on the basis of the existing PAs, as well as for the protection of the most valuable natural sites in the region. In short, they offer the greatest opportunities for success in conserving the globally significant biodiversity found in the Kazakhstani sector of the ecoregion. Annex 1 presents a description of the protected areas in the KASE and their biodiversity values and the table below summarizes them.

**Table 2. Protected areas of the KASE**

PA name	Type	Size (ha)	Main ecosystems	Date of proclamation
Zapadno-Altayskiy	Zapovednik	56,100	Mountain taiga forests	1992
Markokolskiy Zapovednik	Zapovednik	75,040	High-mountain lake and rivers	1976
Katon-Karagayskiy	National Park	643,477	Mountain steppe; taiga, rivers	2001
Rakhmanovskiye Klyuchi	Botanic and geological Zakaznik	109,100 (part of Katon-Karagayskiy NP)	Mountain steppe; taiga, high-mountain lake and rivers	2001
Nizhne-Turgunskiy	Botanic Zakaznik	2,200	Mountain and piedmont ecosystems;	2001
<b>Total</b>		885,917 – 12.5% of the KASE		

5. The project preparation stage established that other areas important for the conservation of globally and nationally significant species are located beyond the borders of existing PAs and presently enjoy no protection. Such areas include spawning rivers, amphibian and reptile habitats, nesting areas of rare birds (Black stork, osprey, Golden eagle, erne, Demoiselle crane, and Eagle owl), as well as winter and summer habitats and migration routes of rare mammals (snow leopard, Altai argali, and stone marten). The above also applies to habitats of rare plant species of scientific and practical importance. In total, 5

such territories totaling 2,241 km<sup>2</sup> have been identified as being in need of PA designation (please see Annex 1B).

### **Socio-Economic Context**

6. Despite its large size, Kazakhstan has a population of only 15 million, the lowest population density (5.5 people/sq. km) in Central Asia. Kazakhstan's economy is based primarily on its natural resources, particularly oil, natural gas, and mineral resources. Kazakhstan is continuing to experience considerable social and economic changes related to the ongoing transition to a market economy. The results of past industrial development, poor agricultural practices, and inadequate road networks add to the difficulties of this transition period.

7. The total population of the KASE, including the main center of Ust-Kamenogorsk, is 671,200, of whom 68% are urban dwellers and 32 % rural. The poverty rate ranges from 12 to 15%, and this region belongs to the regions with medium poverty rates. The major ethnic groups are Russian (66%) and Kazakh (29%), with the remaining 5% consisting of Byelorussians, Ukrainians, Germans, Estonians and Tatars. The average population density is 1.5 persons/km<sup>2</sup>. Forty-nine villages are located adjacent to the selected protected areas, with Katon-Karagay (population 5,655), Terekty (4,862) and Uryl (2,800) being the largest. Twenty-three villages are located in the Katon-Karagayskiy District, with a total population of 16,800 and 17 villages in Kurchumskiy District, with a total population of 9,254. Kazakhs dominate the ethnic make-up, accounting for over 80% of the population. The rural population is distributed extremely unevenly, ranging from a density of less than 1 person per 10 km<sup>2</sup> in the high altitude regions to 10-12 persons/ km<sup>2</sup> in the most populated areas near the industrial centres of Ust-Kamenogorsk and Zyryanovsk.

8. Animal husbandry characterized by the nomadic rotation of pastures has traditionally been the major activity throughout the Altai region. Although the role of agriculture has increased since the early 1950s, it is still not significant and pastures still occupy the majority of land. The tremendous level of social and economic change experienced in recent years has strained traditional lifestyles and has contributed to environmental degradation. Concurrently, the pressing social and economic difficulties have led to a significant decrease in funding made available for nature conservation.

9. Economic development in the Altai-Sayan region has been inclined towards major industrial development schemes, based on mining and metallurgy, and hydro-electric power production. Other important economic sectors include agriculture (livestock production, farming, fishery), and forestry. Additional types of economic activity include cedar nut collection, berry and mushroom gathering, hunting, angling, bee-keeping and maral breeding. These latter economic activities have a long history in the area but currently represent only a small sector of the regional economy. Tourism, however, is a new and developing sector in the region. It is poorly regulated by the state but possesses good prospects in the region. Tourism is considered to be an alternative economic activity that is to be further developed in the future. There are four recreational zones that are very popular with tourists: the North-Eastern (Belukhino), the Eastern (Markakol), the Central (Blue Gulf) and the Western (Ridder). The number of tourists to the region has been steadily rising leading to increasing environmental damage due to its largely uncontrolled nature. The annual number of tourists is expected to increase to up to 200,000 over the next 5 years which makes this a serious concern from the viewpoint of biodiversity conservation unless it is well regulated and managed.

### **Institutional, sectoral and policy context**

#### Legislation

10. Environmental legislation in the Republic of Kazakhstan consists of over 90 laws and this number is increasing. The current relevant legislative base consists of:

- (i) The Constitution, the Civil and Criminal Codes, Law On Taxes and Other Obligatory Payments to the Budget, Law On Budget System, etc;
- (ii) General environmental laws: Forest and Water Code, Land Code;
- (iii) Laws pertaining to environmental protection and natural resource use and management: On Environmental Protection, On Specially Protected Zones, On Animal Protection, On Environmental Expertise;
- (iv) Government resolutions, supplementing or enforcing the above laws.

In addition, there also are numerous Government Programs and strategies, action plans, ministerial resolutions and instructions regulating environmental activity.

11. The Law on Environmental Protection, (1997), is the major framework law for environmental protection in Kazakhstan. The purpose of the law is to prevent pollution and encourage the rational use of the environment and natural resources. The law calls upon local communities and other stakeholders to become involved in the management of natural resources, and institutes the “polluter pays” principle in Kazakhstan’s environmental policy. Numerous regulations and agency documents have been prepared to permit the law’s implementation. Due to the considerable economic and other changes witnessed in Kazakhstan over the past 10 years, however, this law needs updating, as do the implementing regulations.

12. The Forest Code (1993) sets the framework for the protection, restoration, and rational use of forests. Since its initial adoption in 1993, however, the Code did not include regulatory mechanisms and ties to the Civil or Criminal Codes. Thus, its provisions were not considered in economic or resource use policy and ignored in practice. This resulted in serious negative consequences for the forests, including the loss of over 10% of the nation’s forest cover over the past 10 years. The Forest Code was, however, updated by a new draft in 2002 which was approved by the Parliament in July 2003. Specific matters pertaining to the protection of forests and biodiversity are now governed by regulations made under the Code.

13. The Law on Protection, Reproduction and Use of Wildlife (1993) promotes the sustainable use of wildlife, provides specific guidelines on inventorying, establishes the authorities of government agencies, defines the rights of society, and provides for enforcement measures. This legislation has become dated and requires revisions to make it consistent with international conventions and the strengthening of trans-boundary cooperation in the conservation of migratory, rare and endangered species.

14. The Law On Specially Protected Areas (1997) classifies various types of protected areas (PAs) with reference to international standards. There is a total of 13 categories, including strict reserves, national parks, natural monuments and others. The PA system functions under the umbrella of various agencies and various protection regimes, depending on the specific goals, protection levels and other specific qualities, are associated with each category. Nevertheless, to this day, practically no PA category is governed by specific regulations for its use and management. Likewise, there is an absence of a legal basis for the realization of managed economic activities in the PAs, including tourism development. The Law has been revised numerous times but it will need further revision following Parliamentary approval of the new versions of the Forest Code and Water Code, and the new Law on Land in order to ensure consistency with them. Out of the 13 PA categories referred to above, two categories representing the strictest form of protection are found in the Kazakhstani part of the Altai-Sayan ecoregion—two zapovedniks (IUCN category Ia) and one national park (IUCN category II).

15. The new Land Code (as of June 2003) establishes state ownership of lands for defense purposes, protected areas, forests and waters. Of particular relevance is that now existing PA lands cannot be privatized, and the exclusion of lands from existing PAs for other purposes is also forbidden.



Agricultural lands situated in PAs may be allocated to residents of local communities for the continuation of agricultural activities. PAs may also be used for research, education, tourism and recreation and limited economic activities subject to governing legislation and regulations. For purposes of education, PAs may establish museums, expositions, demonstration sites and other vehicles of public education. For supporting tourism and recreation, areas may be designated for camping, paths, viewing points, and other related purposes.

16. The Water Code (as of July 2003) promotes the use of water resources in a manner that optimizes economic use opportunities for the betterment of conditions for the population while safeguarding the environment. The Code deals with trans-boundary waters, waters of particular significance, and waters of PAs. With regard to the protection and use of PA waters, it refers to the Law on Protected Areas, which, given its own deficiencies and lack of clarity, does not help resolve many current issues and conflicts in PA waters.

#### Institutional Context

17. Until very recently, the system for managing natural resources and biodiversity has been undergoing reforms and restructuring every 2-3 years. Before December 1999, the Ministry of Agriculture (MoA) was responsible for the management of biological resources and PAs. During 1999-2002, these functions were transferred to the Ministry for Environmental Protection (MEP). Following reorganization in 2002, the Ministry for Environmental Protection delegated a substantial part of its authority to the Ministry of Agriculture (MoA), including its Forestry and Hunting Committee (FHC) and Fisheries Committee (FC). Following this latest reform, the management system has acquired the structure depicted in Figure 1. While the administrative system has stabilized, the actual management framework under which PAs operate nevertheless remains quite ineffective for various reasons that are discussed later.

18. The MoA regulates biodiversity through the FCH, including the establishment and management of PAs. The following agencies report to the FCH: (i) Oblast Forestry and Hunting Departments. They regulate and control forest and wildlife utilization and issue permits; (ii) most PAs (reserves, national parks, reserved areas and game reserves); and (iii) State Fishery Inspectorates.

19. Local or municipal level forest and resource protection agencies have been set up under the direction of Oblast Akimats (Administrations). These agencies are responsible for forest production, restoration and fire prevention measures, as well as the organization of hunting.

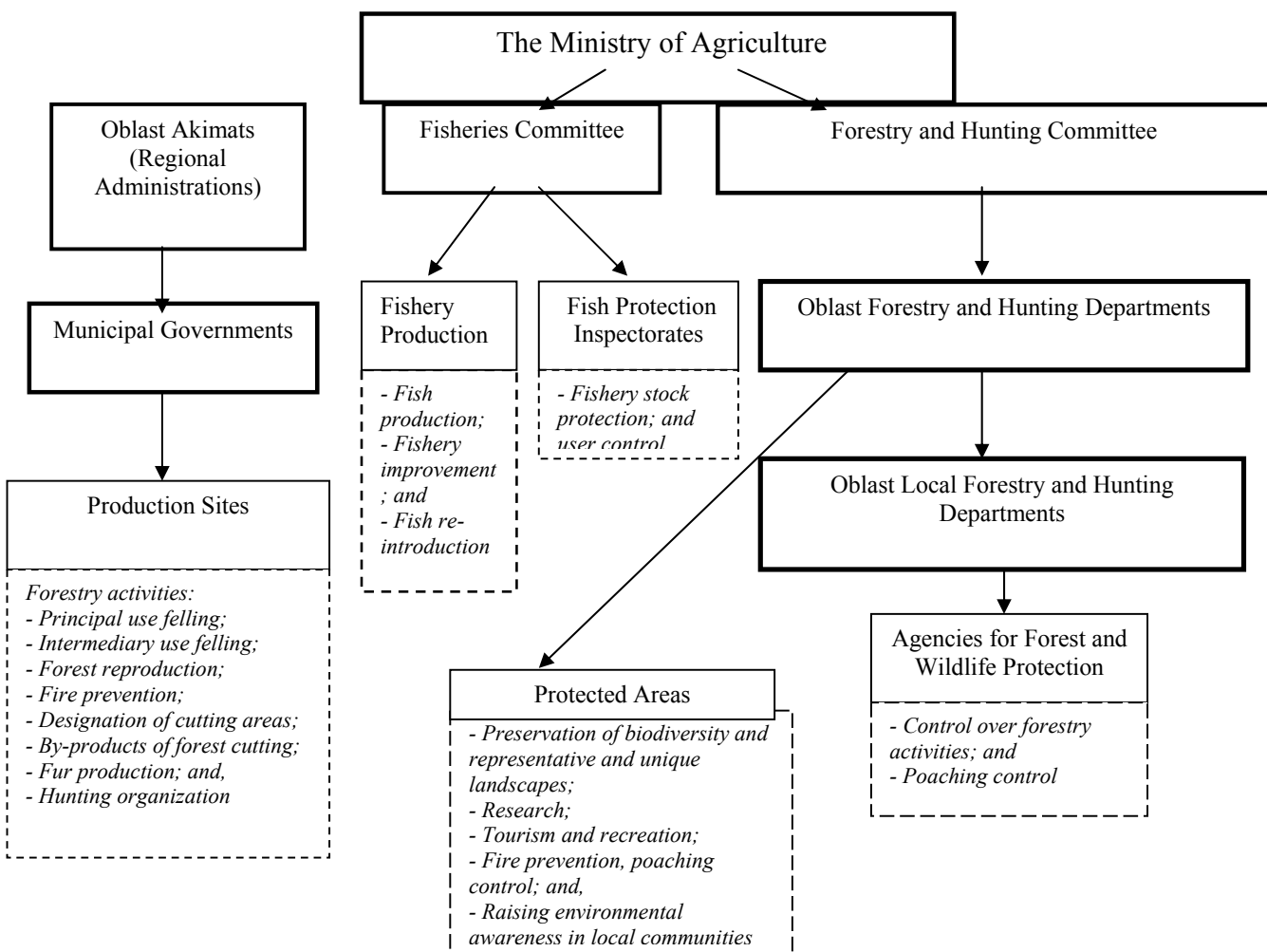
20. The above agencies have the mandate to monitor and enforce environmental standards applicable to flora and fauna, as well as those that apply in the PAs. The national CITES Committee operates under the Ministry of Environmental Protection, controlling the export and import of listed species, their parts and derivatives. The Institute of Zoology under the Ministry of Education and Science is the scientific body of the CITES Committee. The recent reorganization resulted in the break-up of a unified resource management system with the delegation of functions to three state agencies that have diversified local networks. The functions of economic development and state conservation control have been merged, resulting in the environmental control and protection bodies reporting to an economic production oriented ministry – the MoA. As a result, the efficiency of environmental protection activities (fire prevention, poaching control, forest restoration, fish and animal protection) has declined significantly.

21. Collaboration between the agencies reporting to Akimats and sub-structures of the CFH and the MEP is not made easier by the lack of a coordinated biodiversity conservation policy, and the general absence of personnel trained in biodiversity conservation.

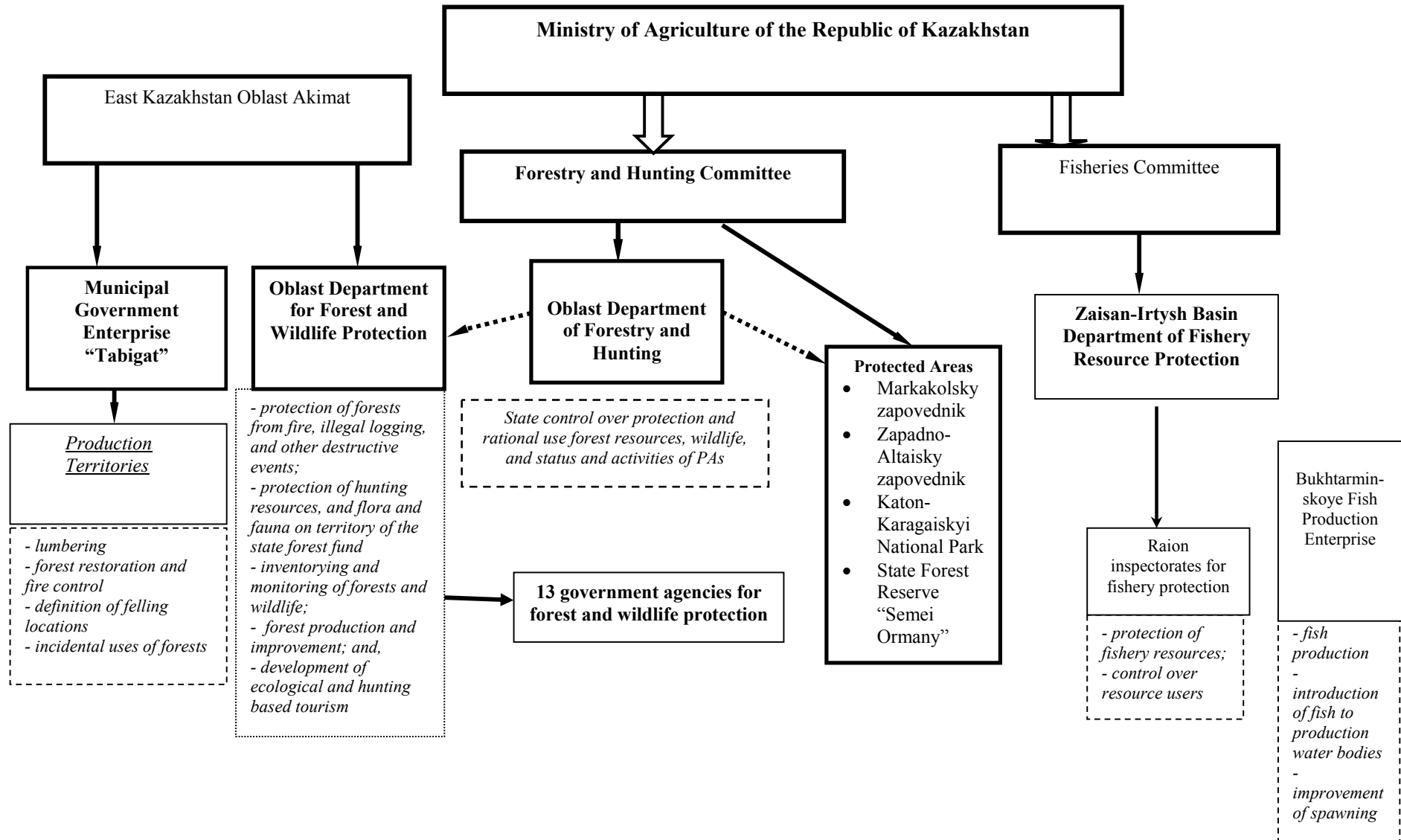
#### Non-governmental organizations

22. Currently, 29 NGOs with an interest in environmental and social issues are registered in the KASE. NGOs are working on numerous issues since the region has experienced many negative effects of past and ongoing pollution and inappropriate use of natural resources. Spheres of NGO activity include: the protection of trans-boundary rivers, forest conservation, the reduction of industrial effluents, the establishment of protected areas, biodiversity conservation, and the raising of environmental awareness. NGOs also combine efforts to help resolve important problems. Currently, environmental NGOs are particularly concerned with the conservation of montane forests through the establishment of new PAs, the creation of a public nature conservation inspectorate, the independent appraisal of the populations of rare species, environmental education, and improved management of the increasing numbers of tourists to the region. A number of NGOs can draw upon a significant intellectual and technical base, which permits them to undertake a range of initiatives in support of the creation of new PAs, organizing summer camps for youth, and environmental festivals. It is noteworthy that the work of NGOs in dealing with environmental issues is supported by representatives of the private sector, large land users, entrepreneurs and local people. The work of the NGOs is also widely publicized by the mass media. The Oblast and Raion Administrations of the EKO consistently take the NGOs' positions into account in their decision-making.

**Figure 1 The State Natural Resources Management System of the RoK**



**Figure 2 Management of Biodiversity and Protected Areas in the East Kazakhstan Oblast (2003)**



### **Threats, root causes and barriers analysis**

23. The Kazakhstani protected area system is confronted by a number of barriers which undermine the effectiveness of biodiversity conservation efforts in the PAs, and thus its own sustainability, and detract from the attainment of the long-term national environmental, social and economic benefits that would accrue from an effectively established and managed national PA system. These are discussed in greater detail under the Root Causes section. While they are presented in the context of the KASE, they are equally applicable to all PAs in the national system.

24. The principal immediate threats to the protected areas in KASE include:

**(i) The loss, fragmentation and degradation of valuable habitats, especially in montane forests,** as a result of fires, unsound forestry operations and illegal logging, unorganized and uncontrolled tourism and recreation, weakly controlled construction of infrastructure in sensitive and important habitats, and waste, littering and other forms of pollution.

25. Fires: Fires usually cover large areas due to the considerable time lag between a fire's start and its discovery, and also difficulties in accessing fires. Fire frequency has been increasing due to the combination of more people going into forests for either recreation, the collection of NTFPs, the illegal felling of trees, as well as general carelessness with fire. The most widespread fires in the Eastern Kazakhstan Oblast (EKO) occurred in 1997 when 42,000 hectares of montane forest burned. Between 1999 and 2003, it is estimated that 700,000 cubic metres of wood were burned on 60,000 hectares. Forestry legislation also permits the 'cutting down of all trees in forest areas affected by fire for sanitary purposes'. The created opportunity to obtain a permit to completely log burned areas has led to arson becoming a widespread economic phenomenon. Private enterprises have sprung up to clear burned areas and export the timber outside of the EKO. Fires that spread to forests from steppes and meadows cause great damage. Local people who try to improve pastures by burning old grass usually start such fires. Forest fires resulting from summer lightning strikes are infrequent and less damaging than human caused fires since what fire-fighting units exist are usually kept mobilized over this season. The vast majority of fires is of human origin and occurs in the spring and summer.

26. Destructive forestry operations and illegal logging: During the Soviet period, Central Asia satisfied its demand for wood supplies through timber exported from Russia. Kazakhstan partly satisfied its needs through the use of its own forest resources and lumbering was quite intensive, often resulting in severe landscape degradation. Following the disruption of former economic ties, and given that customs duties on imported wood are quite high, more pressure has been directed at the Altai forests. As a result, during the last 12 years, the forested area of East Kazakhstan Oblast has been reduced by more than 100,000 hectares, mainly, at the expense of the most valuable tree species – pine, silver fir, fir and larch. Over the last five years, major logging areas were handed over to small private timber enterprises that exhibit severe violations of forestry legislation in their operations. Setting quick profits as a priority (at the same time lacking financing and production resources), these companies cut coniferous trees in easily accessible sites. Logging is not accompanied by the cleanup and reforestation of sites or the protection of young trees. In the past 12 years there has not been any comprehensive assessment of the condition of the forests, no monitoring of forest ecosystems, and no spraying for insects and diseases. Information on forests is very dated and yet still serves as the basis for the allocation of allowable cut volumes.

27. Illegal logging of mountain forests has now acquired an industrial scale. Poverty and lack of stable income sources force the local population to cut down trees for heating and construction needs. In some areas, groups are formed to engage in illegal logging on a semi-commercial basis. In such cases, logging is usually done in easily accessible areas with only the tree trunks being utilized with branches and slash remaining on site thereby increasing the fire hazard. In Katon Karagayskyi National Park (KKNP) 22,000 cubic meters of wood are allowed to be cut under permits but upwards of 80,000 cubic

meters are cut under the pretense of sanitary cutting. Invariably, the best or most valuable trees (larch, fir, cedar) are logged whereas the permits are for cutting less valuable species. This underlines a common problem that pertains equally to logging, fisheries, hunting and NTFPs. Quotas and limits are not based upon good information, and secondarily there is no control over the actual amounts taken. Logging also occurs in the buffer zone north of the Markokolsky Zapovednik. Much of the logging is accompanied by great associated disturbance of landscapes and ecosystems.

28. Unorganized and uncontrolled tourism and recreation: The region is becoming an increasingly popular destination for people seeking a variety of active outdoor recreational activities. The existing tourism infrastructure is underdeveloped in the region. The existing tourist camps and complexes, and tourist routes are not well equipped. They were set up in Soviet times with no regard for environmental value maintenance and continue to cause substantive damage to the environment. Nevertheless, ever-increasing numbers of visitors come to the region annually to participate in “adventure” tourism and other forms of outdoor activities such as trekking in the mountains, rafting, biking, horseback riding and camping. The majority of the visitors are nationals of Kazakhstan and Russia. Previously established tourism routes have long lost their attractiveness and natural values and so visitors often go into undisturbed areas where they establish camps, collect medicinal herbs, destroy vegetation, start fires, fish, and poach wildlife. Recreational use is essentially unmanaged. In the absence of access controls, management programs and essential infrastructure, recreational usage of these areas is leading to increased trampling, littering, aquatic pollution, erosion, and fire frequency. In the absence of any facilities or controls, these activities lead to widespread negative impacts on biodiversity and natural habitats. These threats are particularly prevalent in areas of high biodiversity value, such as the PAs. In addition, up to 15,000 local or national “tourists” come into Katon Karagayskyi National Park and up to 1,000 illegally enter Markokolskyi Zapovednik to collect mushrooms and other NTFPs and to fish, resulting in much trampling and other forms of damage and disturbance, and an elevated fire risk.

29. The Government of Kazakhstan has recently begun promoting tourism development through a national program. The EKO was identified as one of four priority tourism development regions in the country. Tourism operations are essentially in the domain of the private sector. Since the PA administrations are presently prohibited from retaining any generated revenues, they lack incentive to work with tourism operators and visitors. Thus, links between tourists and PAs are underdeveloped. This situation is further exacerbated by the lack of qualified PA staff for working with and educating tourists and, understandably, by the lack of appropriate infrastructure.

30. In addition, the past five years have witnessed increasing and somewhat haphazard construction of tourism bases, campgrounds, recreational and resort facilities, hunting cabins, and private homes in forests and on the shores of lakes and rivers. Commonly, this construction occurs without being subjected to an environmental impact assessment and is poorly regulated. In Markokolsky Zapovednik, for example, much property has been bought in the buffer zone, 200 meters from the reserve’s boundary. This is also a problem in KKNP. This increasing construction, that is generally privately funded, is leading to the degradation of natural habitats, and quite often, habitats that possess important biodiversity values.

(ii) **Loss of significant species**, as a result of poaching and illegal trade in endangered species, the intensive collection and use of NTFPs, and unregulated hunting-based tourism.

31. Poaching, collection and use of NTFPs and illegal trade in endangered species: Illegal activities and unsustainable levels of biodiversity use pose an increasingly significant threat. Due to the combination of poor economic conditions that many people find themselves in, especially in rural areas, and the weak management and control systems in place, local populations have turned in greater numbers to the exploitation of natural resources both for the meeting of subsistence needs and for economic gain. This threat, that is particularly acute near rural settlements, is manifested in increased poaching of wildlife

and elevated collection of firewood, and collection of NTFPs above sustainable levels. For example, it is estimated that approximately 2,500 kilograms of golden root are collected annually. Local people often engage in this activity to fill orders of companies. At present, red caviar is excessively collected during the spring spawning period in Markakol Lake and pike caviar in all the tributaries of the Irtysh River. Fish are smoked or salted during the winter. The fish and caviar are exchanged for flour, sugar, animal feed and other goods when traders come to the region. Due to the low wholesale prices, with one kilogram of red caviar fetching only between 80 cents and three dollars, and one kilogram of frozen fish merely 30 cents, and considering the inflated prices charged for goods brought in, the local population is forced to prepare and sell great amounts of fish and caviar.

32. Hunting and poaching for subsistence or as a source of income is widespread, as is the collection of herbs, roots, berries and nuts for personal use or economic gain. Often the volumes of exported raw materials reach semi-industrial proportions. There is also high Chinese demand for NTFPs and animal derivatives. Interest in herbs and other NTFPs used in pharmaceutical and cosmetics production has also grown. High demand continues to stimulate increased poaching. In PAs, poaching is also done by the “elite” as well as foreigners, and these cases normally go unreported.

33. Illegal trade in rare and endangered species is a very serious regional and trans-boundary issue. It has been estimated that 70 percent of the endangered species trade to Europe from Asia now passes through Central Asia. In spite of this growing threat, the capacity to control and eliminate this illegal activity is extremely weak in the region. This project cannot completely eliminate this threat. The project, however, will help reduce it by strengthening enforcement capacity, educating community members and other stakeholders, and providing economic alternatives to local communities to decrease their participation in this activity as a means of supporting their families.

34. Hunting-based tourism is also quite popular in the area, with maral, bear and wild goat, and particularly large trophy animals, being in high demand with hunters from Kazakhstan, Western Europe and North America. This reduces wildlife numbers directly, changes population structures since trophy animals are sought out, and this leads to genetic impoverishment. Records indicate that licensed hunters annually take approximately 15 maral, 5-8 roe deer, 2-3 bear and 1-2 mountain goats. Of course, local and other poachers take several times more of each, both male and female, and regardless of the season. The situation is particularly critical for snow leopard and Argali sheep. It is estimated that there are 12-15 snow leopard in the project area, and 3-5 are lost to poachers annually. Over the past 20 years, the population of Argali sheep has been reduced from 60 to 20 individuals.

### **Barriers to effective protected area management for biodiversity conservation**

35. The root causes and barriers to effective protected area management for biodiversity conservation were identified by national experts and discussed and agreed upon during preparation stage (both PDF A and PDF B) workshops with all key stakeholders. The barriers presented below are applicable both to the KASE, and the entire national protected area system, varying essentially only in degree. In other words, they mirror barriers and threats to the NPAS and work on them in the context of this project will assist in the removal of barriers at the level of the entire NPAS.

### **Conflicting policy framework for biodiversity conservation**

36. The overall legal framework governing planning, community involvement, collaboration with other agencies, management, and resource uses in the PAs must be reviewed and strengthened, to make it more conducive for directing and supporting more effective biodiversity conservation and management. Two versions of the Law “On Especially Protected Natural Territories/Areas” (2003-2005), which addressed some of the above problems, were prepared already but the last one was not passed since Parliament was dissolved in October 2004 before the law was passed. The new Parliament may pass it

in a year. Its adoption would provide an improved legal base for the project in promoting the strengthening of the national system of PAs. However, it still needs to be harmonized with the new Forest and Water Codes.

37. The Law On Protection, Reproduction and Use of Wildlife is not consistent with all the international conventions to which Kazakhstan is a party and does not provide for mechanisms for transboundary collaboration for the conservation of migratory, rare and endangered species.

38. The existing legal framework also does not allow PAs to engage in entrepreneurial activity to supplement their budgets at a time when budgets are too low to support effective management of the protected areas. Any PA revenues, according to the legislation, are to be returned to the state budget, which results in little incentive for PAs to become involved in additional revenue generating activities, such as tourism. The low wages and the perceived low social standing of staff, also stimulate poaching and result in frequent staff turnover. According to the PA Code, PA administrations do not have to involve local communities in decision-making. Protected area legislation and policy should be revised to effectively address the great need for supplementing PA budgets through innovative financial mechanisms, and to provide for increased stakeholder involvement, including the private sector. Appropriate conditions should be developed to provide for a greater range of opportunities for PAs to develop and implement self-financing mechanisms such as leases, concessions, the acceptance of donations in kind, and others. The project will explore these and other opportunities and will promote their adoption in order to diversify the sources and increase the level of financing for the PAs. The official penalties for poaching are also extremely low and prosecution and conviction through the courts is also problematic and serves as a disincentive for promoting stricter enforcement.

39. Although tourism is a growing sector of the economy, supportive legislation that provides favorable conditions for the organized development of this sector has not been developed. Thus, tourism is occurring unofficially, driven by the private sector, and the economic benefits of tourism largely bypass the government, the PAs and local communities. There is neither an existing national nor regional strategy for developing tourism. There is also a lack of state support for the development of environmentally friendly tourism. The existing tourist camps and centers, as well as tourist routes, are not well equipped. They were set up with no concern for biodiversity conservation and cause substantial damage to the environment.

#### **Inadequate Institutional Capacity**

40. Institutional fragmentation: The past numerous changes and reorganization of the national management system for environmental protection, and natural resources and biodiversity management have resulted in decreased management efficiency and effectiveness. Following the reorganizations of the whole environmental protection structure in 1998 and 2002, the previously unified system was dismembered with different functions being delegated to three state authorities (the MEP, the MoA, and the Akimats). A number of functions have been lost, while a number of elements of environmental protection have become excluded from the state management system. The previously separated functions of control over the use of resources and the development of resources were transferred under the umbrella of a single ministry, the MoA. Currently, there is little cooperation between the bodies reporting to Akimats and sub-structures of the MEP and the MoA, and no coordinated implementation policy exists in the area of biodiversity conservation.

41. The effective resolution of issues pertaining to natural resource protection has become more complex in cases where joint action is required. The lack of coordination and collaboration among responsible agencies resulting from legislative limitations contributes to conservation management inefficiencies. Today, due to the fragmentation of authorities and associated responsibilities, there is no effective PA management system at the national or regional level. Likewise, there is no corresponding

central management authority or management structure. There is no setting of common objectives and weak, if any, coordination among government agencies and other interests, including the private sector.

42. The division and mergers of agencies, committees and ministries, decreased authorities and control functions, falling staff qualifications, reduced budgetary allocations, a declining resource and facility base, and poor management at all levels have led to today's critical situation. The reorganizations were not based on an economic rationale and, as a result, the efficiency of environmental protection activities (fire prevention, poaching control, silviculture, fish and wildlife conservation) has declined significantly.

43. Staffing of PAs is another issue that is of great concern at the national level for several reasons. Staff qualifications are generally either low or inappropriate and there is no system, or standards and programs, for raising the qualifications of PA staff. This is not surprising since most staff are local people who do not have the required backgrounds for their work and obtained their positions through personal connections. How personnel are hired is also an issue. In one case, a local person obtained a job by offering a horse to a PA. This is exacerbated by the absence of norms and standards in the form of specific job descriptions for PA staff, the absence of accountability and performance expectations (no performance reviews vs. standards and expectations), and the absence of incentives for working as should be required. For the most part, today's PA managers are unaware of current and international PA management requirements, standards and methods. The PAs' administrative, research, educational, operational and enforcement capacities are fundamentally inadequate to perform even basic required functions. Poor financing of the PAs leads to staff shortages and a poor technical base for resource protection, operations and overall management. Enforcement capability is also low. Activities in adjacent supposed "buffer zones" are practically uncontrolled. Research and monitoring suffer from the lack of qualified staff and appropriate facilities and equipment. Staff training is virtually absent. Fire detection and control capacities are also very limited.

44. The deployment of staff in PAs is another national level issue. Not all required positions exist in the organizational structures (e.g. for work with communities, education, tourism/recreation management). For example, in Katon Karagayskyi National Park (KKNP), there are 356 employees of whom 90% are supposedly protection staff but the majority of them contribute little, if at all, to the realization of the park's objectives while collecting a salary. Clearly, therefore, this situation must be addressed and staffing must be rationalized according to management requirements.

45. Enforcement capacity: The effectiveness of the PAs is clearly undermined by weak enforcement capacity. Many illegal activities occur in PAs. In KKNP, the incidence of known illegal activities is approximately 40-50 per month, while in Marakokolsky Zapovednik that number is 30-40 per month. Better coordination of the PAs' planning and management with the tourism and recreation sector is also required taking into account the active development of the sector and potential threats to biodiversity from uncontrolled recreational activities. Better coordination and integration of PA objectives and management activities with those of other relevant agencies is also required.

46. Equipment and infrastructure: PA managers and staff of environmental protection agencies possess poor fire-fighting capacity on account of insufficient financing to purchase new, or repair existing equipment. Moreover, the technology for fire detection and fire fighting is obsolete by modern standards. There is also poor coordination of fire-fighting activity between state bodies and local communities. There are no fire-fighting units in villages adjacent to protected areas.

#### **Incomplete Protected Area coverage**

47. The existing national system of PAs covers only 5% of Kazakhstan, which is only half of the country coverage recommended by IUCN. Most of the existing protected areas of inadequate size to conserve all of their biodiversity in the long term for both patterns and processes. This size inadequacy



is further compounded by the fact that there are no corridors between existing protected areas that would help counteract this size limitation, and also improve the coverage of important ecosystem elements that are not currently protected. The historic development of the existing national PA system was principally driven by a concern to conserve specific species and unique features, as opposed to having been planned to protect landscapes and ecosystems and ecological processes, in addition to species. While this is typical of many countries' PA systems, the result is that many areas that are still very important for ecological functions as well as for the conservation of biodiversity overall, have been left out of the existing system. There still is no agreed upon and ecosystem based framework for guiding the growth and expansion of the national PA system.

48. The existing PAs in the KASE, as elsewhere in the country, despite their often large areas, are presently ineffective instruments of biodiversity conservation. Existing PA boundaries do not include important habitats in their periphery. Often, mistakes made in the process of PA planning are among the underlying reasons for PA difficulties. For example, when the basic preparatory work for the establishment of KKNP was performed in 1998, the park was to have an area of 436,000 hectares. However, when the park was created in 2001, its new area came to include 643,000 hectares. The boundaries came to surround 30 settlements, 600 farms and a population of 22,000 people. It must be pointed out that that settlements and agricultural lands do not comprise the park's territory since only land of the state forest fund became a part of the park's territory. Nevertheless, being surrounded by the park, the local population's use of lands and resources became more restricted and has led to many calls for the exclusion from the park of certain lands near densely populated areas in the park's western part.

49. Likewise, additional PAs that are to play a key role in the protection of the region's biodiversity need to be created as many important habitats and locations of globally significant species fall outside of existing PAs. During the preparation stage, national experts identified several such key zones that are important for biodiversity conservation. In addition, a trans-boundary diagnostic analysis identified key areas that are of particular significance for biodiversity conservation at the ecoregional level, and thus conservation management effectiveness in these areas must also be improved.

#### **Information deficiencies**

50. The information on biodiversity within PAs is outdated and too incomplete to provide a sound basis for effective management. This situation is further exacerbated by the absence of comprehensive multi-level monitoring of biodiversity or ecosystem processes. In the absence of monitoring program results, management decisions are not based upon the most relevant and ecosystem based information, and over-exploitation of species and other resources is often the end result. The required expertise to improve the information base is available within governmental agencies, research institutes and the NGO community but it must be focused and engaged in a coordinated and effective manner. The latest forest planning, which also is to include the inventorying of biodiversity, was conducted in the EKO in 1991 without any actual formal fieldwork or assessment of the forests or their biodiversity. Consequently, the information on forests and their biodiversity is dated and unreliable.

#### **Negative cost/benefit calculus imposed by conservation on communities**

51. Experience from around the world has demonstrated that long-term biodiversity conservation cannot be achieved without effectively addressing the social and economic needs of local communities, and in the absence of mechanisms for promoting local communities' direct involvement in conserving biodiversity as a matter of self-interest. Conservation imposes additional burdens on local communities and compensatory schemes are required in terms of alternative livelihoods to provide for the loss of access to the natural resources in the protected areas. This is particularly true in remote regions where the direct links between communities and biodiversity are most pronounced. Thus, there is an urgent need to lessen these pressures on biodiversity through the simultaneous strengthening of resource management capacity, and the provision of support for the development of alternative, sustainable and biodiversity friendly livelihoods for local populations. Alternative livelihood options that can help

support biodiversity conservation and promote sustainable development by reducing poaching and other user pressures on biodiversity are largely unsupported and non-existent. Nevertheless, the local population has a long history of activities such as maral breeding, honey, herb and mushroom collection, and the production of arts and crafts. Stakeholders with an interest in pursuing sustainable resource use options cannot do so in the absence of economic incentives for resource conservation, and supportive financial mechanisms such as a small grants program. Conditions and mechanisms must be created to foster the development of sustainable alternative livelihoods to significantly reduce the currently increasing pressure on biodiversity, and to provide a basis for more sustainable community development into the future. At present, no economic incentives or other stimuli exist for conserving biodiversity. This equally applies to the management authorities, PA staff and the private sector. Unless the conservation of biodiversity provides greater economic gains than its exploitation, then there is little likelihood that people will be motivated to protect it. Conservation of biodiversity must become a matter of personal self-interest.

52. Local communities, however, are not involved in PA management or biodiversity conservation in the project area, as there are no incentives to do so. The remoteness of the PAs and communities creates a *de facto* “autonomous” situation where laws are often violated, conflicts between PA administrations and local populations are common, and the situation is difficult to monitor or resolve. There is a need for some radical revisions to how PAs are planned and how they operate, as well as for an increase in their collaboration with other state agencies and local communities. There is also a need to involve local communities in PA management directly through the offering of employment opportunities and the provision of appropriate training in various management capacities. Likewise, existing legislation must be revised to ensure that local communities must be directly and meaningfully involved in PA decision-making.

53. In spite of a considerable heightening of public environmental consciousness witnessed over the past decade, there is still a general lack of awareness and or understanding of the values of biodiversity conservation and the potential benefits. NGOs, however, are increasingly active in trying to improve this situation. The region possesses many knowledgeable and dedicated individuals in the research community and in NGOs, whose abilities and commitment need to be engaged to further raise awareness of biodiversity issues in general, and of the link between biodiversity conservation and sustainable development. Likewise, the inclusion of biodiversity conservation in schools’ curricula would be of invaluable assistance in this regard, as would the holding of children’s ecological camps. The mass media should also be enlisted in raising awareness levels and concern for biodiversity conservation in the region.

### **Stakeholder analysis**

54. Throughout the project’s development, very close contact was maintained with all stakeholders. All government stakeholders were directly involved, as were NGOs, research and academic institutions, PA administrators, the private sector, and local communities. The National Project Management Committee and the National Task Force on Project Development provided the broad representation of interests required and also the vehicles for consultation. Numerous consultations occurred with all of the above stakeholders, taking the form of visits to villages, discussions with government agency representatives, and several workshops at which all interests participated. Likewise, the mass media was also involved.

55. The development of the project was also done in close cooperation with the counterpart project in the Russian Federation. The Regional Steering Committee that was formed to ensure that the two projects were developed in a collaborative fashion included a representative from this project’s Management Committee. Discussions have also been held with representatives of the complementary project in Mongolia. Likewise, informal consultations and exchanges occurred and continue to occur

between personnel from this project and the other two projects. This will continue during the project's implementation.

**Table 3. Key stakeholder groups and their responsibilities**

<b>Stakeholder Group*</b>	<b>Roles and responsibilities*</b>
Regional Steering Committee	Ensuring effective coordination among counterpart projects in Altai-Sayan ecoregion
National Project Management Committee and the National Task Force on Project Development	Provision of the broad representation of interests required and also the mechanisms for consultation
Government of Kazakhstan	Co-financing and overall responsibility for the implementation of the project through the Ministry of Agriculture - FHC
Akimats	Co-financing and implementation of specific project elements
Local communities	Direct participation in the implementation of specific project elements
NGOs	Co-financing and direct participation in the implementation of specific project elements
Private sector	Co-financing and direct participation in the implementation of specific project elements

\* Please see [Section IV, Part IV](#) – Stakeholder Involvement Plan - for a more detailed description.

### **Stakeholder Involvement Plan**

56. The project will be launched by a well-publicized multi-stakeholder inception workshop. This workshop will provide an opportunity to provide all stakeholders with updated information on the project as well as a basis for further consultation during the project's implementation, and will refine and confirm the work plan. The project's design incorporates several mechanisms to ensure ongoing and effective stakeholder participation in project activities. First, the Project Steering Committee's constituency will ensure broad representation of all key interests throughout the project's implementation. At the site level, specific groups will actively participate in the further definition of project activities as well as in their implementation. Different stakeholder groups will take the lead depending on the activity sites, the nature of activities, and their particular strengths and relative advantages.

57. The Communications Strategy that will be developed for the project will also facilitate stakeholder involvement by keeping all stakeholders informed about the project's objectives, activities and overall progress, as well as informing them of opportunities for involvement in various aspects of the project's implementation. In addition, certain project activities will be specifically designed to directly involve local stakeholders in project implementation. These include a small grants program for undertaking biodiversity supporting community based initiatives, and demonstrations of alternative sustainable and biodiversity supporting livelihoods.

58. The project's activities will involve a wide range of stakeholders. Implementation of the project will continue this process of consultation as activities are implemented. The Project Implementation Unit and its associated experts will have the role of facilitating this process of participation and therefore contributing to increased local ownership of the project and its results. A detailed stakeholder analysis and participation plan will be provided in the submission of the full Project Document.

## Baseline Analysis

59. Given current trends, without this project's interventions, the above mentioned threats will undoubtedly continue to increase in scope and will continue to lead to the increasing loss of the globally significant biodiversity in the Kazakhstani part of the ecoregion. Ultimately, however, the effects of this increasing loss will be seen in the entire Altai-Sayan ecoregion.

60. The baseline course of events, or the extrapolation of the "business as usual" scenario without the project, is summarized below.

61. Many important habitats currently lie outside of existing PA boundaries. Some of these habitats include the ranges of rare and endangered species or are important as migratory corridors or reproduction sites. A national PA system development plan needs to be adopted and integrated with state land and forest management programs. New PAs are required for important known areas of wildlife reproduction and migration, rare and relict flora, coupled with the arrangement of a functional PA network with cores, buffer zones and linking corridors. There is also a need for the creation of trans-boundary protected areas, which would require closer regional cooperation in the planning and management of such areas. Given current economic conditions and other competing priorities, it is unlikely that additional PAs would be created to ensure effective biodiversity conservation in the long term. Without the reservation of lands for new PAs and the expansion of the PA system, options for the design of an effective system of PAs with cores, buffer zones and linking corridors would be foreclosed. This would seriously undermine any conservation efforts.

62. Government funds for supporting essential PA management and operations functions, although somewhat improved over the past two years, would continue to be inadequate. PA management capacity would, therefore, continue to erode relative to rising needs, resulting in an increase in illegal activities such as poaching, illegal tree felling, the setting of fires, and accompanying biodiversity losses. Staff would remain at inadequate numbers and improperly deployed, and would continue to be poorly qualified to deal with increasing pressures and demands. Conflicts with local communities would continue to increase. Management of the PAs would not be strategic and guided by Management Plans. In short, while the PAs would exist on maps, they would not be effective instruments of biodiversity conservation.

63. The long-term conservation of rare and endangered species, especially trans-boundary species such as the snow leopard and Altai argali, will become an even more serious concern. This will be caused by the poor information on them and the absence of trans-boundary management arrangements and coordinated programs aimed at their conservation across the entire ecoregion. Biodiversity and natural resource data would continue to be gathered by researchers and PA staff to the extent that their limited funds and enthusiasm will permit. Existing information will not be updated in many instances and key gaps in biodiversity information would remain. Data would be rather rudimentary, such as presence and absence of species and estimated population numbers, and would not be ecosystem-based. Monitoring programs would not be comprehensive or well implemented and thus the contribution of monitoring results to decision-making would be minimal.

64. General environmental education and awareness raising would be carried out on a limited scale primarily by NGOs and volunteers. Many key decision-makers and resource users would not be sensitized to biodiversity concerns and resource depletion issues. PA staff would not be able to make a serious contribution to awareness raising due to their absent or poor facilities, and the limited capabilities of the protected areas' staff to work in this field. Existing environmental programming and use of mass media would continue to the extent that the small budgets of NGOs working in this field would permit. Biodiversity awareness programs would not be integrated into school curricula.

Biodiversity conservation issues would remain of a relatively low priority. No significant rising of biodiversity conservation awareness would occur in communities.

65. Existing inadequacies in the legislative and policy framework would not receive priority attention. Thus, the development of more effective and efficient PA management, including the provision of a legislated basis for zoning, as well as reforms to promote greater PA self-financing opportunities, would remain unrealized. Poaching of significant biodiversity would continue unabated due to the weaknesses inherent in the legislation itself, as well as its enforcement.

66. Given current trends, the numbers of tourists and recreational users in the KASE would increase upwards to 200,000 people over the summer months over the next 5 years. Under existing poorly regulated conditions, this would continue to lead to increased loss and degradation of important habitats as a result of poor facility siting, litter, fires, tree felling, pollution and other related impacts including the poaching of wildlife.

67. Communities would continue to be uninvolved in PA management and existing conflicts between PAs and local populations will continue to increase. This will in turn inevitably lead to greater pressures on biodiversity and the further over-extension of what resources the PAs have for operations at present. In short, the PAs will be increasingly compromised as tools of biodiversity conservation. Similarly, without increased community involvement, volunteer programs utilizing community members for assisting in monitoring and enforcement will not be realized.

68. There would continue to be no appreciable support for the development of sustainable alternative livelihoods. Without focused and increased support for the development of alternative sustainable livelihood options, the activities of local populations would continue to exact an increasing toll on biodiversity. Poaching and illegal lumbering would keep progressing, and the use of NTFPs would increase well above levels of sustainability. The incidence of forest fires would also increase.

## **PART II: Strategy**

### **Project Rationale and Policy Conformity**

#### OP Conformity

69. The project is consistent with the Operational Program 4 - Mountain Ecosystems, by: promoting the conservation and sustainable use of biodiversity in a vulnerable mountain ecosystem; strengthening and expanding mountain protected areas; promoting trans-border approaches to protected area management across mountain ranges; and supporting the development of socio-economic activities among the local population so as to reconcile biodiversity conservation with human needs.

#### SP Conformity

70. This project is compliant with GEF strategic priority BD - 1, Catalyzing Sustainability of Protected Areas. The project addresses gaps and barriers to the efficient management of Kazakhstan's national protected area system by focusing upon a sub-system of protected areas in the Kazakhstani sector of the trans-boundary Altai-Sayan ecoregion. The PAs in this ecoregion have been chosen as a demonstration site for the proposed GEF intervention due to: (i) the presence of globally significant and threatened biodiversity; (ii) the existence of a mosaic of PA types, including a strict reserve, a national park and a special purpose reserve; (iii) the areal expansion of this sub-set of the national protected area system using innovative mechanisms for Kazakhstan; (iv) an opportunity to develop and demonstrate community involvement mechanisms and sustainable biodiversity use options in the context of PA management for replication elsewhere; and (v) the opportunity to develop and test innovative trans-boundary biodiversity conservation management arrangements. The threats to biodiversity and the barriers to effective conservation management faced by the selected protected areas are representative

of the overall national protected area system. Thus, the project has many practices and lessons to offer for replication in most protected areas in the country. The project will build upon lessons and best practices generated by other GEF BD - 1 interventions in Kazakhstan. These aspects of the project are described in more detail in the corresponding sections below.

#### CBD Conformity

71. The project meets CBD objectives by fulfilling the requirements contained in the Convention's Articles 6 (General Measures for Conservation and Sustainable Use), 7 (Identification and Monitoring), 8 (*In-situ* Conservation), 10 (Sustainable Use of Components of Biological Diversity), 11 (Incentive Measures), 12 (Research and Training), 13 (Education and Awareness), and 17 (Exchange of Information). The project follows the guidance and decisions provided to the financial mechanism by the Conference of the Parties to the CBD.

#### **Project Goal, Objective, Outcomes and Outputs/Activities**

72. The project includes a series of interventions designed to address the most pressing threats to the PAs' biodiversity and enhancing the PAs' effectiveness and sustainability. These activities will also serve as a catalyst for the overall strengthening of the national system of PAs in Kazakhstan through the implementation of necessary reforms pertaining to PA management, thereby enhancing the system's ecological, financial and institutional sustainability. The project will build upon the existing baseline conditions with a GEF-financed set of incremental initiatives in conjunction with leveraged non-GEF co-funded sustainable development baseline expenditures. Co-financing will be provided by the MoA, other government agencies, the Akimats, the private sector, and other donors. The project will realize its expected outcomes over a timeline of 5 years.

73. The goal of the project is to help secure the globally significant biodiversity values of the Kazakhstan.

74. The objective of the project is to enhance the sustainability and conservation effectiveness of Kazakhstan's National PA system through demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion.

The project is expected to produce the following five outcomes:

- The protected area network is expanded and PA management effectiveness is enhanced;
- Awareness of and support for biodiversity conservation and PAs is increased among all stakeholders;
- The enabling environment for strengthening the national protected area system is enhanced;
- Community involvement in biodiversity conservation is increased and opportunities for sustainable alternative livelihoods within the PAs and buffer zones are facilitated;
- Networking and collaboration among protected areas is improved, and the best practices and lessons learned are disseminated and replicated in other locations within the national protected area system.

#### **Project Outcomes, Outputs and Activities**

**Outcome 1: Protected area network is expanded and PA management effectiveness is enhanced.**  
(Total: US\$ 9,219,700; GEF: US\$ 959,700; Co-financing: US\$ 8,260,000)

**Output 1.1 - New protected areas are established** and boundaries of existing ones are adjusted to improve their long-term conservation effectiveness. The trans-boundary diagnostic analysis conducted during the preparation stage identified key trans-boundary areas that are of particular significance for

biodiversity conservation at the ecoregional level for which a protective regime will be instituted in collaboration with partners in the Russian Federation. The project will provide for the protection of a number of key territories for the conservation of rare and endangered species (snow leopard, Altai argali) that are currently not protected as well as a revision of boundaries of the existent PAs in KASE to allow for the maintenance of the ecosystem processes. While basic information on these sites exists, it will have to be fine tuned and upgraded. The project will build on the transboundary diagnostic analysis and will conduct a systematic conservation planning exercise at the KASE landscape level to ensure that both patterns and processes are covered in the landscape and that the potential impacts of climate change is taken into account. The project will maintain close contacts with international organizations (WWF, FAO, NABU, BirdLife International, GTZ, IUCN, and International Snow Leopard Trust) that are planning to assist in this work, and will ensure the coordination of activities.

**Output 1.2 – Organizational structures, staffing standards and performance accountability are improved.** Current staffing of the PAs has not been undertaken on the basis of mandated requirements. Thus, certain PA functions, such as community relations and environmental education, are not being performed at the level that they should be, if at all. At present, for example, even though Markokolskyi Zapovednik has a staff of 24, there is no forestry specialist and only one person to deal with environmental education. There is a need to redefine the organizational structures of the selected PAs and to rationalize the deployment of staff on the basis of the new structures and a thorough management needs assessment. This will foster the PAs' capacity to work with communities in a public awareness and public relations function, as well as increase the PAs' capacity to more effectively deal with enforcement issues, resource management, and conduct essential research and monitoring. PA staff qualifications to effectively perform their functions will be upgraded through the provision of mandatory training. Training will focus on the development of higher skills in administration, natural resource management, public relations, environmental education, research, monitoring, surveillance, evidence gathering and legal aspects. At present, there are no formalized job descriptions or prerequisites for being hired for most positions, and also no annual performance reviews. This is characteristic of the entire national PA system. The institution of these changes through the project will provide benefits throughout the national PA system.

**Output 1.3 - Operational capacity of PAs is enhanced.** Most of the protected areas in KASE lack conservation management plans. The capacity of PA agencies will be built to conduct broadly consultative processes for conservation management planning that will include the PA administrations, representatives of other relevant government agencies, Akimats, local communities, NGOs, and the private sector. These management plans will satisfy international standards and the preparatory process will be documented and used for other protected areas in Kazakhstan.

In most of the protected areas in KASE the reserve inspectors do not even possess tents or sleeping bags. Likewise, they lack basic means of communication such as radios and transport. The project will assist in the provision of key technical support to enhance the management effectiveness of the PAs. Fire detection and control capacity in PAs and buffer zones is increased. Fires pose a serious threat to biodiversity within the PAs, as well as in the buffer zones. The fires are essentially of anthropogenic origin, and are often caused by the spread of started grass fires into the PAs. The project will support: (i) the construction of a number of additional fire detection towers in areas that are more prone to fires, usually near communities; (ii) improvement of the local fire detection and control capacity; (iii) establishment and training of community-based rapid response fire brigades.

**Output 1.4 – Biodiversity information in PAs is improved.** Information on the biodiversity in KASE is incomplete or outdated. This prevents the development and implementation of ecosystem-based and effective management programs. Thus, activities under this output will initially be geared at addressing the gaps in key information, focusing on indicator species and rare and threatened species (distribution and numbers), with a particular emphasis on transboundary species. In addition, other important



information required for effective management will also be compiled. The project will coordinate with the teams working on the Russian and Mongolian UNDP/GEF – funded projects to employ a joint methodology. Following the definition of the baseline conditions, the focus of activities will be on the development and implementation of an ecosystem based monitoring program in the PAs. The program will be designed in a manner that will yield key information to managers and other decision-makers. To enable the implementation of the monitoring and continuing biodiversity assessments, the project will support the establishment of permanent basic field monitoring stations and equipment and a series of activities geared towards improving the storage, management, and distribution of biodiversity information to decision-makers and the general public. This will also have benefits for the entire NPAS.

**Outcome 2. Awareness of and support for biodiversity conservation and PAs is increased among all stakeholders**

**(Total: US\$ 794,500; GEF: US\$ 486,000; Co-financing: US\$ 308,500)**

**Output 2.1 - Project Communications Strategy** is developed and implemented. The Communication strategy will include specific content targeted at individual sectors such as forestry, construction and tourism. Since the strategy will also greatly involve the mass media in the region, specific work will also be undertaken with representatives of the media to sensitize them to the project's objectives and to biodiversity conservation in general. The strategy will also incorporate using the PAs as particularly important vehicles for the delivery of messages on biodiversity conservation.

**Output 2.2 – Biodiversity awareness raising program** is developed and implemented Overall, awareness of the main issues related to PAs and biodiversity conservation still remains quite low in the KASE. Thus, the project will promote the raising of awareness of biodiversity and support for its conservation among all stakeholders. Biodiversity awareness raising opportunities will be provided to employees of relevant government departments and agencies, PA staff, environmental inspectors, forestry workers, travel agencies and tour operators, local communities and the construction and transportation sectors. Summer ecological camps for youth will be organized and operated. The project will support the preparation of materials on biodiversity conservation issues in the PAs, as well as the organization and delivery of training on biodiversity conservation and sustainable use of resources to land and resource users and decision-makers. Likewise, the project will help PAs develop and deliver biodiversity awareness programs to local communities and resource users. A program, along with supportive materials, in biodiversity awareness of the PAs will be tailored for school children will also be developed and delivered through schools. The project will also support biodiversity and ecotourism oriented NGOs operating in the KASE area. These NGOs will promote environmental awareness raising and will be able to act as public advocacy groups to improve environmental compliance at the local level. Information materials on the global and national significance of the KASE and its biodiversity will be developed and distributed.

**Output 2.3 –Visitor/community information centers** are established. The centers will be designed in such a manner that they will be multi-function facilities, providing room for awareness raising displays on each PA's biodiversity and conservation issues, as well as basic facilities for PA staff and the conduct of public meetings. These centers will also be a reference source on biodiversity conservation and sustainable resource use for communities. The project will support the acquisition or refurbishing of existing facilities for the centers, as well as computers, communication expenses, office supplies, publications, and salaries of personnel staffing the centers. It is envisaged that the centers will require one full time person and one part time assistant. At the end of the project, the salaries of the centers' staff will be absorbed by municipal budgets.

**Outcome 3. The enabling environment for strengthening the national protected area system is enhanced.**



**(Total: US\$ 206,000; GEF: US\$ 165,000; Co-financing: US\$ 41,000)**

**Output 3.1 – Essential enabling legislative and regulatory reforms are facilitated.** Kazakhstan has been gradually reforming essential elements of its legislative and regulatory base *vis a vis* lands, forests, water, PAs etc. for several years. The Government of Kazakhstan is actively addressing the reform issues and the project strategy is to assist the Government in undertaking the on-going reforms. Even though PA budgetary allocations are clearly insufficient to meet all the operational requirements, legal disincentives exist that prevent PAs from taking advantage of opportunities to supplement their budget through additional sources and activities. Thus, the project will support the review and facilitation of required changes in the relevant legislation and policy to effectively address gaps identified in the project preparation stage, such as the great need for supplementing PA budgets through innovative financial mechanisms, and to provide for increased stakeholder involvement, including the private sector.

**Output 3.2 - Oblast Akimat PA Advisory Council is established.** At present, several agencies are responsible for different elements of biodiversity management within and outside of PAs, and there exists little collaboration among them. This institutional fragmentation inevitably leads to great inefficiencies in planning, management and day-to-day operations. This situation is also not a cost-effective means of operating the PAs. Thus, the project will foster greater inter-agency collaboration in the conservation of biodiversity within the PAs. The absence of a coordinating body for decisions affecting PAs at the Oblast Akimat level, where many significant decisions affecting PAs are made, is a major barrier to the coordinated planning and regulation of land and resource uses at that level. To improve coordination and collaboration among all stakeholders in PA management, the project will support the work required to help establish such an Advisory Council at the project level. This will involve further consultations with the government to formalize the structure and obtain the necessary approvals. The Council would have representatives from all of the responsible government authorities, the Akimat, PA administrations, NGOs, local Community Advisory Councils, researchers, and the private sector. This would be extremely important because of the existing institutional fragmentation in PA management and also the lack of involvement of the private sector. The ultimate aim, however, is to use this body as a model that can provide a basis for the establishment of a permanent central national level PA planning and management coordination authority after the project ends. This would contribute towards the institutional sustainability of the project and the replicability of the project's results throughout the national PA system.

**Output 3.3 - Trans-boundary collaboration agreements** and conservation programs are formulated and implemented. Mechanisms for effective trans-boundary management of biodiversity are presently weak and need further development. The project will support the development of bilateral (Russia and Kazakhstan) agreements on actions for the conservation of rare and endangered species, important border habitat protection, and migratory corridors. Agreements will also address the need for greater collaboration in the planning of land use and the monitoring of impacts and biodiversity in the trans-boundary zones that are of key importance, and the need for improving the exchange of information on biodiversity. During the preparation stage, the three UNDP Country Offices in Russia, Mongolia, and Kazakhstan facilitated establishment of the UNDP/GEF and WWF Regional Steering Committee (RSC) to coordinate the three countries' efforts in preparation and further implementation of the UNDP/GEF and WWF projects in the Ecoregion. Meetings of the RSC were held in Spring 2002 in Russia, Winter 2003 in Kazakhstan, and in Fall 2003 in Mongolia following the approval and launch of the Mongolia Full-Sized GEF Project. The latter RSC meeting also included representatives of the GTZ transboundary project in the Altai Mountains thus providing for closer cooperation between various donors in the ecoregion. WWF has already prepared draft conservation strategies for the snow leopard and Argali sheep. The project will support the strategies' endorsement by responsible authorities in the Altai-Sayan ecoregion, and will promote their implementation by regional authorities, NGOs and other interested parties. The project will also lobby for the imposition of a ban on the export of certain trophy

animals and their derivatives from the KASE, as well as the introduction of a temporary ban on the hunting of rare animals and the collection of rare (Red Book) plants. Parallel discussions with Mongolia will also be initiated.

**Outcome 4. Community involvement in biodiversity conservation is increased and opportunities for sustainable alternative livelihoods within PAs and buffer zones are facilitated**  
(Total: US\$ 7,961,200; GEF: US\$ 315,000; Co-financing: US\$ 7,646,200)

**Output 4.1 - Sustainable alternative livelihood options** are facilitated through demonstration projects at selected sites. Biodiversity conservation cannot be achieved in the long term without resolving the social and economic problems faced by local residents. To make biodiversity conservation efforts effective in the long run, the economic conditions of the local populations will have to be improved and residents should come to adopt biodiversity conservation measures as a matter of self-interest. Everybody understands this, however, the reality is that average income levels remain low and job opportunities are limited in remote areas, while local authorities have no targeted economic or social programs for supporting residents of rural areas. To help alleviate pressures on biodiversity arising from poor economic conditions in villages, the project, using the Small Grants Program, will support the design and implementation of several demonstration projects in alternative sustainable livelihood options. The Kazakhstan UNDP/GEF Small Grants Program that has been operating in Kazakhstan for four years and has already financed various environmental projects and organized training sessions for KASE stakeholders, will be relied upon to support community involvement in biodiversity conservation activities in the KASE. This proposed collaborative arrangement is strongly supported by the GEF/SGP in Kazakhstan. Several options were identified during the preparation stage through community consultations. One option is the establishment of private tree plantations. Trees would be sold to the government and be used in the reforestation of degraded sites. A similar initiative has already proven to be very successful in other parts of the country. Other feasible options include the re-introduction of traditional and biodiversity friendly economic activities such as maral raising and beekeeping, as well as the establishment of medicinal plant plantations. In this regard, workshops will be held to promote the rediscovery of traditional skills and to assist in the building up of capacity to market the products. The project will also provide training for local community members in the essential visitor expectations and service requirements. Rural youth will also become more involved in conservation activities through the development of employment opportunities related to tour guiding, fire protection, rescue teams, forest inspection, as well as the organization of school environmental clubs. The private sector, and specifically tourism firms, have committed themselves to the engagement of the youth in these activities.

**Output 4.2 - Ecology and guide/ranger training camps for children and youth** respectively are organized and operated. A summer ecology camp for youth will be organized and run for three years. The camp will be offered twice a year during the summer months and will offer an experiential educational opportunity for 30 children at a time with appropriate levels of adult instruction and supervision. The project will support the organization of the camp, and will assist in covering the costs of transport, tents, cots and food. In addition, the youth will be trained for future employment as tourism guides and rangers. Certification of guides will be part of the programme. This latter element will be supported by the private sector, specifically the company “Ecosystem” which has already initiated necessary preparatory activities and has provided its commitment for further work in this area.

**Output 4.3 - Local NGOs are supported**. The project will support the development of community based NGOs in the KASE that work in raising public biodiversity awareness, and advocate its conservation and the maintenance of traditional uses of biodiversity. The project’s assistance will cover initial registration costs, transportation requirements to enable the NGOs to perform their work over the large territory, computers and communication expenses. The Regional Environmental Center has already indicated its commitment to co-finance this output.

**Output 4.4 - Local Community Conservation Councils are established.** Community Conservation Councils will be established to engage the direct involvement of local communities in PA planning and management. The Councils will present an opportunity for local interests to be heard and to help forge common objectives and strategies in PA management. This will help eliminate some conflicts between PAs and local populations in the area of resource usage regimes, zoning and other matters that affect local populations residing within the PAs. A representative from each Community Conservation Council will sit on the Oblast Akimat PA Advisory Council.

**Outcome 5. Monitoring and evaluation of project, networking and collaboration among protected areas is improved, and the best practices and lessons learned are disseminated and replicated in other locations within the national protected area system.**

**(Total: US\$ 553000; GEF: US\$ 470,000; Co-financing: US\$ 83,000)**

**Output 5.1 – M&E and adaptive management** applied to project in response to needs and to extract lessons. The project's effectiveness will be monitored and evaluated throughout its course against set performance indicators. Adaptive management will be employed to provide a basis for learning lessons and adjusting the project to maximize its effectiveness.

**Output 5.2 – Lessons learned and best practices are replicated at the national level** using a national PA management training facility. The ultimate objective is to ensure that the project's lessons and best practices will be replicated in other PAs in the country so as to strengthen and sustain the national system of protected areas. To facilitate the dissemination and replication of best practices and lessons learned, the establishment of a national training facility for PA managers and staff will be supported. This will make a significant contribution towards the strengthening of management throughout the entire national PA system. It will also contribute to the dissemination of practices in Mongolia and Russia. Likewise, experiences in Mongolia and Russia will be disseminated regionally through the training facility. The costs of operating the facility after the project will be borne by the government. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and fora. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identifying and analyzing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less frequently than once every 12 months. Lessons from the projects in Mongolia and the Russian Federation will also be taken into account in the training facility's offerings. In addition, opportunities for the delivery of regional training programs will be investigated and included, as part of disseminating the results beyond the immediate project intervention zone."

### ***Project Indicators, Risks and Assumptions***

75. Indicators: Project impact indicators are presented in the Logical Framework of the project.

#### **Outcome 1**

- Total PT protected area coverage - 224,110 ha or 31.2 % increase by year 3
- METT scores for two PAs - annual increase in METT scores for both PAs for duration of project
- Legally defined new boundaries of PAs - new PA boundaries are legally defined by year 3
- Inclusion of identified habitats in PAs - identified key habitats are under PA status by end of year

#### **Outcome 2**

- Awareness levels of biodiversity conservation issues and support for its conservation among surveyed adult stakeholders - by year 3, awareness of biodiversity conservation issues and support

for its conservation increased by 40% above baseline among surveyed stakeholders, and by 70% by year 5

- Awareness of PAs' role, boundaries and regulations among adult community members - awareness of PAs' role, boundaries and regulations confirmed in 65% of adult community members surveyed by year 5
- Incidence of human caused fires in PAs - by year 5, incidence of human-caused fires in PAs reduced by 50% compared to baseline average from previous 5 years

### Outcome 3

- Legislation and enabling regulations - legal obstacles and constraints to effective PA management are considered removed by year 3 through independent evaluation
- Trans-boundary collaboration in management - essential trans-boundary agreements developed by year 1, signed by year 2 and implemented by year 3 (research, anti-poaching, CITES compliance)
- PA budget sources - annual recurrent costs for PAs' management do not require additional donor support from middle of year 5 onwards; PA budgets benefiting from ecotourism by year 5; 100% of staff salaries supported by FHC by year 5

### Outcome 4

- Inclusiveness of decision-making processes for PA management - decisions involve all PA stakeholders by year 2
- Number of programmes and villagers involved in biodiversity supporting activities - opportunities for community involvement rated as satisfactory by year 3 Number of sustainable traditional resource use activities revived - by year 3, 10% more villagers are involved in biodiversity conservation activities over baseline; by year 5, 25%; at least 12 examples of sustainable traditional resource use practices revived by year 4
- Income generated by surveyed participants - by year 5, income of surveyed participants exceeds baseline

### Outcome 5

- The number of cited replicates of approaches demonstrated and lessons learned from the project in other protected areas in Kazakhstan - Management models and approaches from project replicated in 3 other PAs in Kazakhstan by year 4 with specific reference to lessons of this project
- The number of replicates of approaches demonstrated and lessons learned by the project within other national protected area systems - Management models and approaches from project replicated in 2 other countries by year 5

## Risks and Assumptions

76. The risks confronting the Project have been carefully evaluated during Project preparation, and risk mitigation measures have been internalised into the design of the Project. A careful analysis of threats to biodiversity associated. Project interventions have been designed to anticipate changes in the threat profile. The key risks and assumptions have been identified, and are summarised below. Other assumptions behind the design are elaborated in the Logical Framework matrix.

**Table 4. Assumptions, Risks and Mitigation Strategy**

Assumption	Risk level	Explanation	Mitigation strategy
1) Political stability is maintained for the duration of the project and beyond.	Low	While there has been turmoil in some countries of Central Asia, Kazakhstan is politically stable.	None through the project for obvious reasons.
2) Social and economic conditions in the project	Low	The standard of living in Kazakhstan has been gradually	The project cannot influence macro national processes but at

area and country do not worsen.		improving over the past several years and the trend is continuing.  49% increase in nominal wage from 1995-2003 37% increase in GDP per capita from 1995-2003 41% increase in GDP per capita by PPP from 1995-2003 60% increase in GDP from 1994-2003	the project site level, social and economic conditions will be influenced for the better.
3) Stated co-financing commitments are maintained.	Low	Stated co-financing is committed. Moreover, the GoK has stated that it will absorb recurrent costs of PA operations after the project is completed.	The government's commitment to maintain expected level of co-financing will be on record.
4) National, regional and local level support is maintained.	Low	National, regional and local level support for the project is strong and there is no reason to suspect that it will waver.	The direct and participatory involvement of stakeholders from all three levels in the project's design and subsequent implementation will further solidify the support
5) Trans-boundary collaboration in biodiversity conservation is supported by national governments.	Low-Medium	The existence of the Regional Coordination Committee indicates that there is a desire to advance trans-boundary collaboration in biodiversity conservation initiatives in the ecoregion among the respective governments.	Close co-operation with the other complementary projects in the Altai-Sayan ecoregion will be strengthened further through Outcome 3 and the RCC will be supported as well through all the projects.
6) Collaboration among agencies is forthcoming.	Low	There is nothing blocking improvements in inter-agency collaboration that the demonstration of more effective and efficient approaches to PA management to be demonstrated through this project cannot overcome.	One project focus is the strengthening of inter-agency collaboration.
7) Competing priorities do not preclude establishment of new PAs.	Low	The expansion of PAs and the establishment of new PAs is in line with governmental priorities.	The government is planning to expand PA coverage in the project area and this project is supportive of this initiative
8) Government is strongly supportive of anti-poaching measures.	Medium	Taking of a strong stand against poaching is within the realm of possibilities for the government but it may not be as strong as necessary due to a combination of factors that the project will partly be addressing in order to overcome them.	The project will attempt to ensure the strengthening of the anti-poaching commitment through increased trans-boundary linkages and thus responsibilities, and also through legislative reforms and work with the representatives of the judicial system.
9) Stakeholders will be receptive to the awareness raising campaign.	Low-Medium	The majority of stakeholders are open to and desire additional and improved information on biodiversity conservation but not all will be equally receptive due to the heterogeneous array of interests represented.	Close collaboration with all stakeholders is built into the project design and also support for NGOs through the project will further assist in this regard.
10) The media will be	Low	Media have been receptive to and	The established effective working

involved and motivated.		have already participated in the project preparation phase. The interest to continue is strong.	relations with the mass media and their direct involvement in project preparation has established an important base of support that will be further developed.
11) Changes in legislation and new regulations will be endorsed by government.	Low-Medium	Changes are being worked on and the government over the past years has demonstrated its willingness to improve the legislative and regulatory base.	The project will act as a catalyst in furthering required legislative and regulatory reform for PAs, which the government is planning to undertake.
12) Local communities will be supportive of programmes and individuals will be motivated.	Low	Local communities have been strong supporters of the project during its preparatory phase and await participation in the project's implementation. The motivation is there and certainly the entrepreneurial spirit exists to take advantage of opportunities to improve their well being and conserve biodiversity and cultural traditions at the same time.	Local communities have been very closely involved in the project's preparation and so the support is there. Many individuals and organizations are extremely capable of taking advantage of opportunities presented.
13) Effective representation of stakeholders will be attained.	Low	The Community Conservation Council's membership mandates the effective representation of stakeholders.	The work of the CCC will be judged on the basis of appraisals of its effectiveness, including the representation of interests.
14) There will be governmental recognition of benefits flowing from project models with resulting support for national replication elsewhere.	Low	The approaches to improving the sustainability and management effectiveness of PAs that will be demonstrated through the project will be self-evident by the project's completion.	This project provides great assistance to the GoK in furthering its priorities and agenda in the context of managing and expanding its national PA system. Most appropriate lessons and practices will be readily absorbed within the system.

### Expected global, national and local benefits

77. The project will generate global, national and local benefits. Global benefits will include ensured long-term protection of globally significant species and their habitats in the KASE and this in turn will contribute to the conservation of the globally significant biodiversity of the entire larger Altai-Sayan ecoregion. National benefits will include a strengthened regional and ultimately national PA system and PA management capacity. The administration and staff of PAs will benefit from new management skills, improved information on biodiversity, increased effectiveness of the PAs' operations, improved knowledge of biodiversity and resource management issues, and better relationships with local communities. Likewise, land use allocations and resource management will be done in a manner that balances biodiversity conservation with economic development. At the local level, local communities will develop their internal capacities and will have a basis for establishing more sustainable and less destructive patterns of land and resource use. NGOs, state bodies and project partners will benefit through a build up of their capacity to promote biodiversity conservation.

78. The specific beneficiaries of the project will include the following:

- The Hunting and Forestry Committee of the Ministry of Agriculture
- The Akimat of the Eastern Kazakhstan Oblast and Akimats of involved Raions
- The State Territory Administration for Forest and Wildlife Protection

- The State Administrations for Forests and Wildlife Protection under the Akimat
- All PAs in the country through the transfer of lessons and best practices and the overall strengthening of the national system of PAs
- The Administrations of Markakolskyi Zapovednik and Katon-Karagaiskyi National Park
- NGOs (ethnographic, educational, environmental)
- Commercial entities (tourist agencies)
- National environmental organizations (Centre for Wildlife Protection (Russia and Eastern Kazakhstan Oblast), KORYK Association, Forest Campaign, Oblast Society of Hunters and Fishermen, Oblast Tourism Society).

### **Country Ownership: Country Eligibility and Country Drivenness**

#### Country eligibility

79. The Republic of Kazakhstan ratified the Convention of Biological Diversity on September 6, 1994 and is fully eligible to receive technical assistance from UNDP.

#### Country Drivenness:

80. The project is consistent with the Republic of Kazakhstan's national priorities and commitments as stated in its National Environmental Action Plan, as well as its National Biodiversity Strategy and Action Plan and Conception of Environmental Safety for 2004-2015, approved by Presidential Decree on 03 December 2003. The strengthening of the national protected area system that is to be undertaken in this project is also consistent with the national "Concept of Development and Location of Special Protected Natural Territories of the Republic of Kazakhstan Until 2030" (endorsed by the GoK on 10 November 2000). The project is also supportive of the Strategic Plan "Ecology and Natural Resources", which is an element of the long term national "Kazakhstan - 2030" Development Strategy. The project's support for the conservation of rare and endangered species and the strengthening of trans-boundary conservation management is also consistent with and promotes the implementation of the "Agreement on Conservation and Use of Migratory Bird and Mammal Species and Their Habitats" signed by Kazakhstan in 1994, as well as the "Law of the Republic of Kazakhstan on Protection, Reproduction and Utilization of Fauna" dated 21 October 1993. The need for improving forest management practices is also a priority of the Government of Kazakhstan and this is reflected in the new national Forest Code (2003), and also in the national Forest Program (2002).

81. The Project's outputs are directly linked to the Multi-year Funding Framework for 2004-2007, especially its two goals on achieving the MDGs and reducing human poverty, and managing energy and environment for sustainable development. The project falls within the focus area of environmental management of the UNDP Kazakhstan Country Programme for 2005-2009, namely 1) ensuring integration of a comprehensive approach to sustainable development into national development planning, which is linked to poverty, 2) increasing livelihood opportunities for the poor through expanded access to natural resources. These two outcomes of the Country Programme correspond to the UNDAF Outcome 1 stated as reduced (income and human) poverty at national and sub-national levels.

82. This project, when implemented, would address Target 9 of MDG 7 that aims at integrating the principles of sustainable development into country policies and programmes and reversing the loss of environmental resources. In particular, the project will contribute to an increase in the area of protected territories, which is now 5.1% of the country's territory—still insufficient to preserve an ecological biodiversity balance and is below the IUCN recommended rate of 10%.

#### ***Sustainability***

83. Essentially all of the Outcomes and Outputs of the project are designed so as to contribute to the sustainability of the entire NPAS. The sustainability of the NPAS, in turn, implies the sustainability of

the project's results. Among factors that will ensure that the project's benefits will continue beyond the project's timeline, thereby making the project's outcomes sustainable, are the following.

84. The expansion of the existing PAs to make them more effective instruments of biodiversity conservation and the provision of PA status to new areas that are important for biodiversity conservation but are currently not protected, will ensure the ecological sustainability of the project's results from the perspective of conserving globally important species in the project territory. The implementation of trans-boundary management regimes and programs and the adoption of an ecoregional approach to management will also support the ecological sustainability of the project's results.

85. From an institutional perspective, the project promotes capacity building at the systemic, organizational and individual levels among all stakeholders, and facilitates the establishment of partnerships and enhanced collaboration among them. The multi-stakeholder approach utilized in the project's preparation and subsequent implementation, along with the emphasis on the development of strengthened management capacity of all parties to the project, will likewise promote its institutional sustainability. This equally applies to improved trans-boundary cooperation that will be promoted through the project through a range of initiatives that will enhance collaboration across borders, including the drafting of agreements or MoUs. This strengthened capacity, in the form of improved legislation, information, coordinating mechanisms and other aspects of management, improved skills, and heightened awareness and advocacy for biodiversity conservation and PAs will be sustainable by its nature following the project's completion. For example, the Oblast Akimat PA Advisory Council is planned to be used as a model that can provide a basis for the establishment of a permanent central national level PA planning and management coordination authority after the project ends. This will contribute towards the institutional sustainability of the project and the replicability of the project's results throughout the national PA system.

86. Social sustainability will be ensured through the development of strong ties between the PAs and local communities. The provision of economic and other benefits to local populations and the provision of opportunities for direct local involvement in PA operations and planning will also bridge the current gap between the local populations and the PAs. Their relationship will be one that can be characterized as a partnership.

87. Financial sustainability: The government's expressed commitment to provide the funding required for the maintenance of PA staff at the required levels following project completion will greatly contribute to the project's financial sustainability. Significant co-financing to be leveraged by this project, as well as the diversity of sources and their buy-in as partners to the project, will also contribute towards the financial sustainability of the project's results. The private sector is a major partner in the project and will continue to provide support for some of the PAs' operations after the project's completion. The private sector firms providing for tourism and education excursions in the PAs are already engaged and supportive of the PAs. It is entirely in their economic interest to continue to provide economic support for the PAs during the project and beyond. Signed letters of commitment from companies listed in the project co-financing table are on file already. In addition, certain activities to be undertaken through this project will support the project's financial sustainability. For example, the to be undertaken legislative reforms will provide the basis for the broadening of the funding sources for PAs and the ability to retain revenue for PA management purposes. As well, the economic incentives underpinning the sustainable use of resources will contribute to the sustainability of those and subsequent spin off economic activities.

### **Replicability**

88. Specific mechanisms for ensuring the replicability of the project's results have been incorporated into the project's design. This has been done in terms of the development and establishment of



innovative structures and processes that will increase capacity as well as in terms of the design of demonstration activities.

89. Replication may be achieved through either direct replication of practices and methods or the scaling up of experiences. Direct replication, for example, may be driven by personal exposure to training opportunities facilitated through the project or publications. Scaling up refers to the absorption of the project’s lessons, experiences or products into higher order elements of a comprehensive management framework such as relevant national laws, policies and programmes.

90. Direct replication will be facilitated through the following means. The project will incorporate the development and utilization of a Communication Strategy that, in part, will be used to disseminate experiences and knowledge gained in the course of the project’s implementation. The strategy will be designed in a manner that will target specific messages and information to identified principal target groups to ensure that information is of greatest immediate value and specific direct benefit to them. Training in the project’s best practices and lessons learned will be provided to PA administrators and staff at the national level. The national PA management training facility will greatly assist in providing the basis for the dissemination and replication of the project’s results in other locations.

91. Scaling up of experiences will be facilitated through the following means. Reforms in national PA legislation to be promoted through the project will mandate the subsequent replication of selected approaches to the management of national PAs throughout the country. Likewise, educational programs and training courses will be replicated in other locations using materials prepared in the course of the project. Information and experiences will likewise be shared with other partners in the greater Altai-Sayan ecoregion (Russia, Mongolia, China) utilizing the Communications Strategy and publications, and also the Regional Coordinating Committee that brings the partners from the three countries together. This scaling up of experiences and reforms will help strengthen the national PA system.

**Table 5. Replication Plan**

<b>Strategy/Outcomes</b>	<b>Anticipated replication strategy</b>
Outcome 1 - Protected area network is expanded and PA management effectiveness is enhanced.	Procedure and standards for PA management plans will be developed and made available to other PAs in the country. Rationalized new PA management structure that is responsive to expanded PA management needs is adopted in other PAs. Standardized PA biodiversity monitoring requirements and methods and information management programme established for transfer to other PAs. Approaches to management of tourism and recreational impact.
Outcome 2 - Awareness of and support for biodiversity conservation and PAs is increased among all stakeholders.	Compiled awareness raising materials and developed programmes can be readily adopted in other locations.
Outcome 3 - The enabling environment for strengthening the national protected area system is enhanced.	Legislative reforms mandate adoption in other PAs in country. Standardizing staff recruitment procedures, job descriptions and performance appraisal reviews for PA staff developed through project provide standard for national adoption. Innovative PA financing diversification mechanisms developed and tested will be equally replicable in other PAs in country. Trans-boundary PA and biodiversity management agreements and programmes developed and tested in project readily replicated in other trans-boundary PA management contexts in the country. Management Effectiveness Tracking Tool application instituted in all PAs in the country.

<p>Outcome 4 - Community involvement in biodiversity conservation is increased and opportunities for sustainable alternative livelihoods within PAs and buffer zones are facilitated.</p>	<p>Composition, rules and procedures for Community Conservation Council and its interaction with PA administrations developed for transfer to other locations. Examples of how to organize and implement community conservation assistance programmes transferred to other communities through established networks. Successful sustainable livelihood options in buffer zones are documented and information is made available for replication elsewhere.</p>
<p>Outcome 5 - Monitoring and evaluation of project, networking and collaboration among protected areas is improved, and the best practices and lessons learned are disseminated and replicated in other locations within the national protected area system.</p>	<p>National training facility to be established will be responsible for on-going training and dissemination and replication of lessons and experiences through training of staff from other PAs.</p>

### PART III: Management Arrangements

92. In the second UNDP Kazakhstan Country Cooperation Framework (2000-2004), the third program area identified was Environmental Management for Sustainable Development. Initiatives undertaken in this area were intended to help Kazakhstan stabilize its natural resource use, rectify the impacts of past environmental mismanagement, and adhere to international environmental conventions and agreements. National legislation and practices were improved in conjunction with assistance provided in the implementation of the National Environmental Action Plan (NEAP) at the national and local levels. According to the UNDP Kazakhstan Country Cooperation Framework and Country Program Document for 2005-2009, UNDP will support poverty reduction initiatives through the integration of sustainable development principles into national development planning linked to poverty and expanded access of the poor to natural resources and sustainable energy.

93. UNDP is a catalyst, with the Government's participation, in the implementation of priorities identified in the NEAP. With UNDP support, the Government is pursuing the attainment of concrete goals in biodiversity conservation, wetlands protection and agro-biodiversity, energy efficiency and renewable sources of energy, and the Caspian environmental protection program. UNDP will also phase in a larger program to address the pressing problems of environmental security relevant to Kazakhstan and other countries of the sub-region.

94. At the community level, the GEF-supported Small Grants Program is promoting greater NGO participation in the identification, development and implementation of projects in GEF focal areas, including biodiversity. Support for community-based initiatives will continue and complement anti-poverty grassroots activities.

95. Over the past few years, UNDP has helped develop several biodiversity GEF projects in Kazakhstan. These include: the preparation of the National Biodiversity Conservation Strategy and Action Plan (GEF/UNDP); "Integrated Conservation of Priority Globally Significant Migratory Bird Wetland Habitat: A Demonstration in Three Sites" (full size project 2004-2010), and "In-situ Conservation of Kazakhstan's Mountain Agro-biodiversity" (PDF Block B) and full size project (2004-2009). Some of the lessons learned from these projects include: 1) there has been poor inter-sectoral coordination in project implementation; 2) there were no appointed GEF focal points for all conventions; and, 3) there were no operational mechanisms for initiating and utilizing co-financed resources. These issues were addressed through the UNDP project "Strengthening of Environmental Management for Sustainable Development". An inter-sectoral working group was established under the GEF Operational Focal Point. Focal points for all conventions were subsequently appointed within the Ministry of Environmental Protection. Access to information was improved through workshops and the

translation of GEF documentation. Lessons learned from these projects have been incorporated into this project's design and will be incorporated in the project's implementation. For example, the project's outputs include those directed at strengthening inter-sectoral and inter-agency coordination. The experiences and lessons arising from the World Bank/GEF trans-boundary project, "Biodiversity Conservation in Western Tian-Shan" (jointly developed by the WB and TACIS and currently being implemented in Kazakhstan, Uzbekistan and Kyrgyzstan), will also be examined and utilized, as will the experiences and lessons gained from the World Bank/GEF on-going "Drylands Management Project". The latter project's objective is the conservation, rehabilitation and sustainable utilization of natural resources in marginal cereal growing areas in the Shetsky Rayon of Karaganda Oblast in Kazakhstan. The project intends to: (i) develop alternative land uses, rehabilitate ecosystems for conservation of plant and animal bio-diversity; (ii) quantify and monitor carbon sequestration; (iii) build and promote capacity, public awareness and develop a replication strategy so that project activities could be replicated in other similar areas of Kazakhstan as well as Central Asia.

### ***Implementation/execution arrangements***

96. The project will be executed following established UNDP national execution or NEX procedures. The Executing Agency will be the Ministry of Agriculture and the Implementing agency will be the Forestry and Hunting Commission. The Executing Agency will appoint a National Project Director and will establish a Project Implementation Unit. The PIU will consist of the Project Manager, a full time public relations/communications specialist, a financial manager, an accountant/administrative assistant, and the leaders of five working groups corresponding to the five project outcomes. The PIU will likely be located in Ust Kamenogorsk. The national Project Manager will lead and manage the PIU and will be responsible for the working level co-ordination of the project with other on-going UNDP/GEF projects in the Altai-Sayan eco-region, reporting to the UNDP/GEF Program Coordinator in the UNDP-CO (Please see Figure 3 Institutional Arrangements below).

97. The Executing Agency will establish a Project Steering Committee (PSC) to advise and guide project implementation. The Minister of Agriculture or a designate will chair the PSC. The composition of the PSC will be representative of all key stakeholders and will ensure the inclusion of community level interests, as well as the different Ministries relevant to land-use activities and governance in the Project Territory. Potential PSC participants will be derived from the Ministry of Agriculture, the MoA Committee for Forestry and Hunting as well as the Fishery Inspectorates, the Ministry of Environmental Protection, the Ministry of Economy, the East Kazakhstan Oblast, the Raion, the Akimats, NGOs, local enterprises, the private sector, landowners, other community interests, UNDP and UNDP/GEF Regional Center. The Project Steering Committee will monitor the project's implementation, provide guidance and advice, and facilitate communication, cooperation, and coordination among stakeholders and other project partners. At the initial stage of project implementation, the PSC may, if deemed advantageous, wish to meet more frequently to build common understanding and to ensure that the Project is initiated properly.

98. A Working Group will be established for each project outcome. One individual, who will be paid project staff, will head up each Working Group. These individuals will be responsible for the management of all tasks required to effectively deliver the expected outcomes, including supervising sub-contractors, and they will report to the Project Manager. In addition, the existent Regional Coordinating Committee (RCC) will continue to ensure collaboration and effective coordination between this project and the complementary projects in the Russian Federation and Mongolia. The PSC will designate a representative to sit on this regional body and subsequently report back to the PSC. As the Russian project had the inception workshop in July, 2006 it was discussed with the Kazakhstani counterparts that the next meeting of the Regional Coordinating Committee will be in Kazakhstan. During the planned inception workshop for this project, the project coordinators for the Mongolia and Russian projects will be invited to maximize synergies and ensure cross-fertilization between projects

and that the lessons learned in the first year of implementation of the other two projects are shared with the Kazak colleagues. Close links will be maintained with the Regional Coordinating Committee to ensure the maximization of collaboration and integration of the on-going and planned projects in the Altai Sayan ecoregion.

99. Project activities will be contracted out on a competitive basis through tenders. The project will be implemented in close co-ordination and collaboration with all relevant government institutions, local communities and NGOs, as well as with other related relevant projects in the region.

100. The UNDP-CO will also be an active partner in the project's implementation. It will support the project's implementation by maintaining the project budget and project expenditures, contracting project personnel, experts and subcontractors, undertaking procurement, and providing other assistance upon request of the National Executing Agency. The UNDP-CO will also monitor the project's implementation and achievement of the project outcomes and outputs, and will ensure the proper use of UNDP/GEF funds. Financial transactions, reporting and auditing will be carried out in compliance with national regulations and established UNDP rules and procedures for national project execution.

101. In order to accord proper acknowledgement to GEF for providing funding, a GEF logo should appear on all relevant GEF project publications, including among others, project hardware and vehicles purchased with GEF funds. Any citation on publications regarding projects funded by GEF should also accord proper acknowledgment to GEF. The [UNDP logo](#) should be more prominent -- and separated from the [GEF logo](#) if possible, as UN visibility is important for security purposes.

#### **PART IV: Monitoring and Evaluation Plan and Budget**

102. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be provided by the project team and the UNDP Country Office (UNDP-CO) with support from UNDP/GEF. The [Logical Framework Matrix](#) (Section II, Part II) provides *performance* and *impact* indicators for project implementation along with their corresponding *means of verification*. These will form the basis on which the project's Monitoring and Evaluation system will be built. The [Monitoring and Evaluation Plan and Budget](#) is provided in Section IV -Additional Information; Part VIII. The following sections outline the principle components of the Monitoring and Evaluation Plan and indicative cost estimates related to M&E activities. The project's Monitoring and Evaluation Plan will be presented and finalized at the Project's Inception Report following a collective fine-tuning of indicators, means of verification, and the full definition of project staff M&E responsibilities. In addition, the project will use the Monitoring of the Management Effectiveness Tracking Tool (METT) to monitor the progress in management effectiveness. The baseline scores for the METT are provided in Section IV. Additional Information; [Part IX. METT scores](#).

#### ***Monitoring and Reporting***<sup>3</sup>

##### Project Inception Phase

103. A [Project Inception Workshop](#) will be conducted with the full project team, relevant government counterparts, co-financing partners, the UNDP-CO and representation from the UNDP-GEF Regional Coordinating Unit, as well as UNDP-GEF (HQs) as appropriate. A fundamental objective of this Inception Workshop will be to assist the project team to understand and take ownership of the project's goals and objectives, as well as finalize preparation of the project's first annual work

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<sup>3</sup> As per new GEF guidelines, the project will also be using the SP1 Management Effectiveness Tracking Tool (see Section IV Part XII). New or additional GEF monitoring requirements will be accommodated and adhered to once they are officially launched.

plan on the basis of the project's logframe matrix. This will include reviewing the logframe (indicators, means of verification, assumptions), imparting additional detail as needed, and on the basis of this exercise finalize the Annual Work Plan (AWP) with precise and measurable performance indicators, and in a manner consistent with the expected outcomes for the project.

104. Additionally the purpose and objective of the Inception Workshop (IW) will be to: (i) introduce project staff with the UNDP-GEF *expanded team* which will support the project during its implementation, namely the CO and responsible Regional Coordinating Unit staff; (ii) detail the roles, support services and complementary responsibilities of UNDP-CO and RCU staff vis à vis the project team; (iii) provide a detailed overview of UNDP-GEF reporting and monitoring and evaluation (M&E) requirements, with particular emphasis on the Annual Project Implementation Reviews (PIRs) and related documentation, the Annual Project Report (APR), Tripartite Review Meetings, as well as mid-term and final evaluations. Equally, the IW will provide an opportunity to inform the project team on UNDP project related budgetary planning, budget reviews, and mandatory budget rephasings. The IW will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms. The Terms of Reference for project staff and decision-making structures will be discussed again, as needed, in order to clarify for all, each party's responsibilities during the project's implementation phase

#### **Monitoring responsibilities and events**

105. A detailed schedule of project reviews meetings will be developed by the project management, in consultation with project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Tripartite Reviews, Steering Committee Meetings and (ii) project related Monitoring and Evaluation activities.

106. Day to day monitoring of implementation progress will be the responsibility of the Project Manager based on the project's Annual Work Plan and its indicators. The Project Team will inform the UNDP-CO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.

107. The Project Manager will fine-tune the progress and performance/impact indicators of the project in consultation with the full project team at the Inception Workshop with support from UNDP-CO and assisted by the UNDP-GEF Regional Coordinating Unit. Specific targets for the first year implementation progress indicators together with their means of verification will be developed at this Workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. The local implementing agencies will also take part in the Inception Workshop in which a common vision of overall project goals will be established. Targets and indicators for subsequent years would be defined annually as part of the internal evaluation and planning processes undertaken by the project team.

108. Measurement of impact indicators related to global benefits will occur according to the schedules defined in the Inception Workshop. The measurement of these will be undertaken through subcontracts or retainers with relevant institutions or through specific studies that are to form part of the projects activities or periodic sampling.

109. Periodic monitoring of implementation progress will be undertaken by the UNDP-CO through quarterly meetings with the project proponent, or more frequently as deemed necessary. This will allow parties to take stock and to troubleshoot any problems pertaining to the project in a timely fashion to ensure smooth implementation of project activities.

110. Annual Monitoring will occur through the Tripartite Review (TPR). This is the highest policy-level meeting of the parties directly involved in the implementation of a project. The project will be subject to Tripartite Review (TPR) at least once every year. The first such meeting will be held within the first twelve months of the start of full implementation.

111. The Project Manager in coordination with the CO will prepare a UNDP/GEF APR and submit it to UNDP-CO at least two weeks prior to the TPR for review and comments. The APR will be used as one of the basic documents for discussions in the TPR meeting. The Project Manager will present the APR to the TPR, highlighting policy issues and recommendations for the decision of the TPR participants.

112. The terminal tripartite review will be held in the last month of project operations. The Project Manager will be responsible for preparing the Terminal Report and submitting it to UNDP-CO. It shall be prepared in draft at least two months in advance of the TTR in order to allow review, and will serve as the basis for discussions in the TTR. The terminal tripartite review considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of project results, and acts as a vehicle through which lessons learnt can be captured to feed into other projects under implementation of formulation.

#### Project Monitoring Reporting

113. The Project Manager in conjunction with the UNDP-GEF extended team will be responsible for the preparation and submission of the following reports that form part of the monitoring process.

##### *(a) Inception Report (IR)*

114. A Project Inception Report will be prepared immediately following the Inception Workshop. It will include a detailed First Year/ Annual Work Plan divided in quarterly time-frames detailing the activities and progress indicators that will guide implementation during the first year of the project. This Work Plan would include the dates of specific field visits, support missions from the UNDP-CO or the Regional Coordinating Unit (RCU) or consultants, as well as time-frames for meetings of the project's decision making structures. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plan, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame.

115. The Inception Report will include a more detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms of project related partners. In addition, a section will be included on progress to date on project establishment and start-up activities and an update of any changed external conditions that may effect project implementation. When finalized the report will be circulated to project counterparts who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, the UNDP Country Office will review the document.

##### *(b) Annual Project Report (APR)*

116. The UNDP/GEF APR will be prepared on an annual basis prior to the Tripartite Project Review, to reflect progress achieved in meeting the project's Annual Work Plan and assess performance of the project in contributing to intended outcomes through outputs and partnership work. The APR will include the following:

- An analysis of project performance over the reporting period, including outputs produced and, where possible, information on the status of the outcome
- The constraints experienced in the progress towards results and the reasons for these
- The three (at most) major constraints to achievement of results
- AWP and other expenditure reports (ERP generated)
- Lessons learned
- Clear recommendations for future orientation in addressing key problems in lack of progress

##### *(c) Quarterly Progress Reports*

117. Short reports outlining main updates in project progress will be provided quarterly to the local UNDP Country Office and the UNDP-GEF regional office by the project team.

*(d) Project Terminal Report*

118. During the last three months of the project the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities, achievements and outputs of the Project, lessons learnt, objectives met, or not achieved, structures and systems implemented, etc. and will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's activities.

*(e) Technical Reports*

119. As part of the Inception Report, the project team will prepare a draft Reports List, detailing the technical reports that are expected to be prepared on key areas of activity during the course of the Project, and tentative due dates. Where necessary this Reports List will be revised and updated, and included in subsequent APRs. These technical reports will represent the project's substantive contribution to specific areas, and will be used in efforts to disseminate relevant information and best practices at local, national and international levels.

***Independent Evaluation***

120. The project will be subject to at least two independent external evaluations as follows:

Mid-term Evaluation

121. 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

122. 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***

123. GOK 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.

***Learning and Knowledge Sharing***

124. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and forums. In addition, the project will participate, as relevant and appropriate, in UNDP/GEF sponsored networks, organized for Senior Personnel working on projects that share common characteristics. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Identify and analyzing lessons learned is an on-going process, and the need to communicate such lessons as one of the project's central contributions is a requirement to be delivered not less



frequently than once every 12 months. UNDP/GEF shall provide a format and assist the project team in categorizing, documenting and reporting on lessons learned. To this end around 4% of project resources will need to be allocated for these activities.

### Budget and Cost Effectiveness

125. Total project financing amounts to US\$ 18,734,400, excluding preparatory costs. Of this, the GEF will finance US\$ 2,395,700. Total co-financing amounts to US\$ 16,338,700 broken down as follows. A detailed budget/outcome/budget category and year is presented in Section III. Total Budget and Workplan.

**Table 6. Outcome Budget (5 years)**

Outcome	GEF	GoK	Local Gov. (EKO: DoA; EBP; EI)	UNDP	Private sector	NGOs	Total Cofinancing	Total
Expansion of PA network	959,700	8,131,000	0	0	129,000	0	8,260,000	9,219,700
Awareness	486,000	0	0	0	96,500	212,000	308,500	794,500
Enabling Environment	165,000	0	0	0	40,000	1,000	41,000	206,000
Livelihoods	315,000	0	7,482,200	0	115,000	49,000	7,646,200	7,961,200
M&E, replication	470,000	0	0	50,000	33,000	0	83,000	553,000
<b>Totals</b>	<b>2,395,700</b>	<b>8,131,000</b>	<b>7,482,200</b>	<b>50,000</b>	<b>413,500</b>	<b>262,000</b>	<b>16,338,700</b>	<b>18,734,400</b>

**Table 7. Detailed description of estimated co-financing sources**

Co-financing Sources				
Name of Co-financier (source)	Classification	Type	Amount (US\$)	Status*
GoK	EA	Cash	8,131,000	Committed by letter
East Kazakhstan Oblast – Department of Agriculture (DoA)	Government	Cash and in-kind	6,400,000	Committed by letter
East Kazakhstan Oblast – Economy and Budget Planning Department (EBP)	Government	Cash	552,200	Committed by letter
East Kazakhstan Oblast - Department for Entrepreneurship and Industry (EI)	Government	Cash	530,000	Committed by letter
UNDP	IA	In-kind and cash	40,000 – cash 10,000 - in-kind	Committed by letter
Guardians of Altai	NGO	Cash in-kind	12,000 63,000	Committed by letter
Ecology Tourist Centre “TEK”	NGO	Cash and in-kind	187,000	Committed by letter
Eco-Altai	Private sector	Cash in-kind	45,000 160,000	Committed by letter
“Ecobiocentre”	Private sector	Cash and in-kind	57,000	Committed by letter
ZUBR Consulting Center	Private sector	In-kind	151,500	Committed by letter
<b>Sub-Total Co-financing</b>			<b>16,338,700</b>	



## Cost-effectiveness

126. A biodiversity project is considered to be cost-effective if it protects natural assets such as habitats and species, thereby reducing the risk of biodiversity loss (e.g. through the protection of endangered or globally significant species, and the protection of unique habitats or ecoregions). This project does so on all counts – protection of species, habitats and the conservation of a globally significant ecoregion. Since a biodiversity project's effectiveness corresponds to its reduction of risks to biodiversity, the project likewise focuses upon the protection of important habitats, the protection of species richness, and the protection of intra-species genetic diversity. The project is designed so as to achieve the required outcomes and outputs while only incurring necessary incremental expenses and thereby improving its cost-effectiveness. To accomplish this, the project will utilize co-financing, parallel financing, existing national and local capacities, as well as infrastructure as much as possible, and will assist in building them up. The project will also contribute to the on-going government efforts to improve and strengthen the national PA system. Thus, costs to be incurred will be only for those additional actions required to provide key incremental assistance to the government in undertaking reforms in order to markedly improve the sustainability and conservation effectiveness of the national protected area system.

127. During the project preparation several alternatives were considered for the project design. As the project represents one integral element of a tri-national initiative involving complementary biodiversity conservation projects in Mongolia, Russia and Kazakhstan, in 2001, PDF B funds were provided to Russia and Kazakhstan for the development of a single bi-national GEF project that would complement the project in Mongolia. In the course of the PDF B, however, primarily on account of differences in the time of commencement of PDF B activities in Russia and Kazakhstan, it was decided that two national projects should be developed and submitted to the GEF with explicit integrated trans-boundary elements incorporated into each of them. The PDF B process resulted in the development of a full-size project in Russia, which was approved in 2004, and in the detailed analysis of threats and the definition of required initiatives to conserve globally significant biodiversity in the Kazakhstani sector of the Altai-Sayan ecoregion. While it was originally envisaged that a medium-sized GEF project would be developed for the Kazakhstani part of the ecoregion, the assessment conducted during the PDF B, indicated that the complex systemic and institutional capacity barriers to effective biodiversity conservation in Kazakhstan cannot be addressed by a MSP. Moreover, a MSP would not have permitted a realistic strengthening of Kazakhstan's national protected area system. Thus, a request for PDF A funding was subsequently prepared and approved for the development of a full size project to enhance the sustainability and conservation effectiveness of Kazakhstan's National PA system through demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion.

## PART V: Legal Context

128. This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Government of the Republic of Kazakhstan and the United Nations Development Programme, signed by the parties on 4 October 1994. The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government co-operating agency described in that Agreement.

129. The UNDP Resident Representative in Almaty, Kazakhstan is authorized to effect in writing the following types of revisions to this Project Document, provided that he/she has verified the agreement thereto by the UNDP-GEF Unit and is assured that the other signatories to the Project Document have no objection to the proposed changes:

- a) Revision of, or addition to, any of the annexes to the Project Document;

- b) Revisions which do not involve significant changes in the immediate objectives, outputs or activities of the project, but are caused by the rearrangement of the inputs already agreed to or by cost increases due to inflation;
- c) Mandatory annual revisions which re-phase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account agency expenditure flexibility; and
- d) Inclusion of additional annexes and attachments only as set out here in this Project Document

## SECTION II: STRATEGIC RESULTS FRAMEWORK AND GEF INCREMENT

### PART I: Incremental Cost Analysis

#### A. Project Background

130. Kazakhstan's broad development objectives are: 1) to maintain recently achieved positive economic growth; 2) to increase the presence and role of the private sector in the economy; 3) to improve social conditions and the security of livelihoods, and 4) to utilize natural resources sustainably to safeguard the long-term future development of the republic (Kazakhstan Strategy of Development through 2030). In the project area, development goals are principally aimed at improving economic and social conditions in rural areas through private sector development and tourism development on the basis of local mountain landscapes of high aesthetic and recreational value.

131. The Government of Kazakhstan recognized the importance of conserving its rich biological heritage by ratifying the Convention on Biological Diversity in September 1994. The project is consistent with the Republic of Kazakhstan's national priorities and commitments as stated in its National Environmental Action Plan, as well as its National Biodiversity Strategy and Action Plan and Conception of Environmental Safety for 2004-2015, approved by Presidential Decree on 03 December 2003. The strengthening of the national protected area system that is to be undertaken in this project is also consistent with the national "Concept of Development and Location of Special Protected Natural Territories of the Republic of Kazakhstan Until 2030" (endorsed by the GoK on 10 November 2000). The project is also supportive of the Strategic Plan "Ecology and Natural Resources", which is an element of the long term national "Kazakhstan - 2030" Development Strategy. The Project's outcomes are directly linked to the Multi-year Funding Framework for 2004-2007, especially its two goals on achieving the MDGs and reducing human poverty, and managing energy and environment for sustainable development. This project likewise addresses Target 9 of MDG 7 that aims at integrating the principles of sustainable development into country policies and programmes and reversing the loss of environmental resources.

#### B. Incremental Cost Assessment

##### Baseline

132. Numerous activities are currently being undertaken or will be performed by the national government, Akimats, NGOs, ecotourism firms, and other stakeholders over the next several years that help support the realization of the project's objectives, and these will continue even in the absence of any external assistance. The projected expenditures on these efforts, however, will be insufficient to cover the essential requirements for securing the globally significant biodiversity values of the Kazakhstani section of Altai-Sayan. Nevertheless, these activities provide a significant baseline and sources of co-financing that this project will build upon. The essential activities consist of the following:

133. Protected area administration and management: The total projected baseline appropriation for the administration and management of the protected areas in Kazakhstan at the systemic level over the 5-year project timeline is US\$ 10,000,000. Nevertheless, as the current situation indicates, this level of funding is inadequate to provide for the necessary expansion of the PA system and for effective on-going management of the PAs. Deficiencies will remain and will be most evident in the lack of protection for key habitats and globally significant species, the quality and comprehensiveness of information on biodiversity, planning functions, enforcement, monitoring, and working with local

communities and visitors. There would essentially be no investment in key infrastructure such as back-country accommodation for protection staff and visitor facilities. Enforcement would continue to be largely opportunistic and largely ineffective.

134. Conservation of rare and endangered species: Annual government expenditures on the conservation of rare and endangered species in Kazakhstan amount to US\$ 1,061,600. This funding supports efforts to conserve rare plants and birds, improve habitat, and to update the Red Book for Kazakhstan. WWF is working on the improvement of information and the development of conservation strategies for the “flagship species”, the snow leopard and the Argali sheep. The expenditure for this work is US\$ 60,000. Thus, the baseline amounts to US\$ 5,368,000.

135. Forest, land, fisheries, and wildlife management: The government is funding a range of programmes that are supportive of the project’s objectives. These include the provision of limited fire protection services and the establishment of mobile squads for extinguishing fires, strengthening control over fisheries infractions, fish propagation and re-introduction, aerial surveying of lands, land classification, cleaning up of disposed slag and ash wastes, improving monitoring, and wildlife inventorying. The total expenditures on these activities, which are reflective of the current expenditures, over the project’s timeline will be US\$ 2,000,000.

136. Biodiversity awareness and advocacy: The government’s expenditure on biodiversity education and awareness raising activities in Kazakhstan over the 5-year timeline of the project amounts to US\$ 232,200. The NGO community has been increasingly active in raising environmental awareness but its own limited financing (US\$ 120,000) continues to limit the development and delivery of a broad awareness and education campaign. The baseline, therefore, amounts to US\$ 352,200.

137. The enabling environment for strengthening the national protected area system: The government is funding three laws on protection of flora, endangered species and fishery resources, funding estimated to amount to US\$ 120,000. In addition FAP contributed US\$ 120,000 to a law on protected areas.

138. Community based conservation and sustainable alternative livelihoods: At present there are no governmental expenditures for supporting community based conservation activities or supporting the development of sustainable alternative livelihoods. Nevertheless, the Regional Environment Centre (REC), Eurasia Foundation, Tacis and UNEP have been active in supporting community based conservation activities, stimulating the development of alternative biodiversity friendly livelihoods. The total baseline expenditures amounts to US\$ 510,000. In addition, US\$ 300,000 is being contributed by ecotourism firms working in the area by hiring of some local personnel, and the training of local populations and youth in guiding, tourism and environmental education. Thus, the total baseline over the project’s timeline is US\$ 810,000.

139. The above activities are all important in their own way for the conservation of the KASE’s biodiversity. However, under the *baseline* scenario, the conservation of the region’s globally significant biodiversity will not be assured.

#### Global Environmental Objective

140. The goal of this project is to help secure the globally significant biodiversity values of Kazakhstan. The project will do so by enhancing the sustainability and conservation effectiveness of Kazakhstan’s national PA system through the demonstrating of sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion. In doing this, the project will assist in the conservation of globally significant habitats and species in the Kazakhstani sector of the Altai-Sayan ecoregion. These include endemics and migratory and Red Book species that are being increasingly threatened.

#### Alternative

141. The *alternative* scenario incorporates key incremental activities that are designed to generate global benefits. GEF support will be provided to the following:

- protection of key habitats through the establishment of new protected areas (preparatory studies, preparation of necessary supporting documentation, lobbying);
- redefinition of existing boundaries to improve conservation effectiveness and establish linkages among protected areas where possible; preparation of accompanying documentation for legal changes to boundaries;
- preparation of the first Management Plans for MSR and KKNP;
- strengthening of PA operational and enforcement capacity (rationalization of deployment of PA staff, increasing key staff where required, staff training, provision of essential technical support to permit effective operations);
- design of research and monitoring programmes in PAs;
- establishment of two visitor/community information centres (one each in MSR and KKNP);
- preparation of a Communications Strategy, materials, awareness programmes;
- provision of biodiversity awareness training to stakeholders;
- establishment of community information centres;
- organization and holding of ecological youth camps;
- upgrading of information on rare and endangered species and the development of monitoring programmes for trans-boundary species;
- development of trans-boundary management agreements and conservation strategies;
- establishment of Oblast Akimat PA Advisory Council;
- revisions to legislation and regulations to eliminate obstacles to more effective biodiversity conservation, including public involvement, tourism regulation and self-financing opportunities;
- development of inter-agency agreements and programmes;
- development of community level compliance strengthening mechanisms;
- improvement of local fire detection and control capacity;
- design of a community small grants programme;
- development of community based conservation programmes;
- development of community based NGOs to promote biodiversity conservation locally;
- establishment of Community Conservation Councils and
- establishment of national PA staff training facility.

142. The project will implement interventions designed to address the most pressing threats to the PAs' biodiversity and enhancing the PAs' effectiveness and sustainability. These activities will also serve as a catalyst for the overall strengthening of the national system of PAs in Kazakhstan through the implementation of necessary reforms pertaining to PA management, thereby enhancing the system's ecological, financial and institutional sustainability. The project will build upon the existing baseline conditions with a GEF-financed set of incremental initiatives in conjunction with leveraged non-GEF co-funded sustainable development baseline expenditures. Following the project's 5 year timeline, the following outcomes will be generated.

- The protected area network will be expanded and PA management effectiveness will be enhanced;
- Awareness of and support for biodiversity conservation and PAs will be increased among all stakeholders;
- The enabling environment for strengthening the national protected area system will be enhanced;
- Community involvement in biodiversity conservation will be increased and opportunities for sustainable alternative livelihoods within the PAs and buffer zones will be facilitated;

- Networking and collaboration among protected areas will be improved, and the best practices and lessons learned will be disseminated and replicated in other locations within the national protected area system.

#### Systems Boundary

143. Baseline and incremental costs have been assessed temporally, over the planned 5-year life-span of the project and geographically by the defined boundaries of the project territory. Baseline and incremental costs were also defined thematically, as indicated by the above categories of baseline expenditures.

#### Summary of Costs

144. The *total* cost of the project, including co-funding and GEF funds, amounts to US\$ 18,734,400. Of this total, co-funding constitutes nearly 87.2 % or US\$ 16,338,700. GEF financing comprises the remaining 12.8 % of the total, or US\$ 2,395,700. The incremental cost matrix below provides a summary breakdown of baseline costs and co-funded and GEF-funded alternative costs. In addition, US\$ 450,000 will be provided as parallel co-financing through the UNDP/GEF Small Grants Programme. Since this is parallel funding, it is not considered as co-financing.

## Incremental Cost matrix

<b>Benefits and Costs</b>	<b>Baseline</b>	<b>Alternative</b>	<b>Increment</b>
Domestic Benefits	Benefits of PAs (ecological, social, cultural, economic) not optimized fully Insufficient financial and human resources to protect the PAs' biodiversity values PA system remains ineffective, constrained by numerous barriers to management Low appreciation of the need for conservation to achieve sustainable development Conservation objectives and needs of local populations are conflicting leading to continuing losses of biodiversity and unsustainable patterns of resource use	National PA system strengthened through demonstration of new approaches to effective management Improved PA management skills and progressive attainment of management objectives Resource use becomes more sustainable, benefiting local economies. Improved management promotes sustainable resource use practices, mitigating and distributing uncertainty of open access resource. Increased appreciation of biodiversity values and support for their conservation at all levels and among all stakeholders Conservation of habitats and species helps maintain ecosystem integrity Conservation and community development objectives are inter-dependent and mutually reinforcing, and are pursued concurrently	Enhanced institutional capacity and abilities of stakeholders in governmental institutions, local government, communities and NGOs to conserve important habitats and species.
Global Benefits	Global benefits time constrained due to ineffective management and conservation of global values. Conservation objectives compromised through lack of local community involvement and support and loss of globally important species	More sustainable national PA system and more effective PA management helps secure globally significant biodiversity Pressures on globally significant biodiversity from local communities are substantially reduced and local communities actively contribute to biodiversity conservation	Strengthened management capability in the PAs safeguards globally significant biodiversity values Improvement in conservation of important habitats, globally threatened species, and endemic species. Globally important biodiversity values secured. Lessons learned contribute to the increased sustainability and effectiveness of the NPAS in conserving globally important habitats and species
<b>Outcomes</b>	<b>Baseline (US\$ over 5 yr period)</b>	<b>Alternative (US\$)</b>	<b>Increment (US\$)</b>

<p><b>OUTCOME 1:</b> Protected area network is expanded and PA management effectiveness is enhanced.</p>	<p>GoK - PA administration and management at the systemic level: US\$10,000,000 GoK – conservation of rare and endangered species: US\$5,308,000 WWF – conservation of rare and endangered species: US\$ 60,000 GoK – forest, land, fisheries and general wildlife management: US\$ 2,000,000</p> <p><b>Total: US\$ 17,368,000</b></p>	<p><b>Total: US\$ 26,587,700</b></p>	<p><u>Co-financing:</u> GoK - PA administration and management, conservation of rare and endangered species in territory, forest, land, fisheries and general wildlife management: US\$ 8,131,000</p> <p>Private sector: Eco-Altai: US\$ 30,000; Eco-Biocenter: US\$ 5,000 ZUBR: US\$ 94,000 Total Private Sector: US\$ 129,000</p> <p>Co-financing: US\$ 8,260,000 GEF: US\$ 959,700</p> <p><b>Total: US\$ 9,219,700</b></p>
<p><b>OUTCOME 2:</b> Awareness of and concern for biodiversity conservation and PAs is increased among all stakeholders.</p>	<p>GoK- biodiversity awareness and advocacy US\$ 232,200 NGOs – educational programs for school children on biodiversity conservation, materials on biodiversity conservation, information campaigns US\$ 120,000</p> <p><b>Total: US\$ 352,200</b></p>	<p><b>Total: US\$ 1,146,700</b></p>	<p><u>Co-financing:</u> Private sector: Eco-Altai: US\$ 50,000; Eco-Biocenter: US\$ 15,000 ZUBR: US\$ 31,500 Total Private Sector: US\$ 96,500</p> <p>NGOs: Guardians of Altai: US\$ 67,000 TEK: US\$ 145,000 Total NGOs: US\$ 212,000</p> <p>Co-financing: US\$308,500 GEF: US\$ 486,000</p> <p><b>Total: US\$ 794,500</b></p>
<p><b>OUTCOME 3:</b> The enabling environment for strengthening the national protected area system is enhanced.</p>	<p>GoK – 3 laws on protection of flora, endangered species, fishery resources: US\$ 120,000 FAO - a new law on PAs: US\$ 45,000</p>		<p><u>Co-financing:</u> Private sector: Eco-Altai: US\$ 25,000; Eco-Biocenter: US\$ 15,000 Total Private Sector: US\$ 40,000</p> <p>NGOs: Guardians of Altai: US\$ 1,000 Total NGOs: US\$ 1,000</p> <p>Co-financing: US\$ 41,000 GEF: US\$165,000</p>



	<b>Total: US\$ 165,000</b>	<b>Total: US\$ 371,000</b>	<b>Total: US\$206,000</b>
<b>OUTCOME 4:</b> Community involvement in biodiversity conservation is increased and opportunities for sustainable alternative livelihoods in the PAs and buffer zones are facilitated.	Eurasia: US\$ 150,000; UNEP: US\$150,000; TACIS: US\$150,000; REC: US\$60,000 – grant programs to support community based conservation activities and stimulate the development of alternative biodiversity friendly livelihoods Private sector – support for guide/ranger training camps: US\$ 300,000		<u>Co-financing:</u> Local Government East Kazakhstan Oblast: Dep. of Agriculture: US\$ 6,400,000 Dep. of Economy and Budget Planning: US\$552,200 Dep. Of Entrepreneurship and Industry: US\$ 530,000 Total Local Government: US\$ 7,482,200  Private sector: Eco-Altai: US\$ 100,000 Eco-Biocenter: US\$ 15,000 Total Private Sector: US\$ 115,000  NGOs: Guardians of Altai: US\$ 7,000 TEK: US\$ 42,000 Total NGOs: US\$ 49,000  Co-financing: US\$ 7,646,200 GEF: US\$ 315,000
	<b>Total: US\$ 810,000</b>	<b>Total: US\$ 8,771,200</b>	<b>Total: US\$ 7,961,200</b>
<b>OUTCOME 5:</b> M&E of project and networking and collaboration among protected areas is improved, and the best practices and lessons learned are disseminated and replicated in other locations within the national PA system.			<u>Co-financing:</u> UNDP: US\$ 50,000  Private sector: Eco-Biocenter: US\$ 7,000 ZUBR: US\$ 26,000 Total Private Sector: US\$ 33,000  Co-financing: 83,000 GEF: 470,000
	<b>Total: 0</b>	<b>Total: US\$ 553,000</b>	<b>Total: US\$ 553,000</b>
<b>Totals</b>	<b>Baseline cost: 18,695,200</b>	<b>Total Alternative: US\$ 37,429,600</b>	<b>Co-financing: US\$ 16,338,700</b> <b>GEF: US\$ 2,395,700</b> <b>Total: US\$ 18,734,400</b>

## PART II: Logical Framework Analysis

Project Strategy	Objectively verifiable indicators				
Goal	The Goal of the project is to help secure the globally significant biodiversity values of Kazakhstan				
	Indicator	Baseline	Target	Sources of verification	Risks and Assumptions
<b>Objective:</b> To enhance the sustainability and conservation effectiveness of Kazakhstan's national PA system by demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion.	Populations of globally significant species (snow leopard, Altai argali, red wolf Imperial eagle, hooded crane)	Est. 12-15 snow leopard Est. 15-16 Altai argali Est. <10 Red wolf Est. <10 Imperial eagle Est. < 5 Hooded crane	Populations of endangered species not decreased below baseline levels by year 5 and show an increase (over longer term than project)	Population surveys and monitoring results	Political stability maintained Social and economic conditions do not worsen
	Current total area of forest cover in two existing PAs (MSR and KKNP)	Total forest cover year 1	Monitoring in year 5 indicates that there has been no reduction in the total area of forest cover from 2005 baseline	Surveys and GIS analysis	Co-financing commitments are maintained National, regional and local level support is maintained Trans-boundary collaboration in biodiversity conservation is supported by national governments
<b>Outcome 1:</b> The protected area network is expanded and PA management effectiveness is enhanced.	Total PT protected area coverage	718,517 ha. total for the 2 PAs	224,110 ha or 31.2 % increase by year 3	National PA register and PA legal descriptions	National level support provided
	METT scores for two PAs	For MSR – 46 For KKNP - 47	Annual increase in METT scores for both PAs for duration of project	Annual METT application results	Collaboration among agencies is forthcoming Competing priorities do not preclude establishment of new PAs
	Legally defined new boundaries of PAs	Existing PA boundaries	New PA boundaries are legally defined by year 3	PA register and maps	Co-financing commitments maintained
	Inclusion of identified key habitats in PAs	Lands have no PA status	Viable areas of identified key habitats are under PA status by end of year 3	PA register and maps	Government strongly supportive of anti-poaching measures
<b>Outcome 2:</b> Awareness of and support for biodiversity conservation and PAs is increased among all stakeholders.	Awareness levels of biodiversity conservation issues and support for its conservation among surveyed adult stakeholders	Survey results of year 1	By year 3, awareness of biodiversity conservation issues and support for its conservation increased by 40% above baseline among surveyed stakeholders, and by 70% by year 5	Repeat knowledge surveys in years 3 and 5	Stakeholders receptive to awareness raising campaign Communication campaign is effective Media are involved and motivated
	Awareness of PAs' role, boundaries and regulations	Survey results of year 1	Awareness of PAs' role, boundaries and regulations	Repeat surveys of stakeholders in years 3 and 5	

	among adult community members		confirmed in 65% of adult community members surveyed by year 5		
	Incidence of human caused fires in PAs	Average number of human caused fires in PAs 2000 – 2005	By year 5, incidence of human-caused fires in PAs reduced by 50% compared to baseline average from previous 5 years	PA records	
<b>Outcome 3:</b> The enabling environment for strengthening the national protected area system is enhanced.	Legislation and enabling regulations	Current legal constraints to effective PA management (self-financing opportunities, tourism regulation and control, no public involvement)	Legal obstacles and constraints to effective PA management are considered removed by year 3 through independent evaluation	Legal documentation and evaluation	Changes in legislation and new regulations endorsed  Bilateral support for trans-boundary initiatives is forthcoming
	Trans-boundary collaboration in management effort	No existing agreements and programmes	Essential trans-boundary agreements developed by year 1, signed by year 2 and implemented by year 3 (research, anti-poaching, CITES compliance)	Signed agreements Records of joint activities and results	
	Annual recurrent costs for PAs' management do not require additional donor support from middle of year 5 onwards	External donors: 41,000/year  Government: 2,000,000/year	External donors: 0  Government: cover all the recurrent costs	PA budgets	
<b>Outcome 4:</b> Community involvement in biodiversity conservation is increased and opportunities for sustainable alternative livelihoods within the PAs and buffer zones are facilitated.	Inclusiveness of decision-making processes for PA management	Fragmented and uncoordinated	Decisions involve all PA stakeholders by year 2	Records of decisions	Communities are supportive of programmes and individual villagers are motivated
	Number of sustainable traditional resource use activities revived	None at present	By year 3, 10% more villagers are involved in biodiversity conservation activities over baseline; by year 5, 25%  At least 12 examples of sustainable traditional resource use practices revived by year 4	Comparative survey	Local capacity and entrepreneurial spirit exists  Effective representation of stakeholders is attained  Information and incentives are effective
	Income generated by surveyed participants	Baseline survey	By year 5, income of surveyed participants exceeds baseline	Community questionnaires	Mutual understanding and changes in attitudes occur  Local capacity exists to efficiently use SGP facility

<b>Outcome 5:</b> Networking and collaboration among protected areas is improved, and the best practices and lessons learned are disseminated and replicated in other locations within the national protected area system.	The number of cited replicates of approaches demonstrated and lessons learned from the project in other protected areas in Kazakhstan	None	Management models and approaches from project replicated in 3 other PAs in Kazakhstan by year 4 with specific reference to lessons of this project	FHC records and project citations	Recurrent costs of national PA staff training absorbed by government after project
	The number of replicates of approaches demonstrated and lessons learned by the project within other national protected area systems	None	Management models and approaches from project replicated in 2 other countries by year 5	Project citations from other countries	Governmental recognition of benefits flowing from project models with resulting support for national replication elsewhere

[NOTE : Outputs and activities will be verified and confirmed during Inception and yearly meetings/workshops]

### SECTION III: TOTAL BUDGET AND WORKPLAN

Total project financing amounts to US\$ 18,734,400, excluding preparatory costs. Of this, the GEF will finance US\$ 2,395,700. Total co-financing amounts to US\$ 16,338,700 broken down as follows:

**Table 1. Outcome Budget**

Outcome	GEF	GoK	Local Gov. (EKO: DoA; EBP; EI)	UNDP	Private sector	NGOs	Total Cofinancing	Total
Expansion of PA network	959,700	8,131,000	0	0	129,000	0	8,260,000	<b>9,219,700</b>
Awareness	486,000	0	0	0	96,500	212,000	308,500	<b>794,500</b>
Enabling Environment	165,000	0	0	0	40,000	1,000	41,000	<b>206,000</b>
Livelihoods	315,000	0	7,482,200	0	115,000	49,000	7,646,200	<b>7,961,200</b>
M&E, replication	470,000	0	0	50,000	33,000	0	83,000	<b>553,000</b>
<b>Totals</b>	<b>2,395,700</b>	<b>8,131,000</b>	<b>7,482,200</b>	<b>50,000</b>	<b>413,500</b>	<b>262,000</b>	<b>16,338,700</b>	<b>18,734,400</b>

**Table 2. Detailed description of estimated co-financing sources**

Co-financing Sources				
Name of Co-financier (source)	Classification	Type	Amount (US\$)	Status*
GoK	Government	Cash	8,131,000	Committed by letter
East Kazakhstan Oblast – Department of Agriculture	Government (Local)	Cash and in-kind	6,400,000	Committed by letter
East Kazakhstan Oblast – Economy and Budget Planning Department	Government (Local)	Cash	552,200	Committed by letter
East Kazakhstan Oblast - Department for Entrepreneurship and Industry	Government (Local)	Cash	530,000	Committed by letter
UNDP	IA	In-kind and cash	40,000 (cash) 10,000 (in kind)	Committed by letter
Guardians of Altai	NGO	Cash in-kind	12,000 63,000	Committed by letter
Ecology Tourist Centre “TEK”	NGO	Cash and in-kind	187,000	Committed by letter
Eco-Altai	Private sector	Cash in-kind	45,000 160,000	Committed by letter
“Ecobiocentre”	Private sector	Cash and in-kind	57,000	Committed by letter
ZUBR Consulting Center	Private sector	In-kind	151,500	Committed by letter
<b>Sub-Total Co-financing</b>			<b>16,338,700</b>	

**Total Budget and Workplan**

<b>Award ID: 00044821</b>											
<b>Award Title: PIMS 2898 BD FSP: Conservation and sustainable use of biodiversity in the Kazakhstani sector of the Altai-Sayan mountain ecoregion</b>											
<b>Project ID: 00052843</b>											
<b>Project Title: PIMS 2898 BD FSP: Conservation and Sustainable Use of Biodiversity in the Kazakhstani Sector of the Altai-Sayan Mountain Ecoregion</b>											
<b>Executing Agency: Government of Kazakhstan: Forestry and Hunting Committee of the Ministry of Agriculture (NEX)</b>											
<b>GEF Outcome/Atlas Activity</b>	<b>Responsible Party (Implementing Agency)</b>	<b>Source of Funds</b>	<b>Atlas Budgetary Account Code</b>	<b>Atlas Budget Description/ Input</b>	<b>Amount (USD) Year 1</b>	<b>Amount (USD) Year 2</b>	<b>Amount (USD) Year 3</b>	<b>Amount (USD) Year 4</b>	<b>Amount (USD) Year 5</b>	<b>Amount (USD) Year 6</b>	<b>Total (USD)</b>
<b>OUTCOME 1:</b>  Protected area network is expanded and PA management is enhanced	FHC	GEF	72100	Contractual Services-Companies	-	100,000.00	30,000.00	20,000.00	20,000.00		<b>170,000.00</b>
		GEF	71200	International Consultant	-	50,400.00	21,000.00	42,000.00	-	-	<b>113,400.00</b>
		GEF	71300	Local Consultants	-	25,500.00	25,000.00	25,000.00	25,000.00	10,000.00	<b>110,500.00</b>
		GEF	71400	Contractual Services-Individ	3,500.00	15,000.00	15,000.00	15,000.00	15,000.00	15,000.00	<b>78,500.00</b>
		GEF	71600	Travel	3,000.00	80,000.00	70,000.00	65,000.00	50,000.00	20,000.00	<b>288,000.00</b>
		GEF	72200	Equipment	-	70,000.00	30,000.00	30,000.00	20,000.00	-	<b>150,000.00</b>
		GEF	74500	Miscellaneous Expenses	1,000.00	6,000.00	6,000.00	6,000.00	6,000.00	6,000.00	<b>31,000.00</b>
		GEF	74200	Printing & Publications, Translation	-	7,000.00	6,300.00	2,500.00	2,500.00	-	<b>18,300.00</b>
						<b>SUBTOTAL</b>	<b>7,500.00</b>	<b>353,900.00</b>	<b>203,300.00</b>	<b>205,500.00</b>	<b>138,500.00</b>
<b>OUTCOME 2:</b>  Awareness of and support for biodiversity conservation and PAs is increased among all stakeholders	FHC	GEF	71300	Local Consultants	-	10,000.00	10,000.00	10,000.00	10,000.00	8,000.00	<b>48,000.00</b>
		GEF	71400	Contractual Services - Individ	3,500.00	15,000.00	30,000.00	30,500.00	30,500.00	30,500.00	<b>140,000.00</b>
		GEF	71600	Travel	-	15,000.00	15,000.00	15,000.00	15,000.00	5,000.00	<b>65,000.00</b>
		GEF	72100	Contractual Services-Companies	-	15,000.00	20,000.00	15,000.00	-	-	<b>50,000.00</b>
		GEF	72200	Equipment	-	-	30,500.00	30,000.00	-	-	<b>60,500.00</b>
		GEF	72300	Materials&Goods	-	-	30,000.00	-	-	-	<b>30,000.00</b>

		GEF	72400	Communication & Audio Visual Equip	-	-	3,000.00	1,000.00	1,000.00	1,000.00	6,000.00
		GEF	72500	Supplies	-	-	1,000.00	500.00	500.00	500.00	2,500.00
		GEF	72800	Information Technology Equipmt	-	-	6,000.00	-	-	-	6,000.00
		GEF	74200	Printing & Publications, Translation	-	7,000.00	15,000.00	15,000.00	15,000.00	5,000.00	57,000.00
		GEF	74500	Miscellaneous Expenses	1,000.00	4,000.00	4,000.00	4,000.00	4,000.00	4,000.00	21,000.00
				<b>SUBTOTAL</b>	<b>4,500.00</b>	<b>66,000.00</b>	<b>164,500.00</b>	<b>121,000.00</b>	<b>76,000.00</b>	<b>54,000.00</b>	<b>486,000.00</b>
<b>OUTCOME 3:</b>  The enabling env for strengthening the national protected area system is enhanced	FHC	GEF	71200	International Consultants	-	10,000.00	10,000.00	-	-	-	20,000.00
		GEF	71300	Local Consultants	-	6,000.00	6,000.00	6,000.00	4,000.00	1,000.00	23,000.00
		GEF	71400	Contractual Services-Individ	3,500.00	15,000.00	15,000.00	15,000.00	15,000.00	15,000.00	78,500.00
		GEF	71600	Travel	-	8,000.00	8,000.00	6,000.00	5,000.00	-	27,000.00
		GEF	72500	Supplies	-	200.00	200.00	200.00	200.00	-	800.00
		GEF	74200	Printing & Publications, Translation	-	3,000.00	3,000.00	3,000.00	1,500.00	-	10,500.00
		GEF	74500	Miscellaneous Expenses	700.00	1,000.00	1,000.00	1,000.00	1,000.00	500.00	5,200.00
						<b>SUBTOTAL</b>	<b>4,200.00</b>	<b>43,200.00</b>	<b>43,200.00</b>	<b>31,200.00</b>	<b>26,700.00</b>
<b>OUTCOME 4:</b>  Community involvement in biodiversity conservation is increased	FHC	GEF	71200	International Consultants	-	30,000.00	-	-	-	-	30,000.00
		GEF	71300	Local Consultants	-	8,000.00	5,000.00	5,000.00	5,000.00	3,000.00	26,000.00
		GEF	71400	Contractual Services-Individ	3,500.00	15,000.00	15,000.00	15,000.00	15,000.00	15,000.00	78,500.00
		GEF	71600	Travel	-	20,000.00	18,000.00	15,000.00	10,000.00	8,000.00	71,000.00
		GEF	72600	Grants	-	12,500.00	12,500.00	12,500.00	12,500.00	-	50,000.00
		GEF	72200	Equipment	-	10,000.00	-	-	-	-	10,000.00
		GEF	72300	Materials&Goods	-	5,000.00	4,000.00	-	-	-	9,000.00
		GEF	74200	Printing & Publications,	-	5,000.00	3,000.00	3,000.00	3,000.00	-	14,000.00

				Translation									
		GEF	74500	Miscellaneous Expenses	1,500.00	5,000.00	5,000.00	5,000.00	5,000.00	5,000.00	26,500.00		
				<b>SUBTOTAL</b>	<b>5,000.00</b>	<b>110,500.00</b>	<b>62,500.00</b>	<b>55,500.00</b>	<b>50,500.00</b>	<b>31,000.00</b>	<b>315,000.00</b>		
<b>OUTCOME 5:</b>	Adaptive management, monitoring and replication		GEF	71200	International Consultants	-	14,000.00	-	25,000.00	-	45,000.00	84,000.00	
			GEF	71300	Local Consultants	-	3,000.00	4,000.00	4,000.00	4,000.00	-	15,000.00	
			GEF	71400	Contractual Services-Individ	6,500.00	31,000.00	31,000.00	31,000.00	31,000.00	31,000.00	161,500.00	
			GEF	71600	Travel	-	8,000.00	8,000.00	8,000.00	8,000.00	10,000.00	42,000.00	
			<b>UNDP</b>	<b>71600</b>	<b>Travel</b>	<b>2,000.00</b>	<b>9,000.00</b>	<b>8,000.00</b>	<b>8,000.00</b>	<b>8,000.00</b>	<b>8,000.00</b>	<b>5,000.00</b>	<b>40,000.00</b>
			GEF	72200	Equipment	15,000.00	5,000.00	-	-	-	-	20,000.00	
			GEF	72400	Communic & Audio Visual Equip	1,000.00	5,000.00	5,000.00	5,000.00	5,000.00	5,000.00	26,000.00	
			GEF	72500	Supplies	1,000.00	1,500.00	1,500.00	1,500.00	1,500.00	1,500.00	8,500.00	
			GEF	72800	Information Technology Equipmt	10,000.00	-	-	-	-	-	10,000.00	
			GEF	73100	Rental & Maintenance-Premises	2,000.00	8,400.00	8,400.00	8,400.00	8,400.00	8,400.00	44,000.00	
			GEF	74100	Professional Services (Audit)	-	5,000.00	5,000.00	5,000.00	5,000.00	5,000.00	25,000.00	
			GEF	74200	Printing & Publications, Translation	1,500.00	2,500.00	2,000.00	2,500.00	2,000.00	2,500.00	13,000.00	
			GEF	74500	Miscellaneous Expenses	1,000.00	4,000.00	4,000.00	4,000.00	4,000.00	4,000.00	21,000.00	
						<b>SUBTOTAL</b>	<b>40,000.00</b>	<b>96,400.00</b>	<b>76,900.00</b>	<b>102,400.00</b>	<b>76,900.00</b>	<b>117,400.00</b>	<b>510,000.00</b>

**TOTAL (GEF plus UNDP)                    61,200.00            670,000.00            550,400.00            515,600.00            368,600.00            269,900.00            2,435,700.00**

**TOTAL BUDGET SUMMARY**

<b>Forestry and Hunting Committee</b>	813,100.00	1,626,200.00	1,626,200.00	1,626,200.00	1,626,200.00	813,100.00	<b>8,131,000.00</b>
<b>Oblast Administration, Dept of Agr</b>	1,280,000.00	1,024,000.00	1,024,000.00	1,024,000.00	1,024,000.00	1,024,000.00	<b>6,400,000.00</b>
<b>Oblast Administration, Dept of</b>	37,385.00	54,161.00			-	-	<b>552,200.00</b>



<b>EBP</b>			460,654.00				
<b>Oblast Administration, Detp for EI</b>	53,000.00	106,000.00	106,000.00	106,000.00	106,000.00	53,000.00	<b>530,000.00</b>
<b>UNDP (in kind)</b>	-	2,000.00	2,000.00	2,000.00	2,000.00	2,000.00	<b>10,000.00</b>
<b>UNDP (cash)</b>	2,000.00	9,000.00	8,000.00	8,000.00	8,000.00	5,000.00	<b>40,000.00</b>
<b>NGO Guardians of Altai</b>	-	25,000.00	25,000.00	25,000.00	-	-	<b>75,000.00</b>
<b>NGO TEK Tourist Centre</b>	-	37,400.00	37,400.00	37,400.00	37,400.00	37,400.00	<b>187,000.00</b>
<b>Eco-Altai, Private sector</b>	-	41,000.00	41,000.00	41,000.00	41,000.00	41,000.00	<b>205,000.00</b>
<b>Ecobiocentre, private sector</b>	-	11,400.00	11,400.00	11,400.00	11,400.00	11,400.00	<b>57,000.00</b>
<b>ZUBR Consulting center</b>	-	30,300.00	30,300.00	30,300.00	30,300.00	30,300.00	<b>151,500.00</b>

<b>SUBTOTAL CO-FINANCING</b>	<b>16,338,700.00</b>
<b>SUBTOTAL GEF</b>	<b>2,395,700.00</b>
<b>GRAND TOTAL (GEF plus UNDP) plus co-financing</b>	<b>18,734,400.00</b>

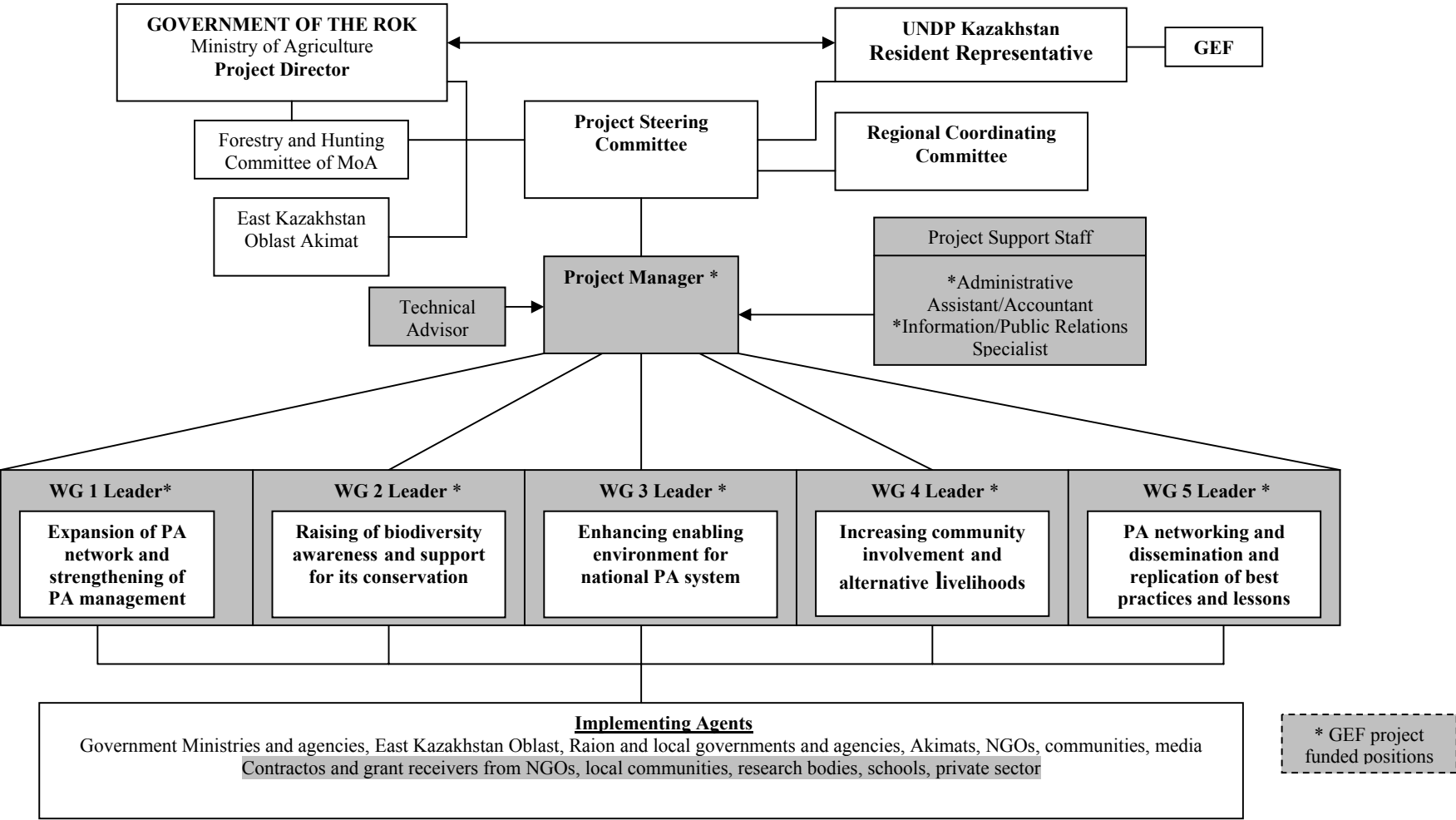
## **SECTION IV: ADDITIONAL INFORMATION**

### **PART I: Other agreements**

Endorsement letter and all co-financing letters are attached in a separate file.

**PART II: Organigram of Project**

**Institutional arrangements for project implementation**



### **PART III: Terms of Reference for key project staff and main sub-contracts**

#### **Position: National Project Manager (NPM)**

**Duration:** 6 years

#### **General Responsibilities**

Under the guidance of the National Project Director (NPD), the NPM shall be responsible for the overall daily coordination of all aspects of the project at the national level, as well as specific responsibility for project activities at the project territories. The NPM will be responsible for overseeing the Project team's work and he/she will be ultimately responsible for the effective implementation of all Project activities. The NPM will ensure planning, management, control and monitoring of the tasks of project staff, hired consultants, and sub-contracting institutions. He/she will liaise directly with designated officials of the national and local governments, the UNDP, existing and potential additional project donors, the National GEF Focal Point, and others as deemed appropriate and necessary by the NPD and/or him/herself. The Project budget and associated work plan will provide guidance on the day-to-day implementation of the approved Project activities and on the integration of the various complementary initiatives. He/she shall be responsible for the delivery of all substantive, managerial and financial reports from and on behalf of the Project. He/she will provide overall supervision for all Project staff. The NPM will provide expert input in his/her area of expertise, coordinate contracted work necessary for Project implementation, and will organize and attend all consultations and meetings.

#### **Specific responsibilities**

The NPM will have the following specific duties related to management of the overall project:

- Ensure development, co-ordination and management of the Project.
- Manage and supervise the Project Implementation Unit's (PIU) staff, including work group leaders, and the project budget.
- Undersign all project progress reports, financial reports and requests.
- Plan and organize the inception workshop.
- Coordinate the preparation of the annual Project Implementation Reviews.
- Ensure effective communication with the relevant public authorities, institutions and other stakeholders on project's activities.
- Establish and maintains links with national and international project partners.
- Organize the development of the contracts for local and international experts and consultants, and co-operating partners.
- Ensure preparation and submission to the Project Steering Committee (PSC) and UNDP of progress and financial reports, as set out in the project document.
- Supervise activities under the project to ensure that they are performed in accordance with the budget as set out in the project document.
- Ensure that the expenditures incurred are in compliance with the activities referred to in the project document.
- Ensure project promotion and effective public relations.
- Establish and manage mechanisms for exchange of experience, and lessons learned at the local, national and regional levels.
- Coordinate, monitor and be responsible to the NPD and PSC for implementation of the Project Work Plan.
- Ensure consistency among the various Project elements and related activities provided or funded by other donor organizations.

- Foster and establish links with other related GEF – funded projects and, where appropriate, with other relevant regional programmes. The NPM will take the lead role in coordinating international networking and partnership development for the project, directing activities in coordination with UNDP-Russia and Mongolia on transboundary aspects of biodiversity conservation in the ASE, the World Bank, UNEP, WWF Russia and others.
- Submit Project progress reports and present any identified problems to the NPD and UNDP.
- Ensure that all of the logistical needs of Project implementation are met.
- Conduct stakeholder workshops in the Project region.
- Participate in all meetings of the PSC, as feasible
- Ensure proper management and regular monitoring of project equipment;

### **Qualifications**

- Post-graduate degree, preferably in a directly related field (e.g. natural resource management; agricultural economics; rural development; biodiversity conservation);
- At least eight years experience as a senior project manager, with proven experience in multi-sectoral project management;
- Well developed inter-personal, communication and negotiating skills;
- Good familiarity with the goals and procedures of international organizations is preferred, in particular those of the GEF and its partners (UNDP, UNEP, the World Bank, major NGOs, and current and future potential donors);
- Proficient English speaking and writing capability;
- Previous work experience in the project region on issues directly related to the Project;
- Ability and willingness to travel; and,
- Demonstrable skills in using information technology (word processing, spread sheets) and familiarity with GIS applications.

### **Reporting requirements**

The NPM will report to the NPD and the PSC.

**Position: Project Technical Advisor**

**Duration:** 60 days between 2006-2009

**Background:**

The UNDP/GEF Project on Conservation and Sustainable Use of Biodiversity in the Altai-Sayan Ecoregion is to help secure the globally significant biodiversity values of the Kazakhstan. The project's objective is to enhance the sustainability and conservation effectiveness of Kazakhstan's national PA system by demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion. The project will produce five outcomes: the protected area network will be expanded and PA management effectiveness will be enhanced; awareness of and support for biodiversity conservation and PAs will be increased among all stakeholders; the enabling environment for strengthening the national protected area system will be enhanced; community involvement in biodiversity conservation will be increased and opportunities for sustainable alternative livelihoods within PAs and buffer zones will be facilitated; and networking and collaboration among protected areas will be improved, and the best practices and lessons learned will be disseminated and replicated in other locations within the national protected area system.

There are multiple purposes for this position – (i) to provide on-going support to the project for adaptive management, best practice assessment and implementation; (ii) to enable the project to maintain strategic direction during implementation by helping project management remain focussed on overall results in addition to the day-to-day implementation concerns; (iii) to ensure that the project is an active member of a broader learning network of similar or related projects (GEF and otherwise); and (iv) to emphasize a learning and adaptive approach to project management and implementation.

**Specific responsibilities**

- Provide support to the National Project Manager (NPM) in implementing adaptive management by working to facilitate effective monitoring of project activities and an ongoing, reflective evaluation of the project's work. This will include facilitating learning and taking an adaptive approach to project management and implementation by asking questions of key project personnel, including: "What are we learning and how are we incorporating it into our project implementation process?" "Are we meeting our indicators of success?";
- Cultivate cross-project learning environment and help the NPM establish cross-project linkages, where this project can learn and share lessons effectively from/with other GEF and other initiatives worldwide;
- Support and facilitate reflective practice on the part of project staff and Government partners by taking part in and contributing to workshops/round table discussions that cultivate lessons learned and adaptive management;
- Be on call via email and telephone to answer queries from the project office regarding project strategy, implementation, success indicators, etc.;
- Facilitate quality and timely project implementation, by integrating best practices as they emerge from UNDP-GEF's portfolio into revised ToR for positions as they come up for hire during project implementation. Upon request of the NPM, review and revise Terms of Reference for various project positions and subcontracts;
- Identify, analyze and communicate lessons learned that may be useful in design and implementation of similar projects. The duty of identifying and analyzing lessons learned is an on-going one, and the duty to communicate those lessons is on an as-needed basis, approximately every six months according to a reporting format, and system for categorizing of lessons to be provided by UNDP/GEF;
- Assist NPM in completing annual Project Implementation Review (PIR), and other monitoring and evaluation requirements (as necessary).

**Qualification/Requirements:**

- Graduate degree in related discipline.
- Good knowledge of UNDP/GEF adaptive management and monitoring approach;
- Excellent communication skills;
- Detailed knowledge of this project's history, strategic thinking, and design rationale;
- Familiarity and experience with project stakeholders and their institutions;
- The ability to apply this background to a macro, strategic perspective on project implementation.
- Well developed leadership, inter-personal, communication and negotiating skills, as well as a proven ability to work effectively in groups;

## PART IV: Stakeholder Involvement Plan

### Stakeholder identification

An assessment of stakeholder and social issues was undertaken as part of project preparation in an effort to: (i) identify key stakeholders with respect to biodiversity conservation in Kazakhstani section of the Altai-Sayan; (ii) review stakeholder interests and associated impacts on resource use, land tenure and the project; (iii) identify and mitigate against possible negative socio-economic impacts on local stakeholders resulting from the project; and (iv) identify and develop opportunities for the project to benefit stakeholders. Project preparation entailed consultation with a broad range of stakeholder groups using a number of different information gathering methods, including formal and semi-formal interviews, group discussions and workshops, rapid rural appraisal and literature review. In addition, local consultants participating in project preparation provided information and contributed to the identification of risks, impacts and mitigation strategies.

Throughout the project's development, very close contact was maintained with all stakeholders. All government stakeholders were directly involved, as were NGOs, research and academic institutions, PA administrators, the private sector, and local communities. The National Project Management Committee and the National Task Force on Project Development provided the broad representation of interests required and also the vehicles for consultation. Numerous consultations occurred with all of the above stakeholders, taking the form of visits to villages, discussions with government agency representatives, and several workshops at which all interests participated. Likewise, the mass media was also involved.

The development of the project was also done in close cooperation with the counterpart project in the Russian Federation. The Regional Steering Committee that was formed to ensure that the two projects were developed in a collaborative fashion included a representative from this project's Management Committee. Discussions have also been held with representatives of the complementary project in Mongolia. Likewise, informal consultations and exchanges occurred and continue to occur between personnel from this project and the other two projects. This will continue during the project's implementation.

The table below lists the main stakeholders and their potential role in the project.

Stakeholder	Role in Project
Ministry of Agriculture	Chair of Project Steering Committee and overall governmental responsibility for the project's implementation
Forestry and Hunting Committee of MoA	Line agency responsible for the implementation of the project
Regional Coordinating Committee	Effective coordination of counterpart Altai-Sayan ecoregion projects in Russia and Mongolia
National Project Management Committee and the National Task Force on Project Development	Provision of required broad representation of interests and also consultation mechanisms
EKO Oblast	Regional level coordination, support and input in the implementation of project components
EKO Akimat	Support and input into implementation of specific project elements
Raion government agencies	Support and input into implementation of specific project elements
Local (municipal) governments	Support and input into implementation of specific project elements
NGOs	Direct participation in the implementation of specific project elements
Local communities	Direct participation in the implementation of specific project



	elements
MSR and KKNP administrations	Direct participation in the implementation of most project elements
Private sector ecotourism firms	Direct participation in the implementation of most project elements

### Stakeholder participation – long-term involvement in decision making and implementation

The project must involve stakeholders at the national, regional or district, and local levels. As described above, mechanisms will be put in place to ensure the effective involvement of stakeholders from all three levels. The focus on the empowerment of local communities and the provision of benefits to them is in line with the recognition that conservation of biodiversity and natural resources is more likely to succeed if local communities share the benefits derived from conservation actions and are directly and meaningfully involved in decision making. To accomplish this, the project incorporates the development of mechanisms to ensure the flow of conservation benefits to local communities, as well as opportunities for on-going meaningful involvement in decision making.

A key issue identified during project development and design is the current lack of adequate stakeholder interaction, coordination and input into overall management decision-making for biodiversity conservation and use. At one level there is a lack of integrated and coordinated activity by the various government agencies involved. Though they share many mutual objectives, they have no structured means to work together, and a history exists of individual effort and even competition for territorial or managerial control. At another level, historical management approaches do not include mechanisms for consultation and the participation of non-government stakeholders such as local land users and communities, private sector entities and NGOs.

As a result, a major emphasis within this project is to address multi-stakeholder involvement issues in biodiversity management both inside and adjacent to SPAs and at both the levels described above. However, it must be recognized that current approaches and management mentalities are deeply rooted, and that developing new approaches and mechanisms for stakeholders to work effectively together is neither a quick nor simple task. For this reason, the project will approach this task in a gradual “incremental” manner.

The development of integrated management plans for each site will form the main framework in which multi-stakeholder involvement in conservation and sustainable use of biodiversity and co-management of PAs will be established. Within these plans, institutional mechanisms for achieving the real involvement and genuine commitment of various stakeholders will be identified and the appropriate institutional structures identified. Following this initial planning, it is expected that the following institutional structures will be created:

First, a *National Steering Committee* to ensure overall leadership, coordination, and policy, legislative, and financial support for the project, and to act as a liaison between the Project and other national and international programs, organizations and donors. This committee will include senior government officials from relevant government ministries and regional authorities, as well as international agencies’ representatives with an active role in the project.

Second, *Oblast Akimat Advisory Council*, will be set up to foster inter-agency and other stakeholders collaboration in the conservation of biodiversity within the PA. The Council will have representatives from all of the responsible government authorities, the Akimat, PA administrations, NGOs, local Community Advisory Councils, researchers, and the private sector.

At the site level, the project will assist in the establishment of two organizational structures at each site. First, will be a *Site Project Steering Committee (SPSC)* consisting of representatives from all key site

stakeholder groups and chaired by the NP Director. The SPSC will be an effective advocate, through the individual authority of its members, to ensure that the project implementation activities are open to stakeholder participation, and will allow, for the first time, locally interested parties to participate and play a role in overall management planning and decision making at the project sites.

Second, will be *Local Community Conservation Councils*, which will be organized in coordination with PA administrations to engage direct involvement of local communities in PA planning and management. Local communities are expected to play an important role in conservation and protection activities within the PAs, and to participate in sustainable economic activities. The Councils will present an opportunity for local interests to be heard and to help forge common objectives and strategies in PA management. This will help eliminate some conflicts between local populations residing within the PAs. A representative from each Community Conservation Council will sit on the Oblast Akimat PA Advisory Council.

For these new institutions to develop into effective entities, their responsibilities will be gradually increased and broadened as the project progresses, and a dedicated effort to ensuring that adequate capacity is developed will be made to ensure that they will continue to function and develop *post-project*. The project will therefore support significant training and capacity development for these new and adapted institutions. Most critically, it will also support a pilot period of management plan implementation at each site during which the effectiveness of institutions can be tested, real gaps in design or capacity identified, and remedial action undertaken.

**Activities planned during implementation and evaluation, including topics, groups involved, and outcomes.**

Stakeholder Participation Activities/Outcomes	Participants	Where Cost is Reflected in the Budget <i>Excluding project team Staff time</i>	Time frame
Inception Workshop (IW)	<ul style="list-style-type: none"> <li>▪ Project Director</li> <li>▪ Project Manager</li> <li>▪ UNDP CO/UNDP GEF</li> <li>▪ Project implementation team</li> <li>▪ Stakeholder representatives</li> </ul>	Project management	Within first month of project start up
Project management meetings	<ul style="list-style-type: none"> <li>▪ Project Steering Committee members along with invited contributors/observers.</li> </ul>	Project management	Following Project IW and subsequently at least once a year.
Community consultations on community specific PA related issues, use of lands and NTFPs, sustainable livelihood options	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ Project implementation team</li> <li>▪ PA administrations</li> </ul>	In relevant Outcomes and in project management	As required on basis of work plan
Consultations on community involvement in PA conservation efforts	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ Project implementation team</li> <li>▪ PA administrations</li> </ul>	In Outcome 4	As required on basis of work plan
Consultations on education programming and youth camps	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ Project implementation team</li> <li>▪ PA administrations</li> </ul>	In Outcome 2	As required on basis of work plan
Meetings and consultations to compile and evaluate lessons learned.	<ul style="list-style-type: none"> <li>▪ Project Manager</li> <li>▪ Project implementation team</li> <li>▪ UNDP-GEF</li> </ul>	In Outcome 5	Yearly

## PART V: Protected Areas of Kazakhstan and KASE

The total area of national level PAs in Kazakhstan is 14,268,187 ha, while regional PAs occupy an additional 203,900 ha. The total area of PAs, however, constitutes only 5% of the total area of the country. Currently, there are 107 PAs in the country. The system is now comprised of various PA categories, including zapovedniks or strict reserves, national parks, nature reserves, special purpose reserves or zakazniks, and natural monuments.

**Table 1. Protected areas of Kazakhstan**

Type of protected area	Number	Area (ha)	Management authority
Zapovedniks (IUCN category I)	10	1,016,687	MA-FHC
National Parks (IUCN category II)	8	1,396,000	MA-FHC
Natural Monuments (IUCN category III)	26	60,000	Varied
Nature Reserves (IUCN category II)	2	1,123,000	MA-FHC
Zakazniks (IUCN category IV) – zoological, botanical and multi-purpose)	57	5,580,000	Akimats
Natural Parks (IUCN category IV)	4	5,029,500	OkhotZooProm company
<b>Total</b>	<b>107</b>	<b>14,268,187</b>	

In addition, there are botanical gardens, zapovednik zones in which certain uses are restricted, and zoos. The management responsibility for the PAs is spread out among various agencies and organizations. Most of Kazakhstan's PAs are managed by the Forestry and Hunting Committee of the Ministry of Agriculture. Botanical gardens are managed by the Ministry of Education and Science, and zoos by the Ministry of Culture, Information and Public Consent. Zapovednik zones (except for the North-Caspian zone) are managed by the OkhotZooProm company, a division of the Forestry and Hunting Committee. Burabai National Park, however, is managed by the Administration of the President of Kazakhstan.

Zapovedniks are strictly protected areas in which only conservation and research are permitted. All forms of economic activity or recreation are prohibited. Recreation is possible only in the buffer zones surrounding the reserves. Today there are 10 zapovedniks in Kazakhstan. National parks and nature parks have come into existence in Kazakhstan only over the last two decades. The first national park was designated in 1986. The key objective of national parks is to conserve unique sites, while providing opportunities for recreation and environmental education. Kazakhstan has 8 national parks. In the near future, 2 additional national parks will be designated: Djungaro-Alatau and Kolsai Lakes. The national parks are primarily located in the mountains of East and South-East Kazakhstan, as well as in the montane forests of Central and North Kazakhstan. The first 2 nature reserves in Kazakhstan, Ertys Armany (Pavlodarsk region) and Arka Armany (East Kazakhstan region), were designated in 2003. The main purpose of these PAs is to conserve the unique ribbon forests of the lower Irtysh River. Zakazniks, or special purpose and time-limited reserves, are intended to protect populations and landscapes without the complete withdrawal of their lands from economic uses. Currently there are 57 zakazniks in Kazakhstan. Zoological zakazniks are the most common (36 or 63%), followed by botanical zakazniks (13 or 23%), and multi-purpose zakazniks (7 or 12%). There is also one botanical-geographical zakaznik (Rakhmanovskiye Kliuchy). Four zakazniks are located within national parks or are adjacent to them: Alma-Ata (Ile-Alatau NP), Karkarala (Karkarala NP), Kyzyltau (Bayanaul NP) and Rakhmanovskiye Kliuchy (Katon-Karagaiskiy NP). These four zakazniks are ensured of some level of

regular protection and monitoring. Most of the other zakazniks, which are managed by local FHC divisions, are protected only on an *ad hoc* basis through the occasional visits of inspectors and gamekeepers. Overall, therefore, there is no actual protection or management system for the majority of the zakazniks. Natural monuments are normally small PAs usually not exceeding a few hectares. This PA category is essentially used to protect sites of unique natural, cultural and historical heritage. Today, there are 26 national level natural monuments in Kazakhstan. In addition, there are 53 regional level natural monuments.

#### Global biodiversity significance of the Kazakhstani part of the Altai-Sayan ecoregion

The Kazakhstani part of the Altai-Sayan ecoregion (KASE) is largely a mountain-steppe ecosystem located within the southern sub-zone of dry feather-grass steppes and the semi-arid zone, and is comprised of scrub bushes, cryophytic meadows and coniferous forests. The Kazakhstani Altai is divided into three distinct mountain areas: the Ore Altai, the Southern Altai and the Central Altai. The western part of the KASE is a highly stratified mountain chain (part of the Western Altai), with the highest elevation being the peak Vysheivanovsky Belok (2,776 m). The eastern part of the region is occupied by the Southern Altai mountain chain (Sarymsakty, Tarbagatay, Southern Altai, Azu-Tau and Kurchumsky ranges) and, partly, by the Central Altai chain (Katunsky range). The altitude of this chain ranges from 600 to 2,800 – 3,600 m with 4,506 m. (Belukha Peak) being the highest point. Large expansive valleys are found between the ranges. Steppes cover the southern part of the region and neighbor forest-steppe areas. This part of the region is defined as low-altitude mountain ranges with birch-aspen forests and meadow steppes. Mid-altitude areas (1,600 – 2,600 m) are covered by silver fir, cedar and larch forests, as well as meadows. High-altitude areas (2,500 – 3,000 m) are characterized by alpine and sub-alpine meadows and meadow-steppes.

The climate is continental and exhibits a wide range of daily and annual temperatures. Average January temperatures range from -13°C to -27°C, but can fall to -56°C. Average July temperatures range from +18°C to +23°C (+14°C to +16°C in the mountains), but can reach +35°C to +40°C. Precipitation ranges from 150 to 200 mm on the Zaisan Basin Border to 650 mm and more on mountain slopes. There are numerous lakes and rivers in the region. Several rivers that are part of the Irtysh River basin, such as the Black Irtysh, the Bukhtarma and the Uba, have their headwaters in the area. The largest lakes include Markakol, Rakhmanovskoye, Bukhtarminskoye and Yazevoye.

Forests occupy a considerable part (1,712,000 hectares) of the Altai-Sayan ecoregion in Eastern Kazakhstan and represent 15% of all national forests. The forests are mainly located in mountainous areas and can be classified into two major groups: dark-coniferous and larch forests. Dark-coniferous forests occupy 625,000 hectares, and primarily consist of: silver fir (385,000 hectares), larch (173,000 hectares), cedar (44,000 hectares) and fir (23,000 hectares). Cedar (referred to locally as cedar but classified as Siberian stone pine or *Pinus sibirica*), the symbol of the Altai and a highly valued source of nutrition for people as well as wildlife, can be found in the upper parts of the following mountains: Kholzun, Ivanovsky, Ulbinsky (Rudny Altai), Listvyaga, Sarymsakty, Tarbagatay and Southern Altai. Silver fir is the dominant species in the basin of the Uba and Ulba Rivers and along the banks of the Bukhtarma River. Siberian fir is found in dark-coniferous forests. Silver fir forests in the Altai are alternatively known as dark forest or dark taiga. Siberian larch forests grow along the slopes in the Southern Altai (2,200 – 3,200 meters above sea level). They occupy nearly 200,000 hectares, with a total standing volume of 36 million m<sup>3</sup>, although this is declining due to large-scale logging and fires.

The Kazakhstani sector of the Altai-Sayan ecoregion is home to 394 mammal species, 32 of which are listed in the Kazakhstani Red Book. Three species of birds (*Haliaetus albicilla* or White-tailed sea-eagle; *Aquila heliaca* or Imperial eagle; and, *Grus monacha* or Hooded crane) and three mammals (*Uncia uncia* or snow leopard, *Ovis ommon* or Altai argali, and *Cuon alpinus* or red wolf) are listed in the IUCN Red Book. Many species are also listed in Annex 1 of CITES. Other endangered animals (circumpolar species) known to occur here are the Dalmatian pelican, the Peregrine falcon, the Altai

snowcock, the Golden eagle, and the Stone marten. Of 1,870 higher plant species found in the KASE, 13 and 5 species are listed in the Red Books of Kazakhstan and the Russian Federation respectively. The latter are *Cypripedium calceolus*, *Cypripedium macranthon*, *Epipogium aphyllum*, *Pyrrhtrum kellerii*, and *Pterigostemon spathulatum*. 181 plant species are rare, and many of them exhibit varying degrees of endemism.

Due to a number of geographic, political and economic factors, certain KASE areas have remained largely unaffected by human activity. These areas are home to virgin forests that provide the principal remaining habitats for globally rare and endangered flora and fauna. Three such areas within the KASE (Eastern, Central and Western) were considered as potential demonstration sites for the project. Following a collective and objective assessment by national experts, which involved PA directors, government representatives, and NGOs, the Eastern Territory was selected to be the demonstration site since it most fully satisfied the main selection requirements and conditions as described below.

The boundaries of the demonstration sites are marked by the following:

- in the north and east (partially): the Kazakhstan-Russia border;
- in the east: the Kazakhstan-China border;
- in the south: Kazakhstan Village, Bulgatabygy Village, Ashaly Village, Terekty Village and the base of the Southern Altai Mountains; and
- in the west: the border of Katon-Karagayskyi National Park along the Bukhtarma River, Belkaragay Village, the Kalzhir River, and the Takyr River.

In the north and northeast, the sites border the Katunsky Biosphere Reserve, Belukha National Park and the Ukok Quiet Zone, all of which are located in the Russian Federation. In the east, the PT borders on a Chinese PA – Khanassi National Park.

Thus, the selected project area also presents the greatest opportunities for trans-boundary conservation action on the basis of the existing PAs, as well as for the protection of the most valuable natural sites in the region. In short, it offers the greatest opportunities for success in conserving the globally significant biodiversity found in the Kazakhstani sector of the ecoregion. High-altitude mountains, montane forests and meadows occupy most of the project area. Due to high altitudes, soils and plants are distributed across an altitudinal gradient that progresses from fields, to montane forests, alpine meadows, and alpine tundra. Two glacial formations are found in the PT: the Katunsky Mountain Range (Belukha Mountain) and the Southern Altai mountain range.

Forests are found at elevations between 1,200 and 2,300 meters above sea level, and include the sub-alpine montane forest and alpine meadow zones. Extensive areas of virgin forest are located in remote mountainous areas – on the northern slopes of the Southern Altai and Tarbagatai, along the banks of the Black Berel River, and along the Chinese border. The forests are very diverse, with 24 forest associations, including 20 coniferous types that are the most valuable, highly productive and possess high ecological functional importance. Coniferous forests account for nearly 80% of the total forested area with larch (*Larix sibirica*), cedar (*Pinus sibirica* or Siberian stone pine) and fir (*Picea sibirica*) dominating. Bushes cover 19% of the forest area with the remaining 1% being a mix of birch, poplar, aspen and willow.

There are 1,870 plant species in the KASE with 13 plants registered in the Red Book of Kazakhstan (*Paeonia hybrida*, *Adonis vernalis*, *Rhodiola rosea*, *Rheum altaicum*, *Daphne altaica*, *Macropodium nivale*, *Iris ludwigii*, *Erythronium sibiricum*, *Rhaponticum cartamoides*, *Mertensia popovii*, *Echinops saissanicus*, *Pyrethrum kelleri*, *Tulipa heteropetala*). Five species are listed in the Red Book of the Russian Federation (*Paeonia hybrida*, *Rheum altaicum*, *Daphne altaica*, *Iris ludwigii*, and *Erythronium sibiricus*). Forty plants are currently experiencing sharp declines in their populations. The flora also includes 410 herbs. Most of them are used in traditional medicine, and nearly 50 are used by the

pharmaceutical industry. Among the most valuable herbs are: *Rhodiola rosea*, *Bergenia crassifolia*, *Zygophyllum fabago*, *Euphorbia pilosa*, *Hypericum perforatum*, *Viola rupestris*, *Chamaerion angustifolium*, and *Bupleurum multinerva*.

The mammals registered in the Red Book of Kazakhstan include the snow leopard that inhabits the high-altitude mountains, and the stone marten and Altai argali that are found in the Southern Altai. The red wolf also occasionally visits the area. The grey mouse is an endemic species found in the high and mid-altitude mountains. Of the avifauna, 206 species nest in the region, 28 species migrate through it, 26 species are visitors, 10 species are found only in the winter, while 13 other species use the area as summer habitat. Rare birds that usually nest in the area include the Black stork, Golden eagle, Peregrine falcon, Eagle owl, Demoiselle crane, scoter, osprey, erne, and Altai ular. Other rare species that occasionally nest in the area include the Whooper swan, Bearded vulture, pelican, spoonbill, Hawk eagle, Egyptian vulture, Black crane, and Little bustard. Two more rare species, the Dwarf eagle and Great black-headed gull, are summer visitors. Three amphibian species are found in the PT, with the Green toad being rare for the region and found only in the area of Rakhmanovskiye Klyuchi. Three rare snake species are found in the southern parts of the PT, including the Kazakhstan Red Book listed *Coluber spinalis* or Slender racer. Mountain rivers are home for loach, Siberian spine-backed loach, bullhead, minnow and gudgeon. Burbot is occasionally found while the Irtysh basin's fish – ruff, perch, pike, sazan, bream and roach - inhabit the Bukhtarma River on a seasonal basis. Yazevoye Lake is a habitat for ide, while crucian inhabits lakes in the Bukhtarma area. An endemic sub-species of umber, and gudgeon and loach are found in Markakol Lake.

Natural monuments of international and national significance are also found in the area. These include Belukha Mountain (East Peak), the Kokkol Waterfall, and the high altitude Markakol Lake. The PT also includes historical and cultural monuments of global significance. These are the Berelskiye Excavations (analogous to the Pazyryk Burial Mound), the Kokkol Mining Site, and the Northern Branch of the Great Silk Way. Two tourism and recreation zones are located within the PT: the Northeast –Belukha and the Eastern – Markakol zones.

#### KASE Protected areas

Kazakhstan's PAs in the KASE are mainly located along the national border, adjacent to the Russian PAs (Katunsky Biosphere Reserve, Belukha National Park, the Ukok Quiet Zone, and Shavlinsky Game Reserve), and the Khanassi Reserve in China. The common border and large territory of the Altai PAs is conducive to protecting natural areas of global significance – the Belukha Mountains in southwest of the Altai-Sayan ecoregion (across the Russian-Kazakhstani border) and Tabyn Bogdo Oul (Mongolia-Russia). Two important strict state reserves or zapovedniks—the Western Altai Zapovednik (Zapadno-Altayskiy, 56.1 thousand ha) and Markokolskiy Zapovednik are located on the territory of the KASE. These zapovedniks occupy 11.8% of the total area of the Kazakhstani Altai. There is also one national park, the Katon-Karagayskiy National Park and two sanctuaries/wildlife reserves (zakazniks), the Rakhmanovskiye Klyuchi and Nizhne-Turgusunskiye Game Reserves. The combined area of the above PAs accounts for 12.5% (7,462.77 sq.km) of the Kazakhstani part of Altai-Sayan ecoregion. These areas include important habitats for fauna that range throughout the Altai-Sayan ecoregion and thus must be managed cooperatively across national borders at the scale of the ecoregion.

**Table 2. Protected areas of the KASE**

PA name	Type	Size (ha)	Main ecosystems	Date of proclamation
Zapadno-Altayskiy	Zapovednik	56,100	Mountain taiga forests	1992
Markokolskiy Zapovednik	Zapovednik	75,040	High-mountain lake and rivers	1976
Katon-	National	643,477	Mountain steppe; taiga,	2001

Karagayskiy	Park		rivers	
Rakhmanovskiye Klyuchi	Botanic and geological Zakaznik	109,100 (part of above Katon-Karagayskiy National Park)	Mountain steppe; taiga, high-mountain lake and rivers	2001
Nizhne-Turgusunskiye	Botanic Zakaznik	2,200	Mountain and piedmont ecosystems; Unique plant species	2001
<b>Total</b>		885,917		

Three PAs are selected as demonstration sites for the project: Katon-Karagayskiy National Park Markakolskiy State Reserve (MSR), and the Rakhmanovskiye Klyuchi zakaznik, which is within the Katon-Karagayskiy National Park. There are also a number of other areas that are important from a biodiversity preservation perspective but that do not yet have the status of a protected area. This project targets one strict state reserve or zapovednik (Markakolskiy) and one national park (Katon-Karagayskiy). The botanical-geographical zakaznik (Rakhmanovskiye Klyuchi) is located within the Katon-Karagayskiy National Park.

Katon-Karagayskiy National Park KKNP, situated in the north-eastern part of the KASE was established in 2001 and occupies 643,477 hectares. The botanical-geological reserve ‘Rakhmanovskiye Klyuchi’ is located within KKNP and occupies 109,100 hectares. KKNP landscape zones range from mountainous steppe basins to mountainous taiga and high-altitude mountains (e.g. Belukha Mountain, 4,506 m). The park’s fauna is representative of the regional faunal complement. KKNP’s fauna includes 6 species of fish (out of 21 species populating regional water bodies or 28.5%), 276 species of birds (out of 288 or 95.5%), and 68 species of mammals (out of 74 or 92%). The park is of special importance as a habitat of rare and endangered species, including the snow leopard, Altai ular, and scoter. Ten rare animal species are found in the park. In addition, six species of birds that are registered in the Kazakhstani Red Book are visitors of the park.

Markakolskiy State Reserve (MSR) is located in the central part of the KASE. It was created in 1976 and its total area is 75,040 hectares. Upper Markakol Lake takes up 61% of the reserve’s total area. The land base includes the northern slope of the Azytau Mountain Range, the shores of the Topolevka River, and part of the Kurchumsky Mountain Range. A two-kilometre buffer zone surrounds the reserve. The reserve is important for the conservation of Southern Altai vertebrates. The MSR’s fauna includes 6 species of fish (out of 21 species populating regional water bodies), with four endemic sub-species, 255 species of birds (out of 288), and 58 species of mammals (80.5% of the complement) as well as two species of amphibians (66.6%) and four species of reptiles (66.6%). The reserve is the only area in Kazakhstan where osprey nest. Other rare bird species of the reserve include erne, stork, crane, and Eagle owl. Many other bird species visit in the summer and many species of waterfowl nest there as well. Due to the fact that MSR occupies only a part of the watershed basin wherein it is located, various species enjoy different protection levels. Several rare species, such as musk deer and Brandt bat, move beyond the reserve’s borders where they receive no protection. Ungulates – elk, maral, and roe deer – inhabit the reserve only in the summer. In the winter months they migrate 30 to 100 km. to the south-east of the reserve to the southern slopes of the mountain ranges surrounding the basin.

#### Additional key territories

The PDF B phase established that other areas important for the conservation of globally and nationally significant species are located beyond the borders of existing PAs and presently enjoy no protection. Such areas include spawning rivers, amphibian and reptile habitats, nesting areas of rare birds (Black stork, osprey, Golden eagle, erne, Demoiselle crane, and Eagle owl), as well as winter and summer habitats and migration routes of rare mammals (snow leopard, Altai argali, and stone marten). The above also applies to habitats of rare plant species of scientific and practical importance. In total, 5

such territories totaling 2,241 km<sup>2</sup> have been identified as being in need of PA designation (please see Annex 1B). The project will support their designation as PAs



**Additional Key Territories to be Included Through the Project**

<b>Name</b>	<b>Primary Purpose</b>	<b>Important Species</b>	<b>Area (sq. km.)</b>	<b>To be protected by</b>
Berkutaul	Protection of snow leopard (numbers uncertain), Siberian mountain goat (approximately 100 individuals), Altai ular and golden eagle	Eagle owl, musk deer, maral, roe deer, sable, squirrel, marmot	760.7	KKNP
Kaldzhir	Protection of wintering and calving grounds and summer pastures of Markakol ungulate populations; habitat of stone marten, bear, long-tailed ground squirrel, grey hamster, river otter, mink, golden eagle, white-tailed sea eagle, black stork, osprey numerous sandpipers and water birds, and spawning sites of large population of grayling	Bear, roe deer	187.0	MSR
Bas Terekty	Protection of stone marten permanent habitat and rare plants	Bear, roe deer	121.0	MSR
Kabinskyi	Protection of ungulate wintering grounds: maral (120-150 individuals), roe deer (70-80), elk (20-25)	Bear	649.1	MSR
Kyzyltas	Protection of year round habitat of Argali sheep (20+ individuals), stone marten, golden eagle nesting sites, rare snakes, taimen, and rare species of camomile and heterophyllous poplar	Elk, maral, roe deer, wild boar, bear	3.3	MSR

**PART VI a: Rare and Endangered vertebrates of the KASE**

SPECIES	KAZAKHSTAN RED BOOK	IUCN RED BOOK	RARITY
<b>Class – Osteichthyes</b>			
<i>Hucho taimen</i> - Taimen Trout	+		2
<b>Class – Reptilia</b>			
<i>Coluber spinalis</i> - Slender Racer	+		4
<b>Class – Aves</b>			
<i>Pelecanus onocrotalus</i> - Eastern White Pelican	+		2
<i>Platalea leucorodia</i> – Eurasian Spoonbill	+		2
<i>Ciconia nigra</i> - Black Stork	+		3
<i>Cygnus cygnus</i> - Whooper Swan	+		2
<i>Aythya nyroca</i> - Ferruginous Pochard (Duck)	+		2
<i>Melanitta deglandi</i> - Velvet Scoter	+		2
<i>Pandion haliaetus</i> - Osprey	+		1
<i>Haliaeetus leucoryphus</i> - Pallas Sea Eagle	+		
<i>Haliaeetus albicilla</i> - White-tailed Sea Eagle	+	+	
<i>Hieraaetus pennatus</i> - Booted Eagle	+		3
<i>Aquila rapax</i> - Steppe Eagle	+		2
<i>Aquila heliaca</i> - Imperial Eagle	+	+	3
<i>Aquila chrysaetus</i> - Golden Eagle	+		2
<i>Neophron percnopterus</i> - Egyptian Vulture	+		3
<i>Gypaetus barbatus</i> – Bearded Vulture	+		3
<i>Falco cherrug</i> - Saker Falcon	+		2
<i>Falco peregrinus</i> - Peregrine Falcon	+		1
<i>Tetraogallus altaicus</i> - Altaian Snowcock	+		2
<i>Grus grus</i> - Common Crane	+		3
<i>Grus monacha</i> - Hooded Crane	+	+	3
<i>Anthropoides virgo</i> - Demoiselle Grane	+		5
<i>Tetrax tetrax</i> - Little Bustard	+		1
<i>Larus ichthyaetus</i> - Great Black-headed Gull	+		2
<i>Syrrhaptes paradoxus</i> - Pallas Sand Grouse	+		4
<b>Class – Mammalia</b>			
<i>Cuon alpinus</i> - Red Wolf	+	+	0
<i>Martens foina</i> - Stone Marten	+		3
<i>Uncia uncia</i> - Snow Leopard	+	+	3
<i>Ovis ammon</i> - Altai Argali	+		1
<u>Rarity status:</u> (Category of rarity in Kazakhstani Red Book) 0 -Extirpated, or occasional appearance from adjacent territories 1- Endangered 2 - Rare and decreasing in numbers, or restricted distribution 3 - Rare with stable or decreasing in numbers, with wide or mosaic distribution 4 - Rare, poorly studied or relict 5 - Increasing in numbers			

**Part VI b: Flowering Plants listed in the Red Book**

<b>SPECIES</b>	<b>KAZAKHSTAN RED BOOK</b>	<b>RUSSIAN FEDERATION RED BOOK</b>
<i>Paeonia hybrida</i>	+	+
<i>Adonis vernalis</i>	+	
<i>Rhodiola rosea</i>	+	
<i>Rheum altaicum</i>	+	+
<i>Daphne altaica</i>	+	+
<i>Macropodium nivale</i>	+	
<i>Iris ludwigii</i>	+	+
<i>Erythronium sibiricum</i>	+	+
<i>Rhaponticum cartamoides</i>	+	
<i>Mertensia popovii</i>	+	
<i>Echinops saissanicus</i>	+	
<i>Pyrethrum kelleri</i>	+	
<i>Tulipa heteropetala</i>	+	

**Part VI c: Plant Species of the KASE Experiencing Sharp Reductions in Their Populations**

*Botrychium lunaria* (L.) Sw.  
*Dryopteris austriace* (Jacq.)  
*Dryopteris filix-mas* (L.) Schott.  
*Thelypteris palustris* Schott.  
*Asplenium ruta-murarie* L.  
*Juniperus pseudosabina* Fish. et Mey.  
*Stipa krylovii* Roshev.  
*Stipa glareosa* P. Smirn.  
*Alopecurus alpinus* Smith.  
*Poa vereschaginii* Tzvel.  
*Festuca kurtschumica* E. Alexeev.  
*Acorus calamus* L.  
*Allium ramosum* L.  
*Allium obliquum* L.  
*Ixiolirion tataricum* (Pall.) Roem. et Schult.  
*Populus canescans* (Ait.) Smith.  
*Paeonia anomala* L.  
*Trollius lilacinus* Bunge.  
*Adonis apennina* L.  
*Adonis villosa* Ledeb.  
*Coridalis pauciflora* (Steph.)  
*Rhodiola algida* (Ledeb.) Fisch. et Mey.  
*Rhodiola quadrifida* (Pall.) Fisch. et Mey.  
*Hulthemia berberifolia* (Pall.) Dumort.  
*Rhamnus cathartica* L.  
*Hippophœe thamnoides* L.  
*Flasagnus oxycarpa* Schlecht.  
*Primula corthusoides* L.  
*Primula pallasii* Lehm.  
*Cortusa altaica* Losinsk.  
*Menyanthes trifoliata* L.  
*Convolvulus gortschakovii* Schrenk.  
*Convolvulus fruticosus* Pall.  
*Scutellaria grandiflora* Sims.  
*Lonicera stensntha* Pojark.  
*Dipsacoides* (Kar. et Kir.) Botsch.

**Part VII: Threats, Root Causes and Solutions Matrix**

(The threats to the PAs in the Project Territory are mirrored at the national level in other PAs throughout the NPAS)

<b>IMPACT:</b> Loss, fragmentation and degradation of valuable habitats in PAs, especially in montane forests, due to: fires primarily of human origin, destructive forestry operations and illegal logging, unorganized and uncontrolled tourism and recreation, construction of infrastructure that does not meet regulations.				
<b>Biological Impact</b>	<b>Root Cause</b>	<b>Management Challenge/Barrier</b>	<b>Barrier removal strategy/Demonstration</b>	<b>Baseline Activities</b>
<b>Threat: Destructive forestry operations and illegal logging in areas important for biodiversity:</b> during the last 12 years, the forested area of East Kazakhstan Oblast has been reduced by more than 100,000 hectares, mainly, at the expense of the most valuable tree species – pine, silver fir, fir and larch. . In KKNP, 22,000 cubic meters of wood are allowed to be cut under permits but upwards of 80,000 cubic meters are cut under the pretense of sanitary cutting. Invariably, the best or most valuable trees are logged whereas the permits are for cutting less valuable species.				
<p>Decrease in habitat contiguity affects species requiring large areas of undisturbed habitat</p> <p>Loss of vegetation cover – the forested area of the EKO reduced by 100,000 ha over the last 12 years, mainly at the expense of valuable tree species(pine, silver fir, fir and larch)</p> <p>Exposure of soils leading to increased erosion potential.</p>	<p>Major logging areas handed over to small private timber enterprises that set quick profits as a priority and exhibit severe violations in their forestry operations.</p> <p>Low levels of compliance and weak enforcement capacity: existing enforcement agencies have limited or no on-the-ground presence in many areas</p> <p>Risks of interception and successful prosecution for illegal practices are perceived to be low.</p> <p>No local capacity (staff, resources and equipment) to undertake patrols</p> <p>Important habitats in project territory are not included in PAs and not protected thereby compromising the conservation effectiveness of existing PAs</p> <p>Rural poverty leading to the undertaking of illegal activities to</p>	<p><u>Conflicting policy framework</u> The law provides for very low penalties for poaching and the prosecution and conviction process is not adequate, serving as disincentive for promoting stricter enforcement.</p> <p>Forestry legislation permits the ‘cutting down of all trees in forest areas affected by fire for sanitary purposes’</p> <p><u>Inadequate institutional capacity</u> There is little cooperation between the bodies reporting to Akimats and sub-structures of the MEP and the MoA, and no coordinated implementation policy exists in the area of biodiversity conservation.</p> <p>Mandated institutions have not established appropriate performance standards against which their activities are measured and publicly reported</p> <p>The enforcement capacity if very</p>	<p>Output 3.1. Essential enabling legislative and regulatory reforms are promoted.</p> <p>Output 3.2. Oblast Akimat PA Advisory Councils established to improve coordination between agencies.</p> <p>Output 1.2. Organizational structures, staffing standards and performance accountability are improved</p> <p>Output 1.3. Operational capacity of PA is enhanced</p>	<p>No comprehensive assessment of the condition of the forests exist, no monitoring of forest ecosystems;</p> <p>Outdated information on forests still serves as the basis for the allocation of allowable cut volumes;</p> <p>Government funds for supporting essential PA management and operations functions, although somewhat improved over the past two years, would continue to be inadequate</p> <p>Each PA now has an annual workplan that, however, does not meet international requirements</p> <p>KKNP conducts sanitary clearing without attracting outsiders, which in the end eliminates participation of individuals and firms</p>

	generate income for subsistence	<p>weak: staff is not properly trained</p> <p><u>Information deficiencies</u> Quotas and limits are not based upon good information</p> <p><u>Negative cost/benefit calculus imposed by conservation on communities</u> Protected Areas impose a burden on the communities, as a result of loss of access to natural resources. Communities don't see the benefits associated with the protected areas.</p> <p><u>Incomplete PA Coverage</u> Existing PA boundaries do not include important habitats in their periphery</p> <p>Many important habitats and locations of globally significant species fall outside of existing PAs</p>	<p>(capacity building for enforcement, equipment, infrastructure)</p> <p>Output 1.4. Biodiversity information in protected areas is improved</p> <p>Output 4.1. Sustainable alternative livelihoods options are facilitated through demonstration projects</p> <p>Output 4.2. Ecology and guide/ranger training camps for children and youth</p> <p>Output 4.3. Local NGOs are supported to increase awareness of the values of BD in KASE</p> <p>Output 4.4. Local Communities Conservation Councils are established</p> <p>Output 1.1. New protected areas established and boundaries of existent ones are adjusted to improve their effectiveness in maintaining the ecological integrity.</p>	Markakol Zapovednik controls that logging is not organized within the PA and buffer zone boundaries
<b>Threat: Uncontrolled fires:</b> The fire intensity and frequency increased in the past years, with 700,000 cubic metres of wood burned on 60,000 hectares between 1997 and 2003.				
Loss of vegetation cover Change in species composition and	Traditional practices of subsistence agriculture – local people burning meadows to improve pastures	<u>Inadequate institutional capacity</u> Limited fire control capacity of PAs, state agencies, PAs and local communities;	Output 1.3. Operational capacity of PA is enhanced (capacity building for enforcement, equipment,	Some PAs are now equipped with fire machines and jeeps for fire control

diversity Direct loss of wildlife	Increasing number of people illegally using PAs for recreation	Mandated institutions have not established appropriate performance standards against which their activities are measured and publicly reported	infrastructure) Output 1.2. Organizational structures, staffing standards and performance accountability are improved  Output 4.4. Local Communities Conservation Councils are established to engage the direct involvement of local communities in protected area management.	In summer months, in addition to fire-fighting units, PAs hire community members to help with fire control  Government funds for supporting essential PA management and operations functions, although somewhat improved over the past two years, would continue to be inadequate.
<b>Threat: Tourism and recreation:</b> Previously established tourism routes in the PAs in KASE have long lost their attractiveness and natural values and so visitors often go into undisturbed areas where they establish camps, collect medicinal herbs, destroy vegetation, start fires, fish, and poach wildlife.				
Loss of vegetation cover due to trampling  Disturbance of wildlife at critical periods in life cycle  Inappropriate siting of infrastructure development –  Encroachment into valuable habitats  Direct loss of habitats	Tourism growth has outpaced visitor management capacity;  No incentives for PA to work with tourism operators: PA administrations are presently prohibited from retaining any generated revenues and any revenues should be returned to the state.  Tourists unaware of their impacts on biodiversity	<u>Systemic Capacity</u> Existent legal framework does not allow PA Agencies to engage in entrepreneurial activities.  <u>Institutional capacity</u> There is no capacity to control access of tourists.  There is a general lack of capacity in dealing with tourism: current staff is not qualified in working with tourists and visitor management; the infrastructure for tourism is inadequate; there are no programs aiming at increasing awareness of tourists on biodiversity.  <u>Incomplete PA Coverage</u> Existing PA boundaries do not include important habitats in their	<u>Outcome 3: Enabling Environment for Strengthening the NPAS is created</u>  Output 3.1. Essential enabling legislative and regulatory reforms are harmonized and adopted  Output 1.3. Operational capacity of PA is enhanced (capacity building for enforcement, equipment, infrastructure)  Output 2.1. Project Communication Strategy  Output 2.2. Biodiversity Awareness program  Output 2.3. Visitor/Community Information centers are established in selected PA areas.	The Government of Kazakhstan has recently begun promoting tourism development through a national program. The EKO was identified as one of four priority tourism development regions in the country. Tourism operations are essentially in the domain of the private sector. Since Thus, links between tourists and PAs are underdeveloped. This situation is further exacerbated by the lack of qualified PA staff for working with and educating tourists and, understandably, by the lack of appropriate infrastructure.

		<p>periphery Many important habitats and locations of globally significant species fall outside of existing PAs</p>	<p>Output 1.1. New protected areas established and boundaries of existent ones are adjusted to improve their effectiveness in maintaining the ecological integrity.</p>	
<p><b>Impact:</b> Direct loss of biodiversity in PAs and buffer zones through poaching and trade in endangered species, and the over-exploitation of NTFPs</p>				
<p><b>Threat: Poaching, overexploitation of NTFPs, illegal trade in endangered species:</b> It has been estimated that 70 percent of the endangered species trade to Europe from Asia now passes through Central Asia. The situation is particularly critical for snow leopard and Argali sheep. It is estimated that there are 12-15 snow leopard in the project area, and 3-5 are lost to poachers annually. Over the past 20 years, the population of Argali sheep has been reduced from 60 to 20 individuals.</p>				
<p>Intra- and inter-specific impacts resulting from the selective removal of animals from the ecosystem</p> <p>Decrease in populations of rare and threatened species (e.g. taimen 50 – 100 fish caught/year);</p> <p>Changes in community structures due to selective pressure on selected species</p>	<p>Poachers consider the benefits to be gained from poaching and illegal harvesting greater than the risks of being caught and prosecuted.</p> <p>Risks of interception and successful prosecution for illegal practices are perceived to be low.</p> <p>Existence of a lucrative international market for rare and threatened species</p> <p>Low levels of compliance and weak enforcement capacity: existing enforcement agencies have limited or no on-the-ground presence in many areas</p> <p>Strong livelihood dependence of proximate local communities on forest products, in the absence of viable cost-effective alternatives</p>	<p><u>Systemic capacity:</u> The official penalties for poaching are very low and the prosecution and conviction process is not adequate, serving as disincentive for promoting stricter enforcement.</p> <p>Protected Area Code doesn't provide for the involvement of the local communities in decision-making.</p> <p>The law on Protection, Reproduction and Use of Wildlife is outdated and required revisions to make it consistent with international conventions and to strengthen transboundary cooperation for conservation of migratory, rare and endangered species.</p> <p><u>Institutional capacity:</u> Protected Area agencies in KASE lack the adequate capacity (staff, resources and equipment) to undertake patrols.</p>	<p>Output 3.1. Essential enabling regulatory and policy reforms harmonized and adopted.</p> <p>Output 3.2. Oblast Akimat Protected Area Advisory Council Established</p> <p>Output 3.3. Transboundary collaboration agreements and conservation programs are formulated and implemented.</p> <p>Output 1.2. Organizational structures, staffing standards and performance accountability are improved</p> <p>Output 1.3. Operational capacity of PA is enhanced</p>	<p><u>Alternative livelihoods</u> Local communities would largely remain uninvolved in PA management and existing conflicts between PAs and local populations will continue to increase</p> <p>GEF/SGP supports five community based project in the Project territory that aim at awareness raising, biodiversity conservation and alternative livelihoods</p> <p>Several farmer organizations in the Project Territory target natural tourism and perform sanitary clearing and fire control measures</p> <p>A pilot training camp of rangers organized and operated in the Kazakhstani part of the A-S Eco-Region</p> <p>Central Asian Regional Environmental Center</p>



		<p><u>Information deficiencies</u> The basic research, stock assessments and monitoring required to guide sustainable and equitable resource use of the MPAs is uncoordinated and fragmented.</p> <p><u>Negative cost/benefit calculus imposed by conservation on communities</u> Protected Areas impose a burden on the communities, as a result of loss of access to natural resources. Communities don't see the benefits associated with the protected areas.</p> <p><u>Incomplete PA Coverage</u> Existing PA boundaries do not include important habitats in their periphery</p> <p>Many important habitats and locations of globally significant species fall outside of existing PAs</p>	<p>(capacity building for enforcement, equipment, infrastructure)</p> <p>Output 1.4. Biodiversity information in protected areas is improved</p> <p>Output 4.1. Sustainable alternative livelihoods options are facilitated through demonstration projects</p> <p>Output 4.2. Ecology and guide/ranger training camps for children and youth</p> <p>Output 4.3. Local NGOs are supported to increase awareness of the values of BD in KASE</p> <p>Output 4.4. Local Communities Conservation Councils are established</p> <p>Output 1.1. New protected areas established and boundaries of existent ones are adjusted to improve their effectiveness in maintaining the ecological integrity.</p>	<p>(CAREC) implements a project that assists with creation of Community Councils in Kazakhstan that among other issues will discuss biodiversity conservation issues and interactions with PAs administration</p> <p>Low biodiversity awareness of customs personnel</p> <p>Territory zoning is not completed in the KKNP, which allows for illegal commercial use of timber and non-timber forest products</p> <p>Kazakhstan doesn't have a list of plant species included in CITES. This allows for plant species to be exported and over-exploited</p> <p>Annually, Akimats issue by-laws that regulate period of hunting and fishing, distribution of licences, quotas for fishing and hunting</p>
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## Part VIII: Monitoring and Evaluation Plan and Budget

### Indicative Monitoring and Evaluation Work plan and corresponding budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team Staff time</i>	Time frame
Inception Workshop	<ul style="list-style-type: none"> <li>▪ Project Coordinator</li> <li>▪ UNDP CO</li> <li>▪ UNDP GEF</li> </ul>	5,000	Within first two months of project start up
Inception Report	<ul style="list-style-type: none"> <li>▪ Project Team</li> <li>▪ UNDP CO</li> </ul>	None	Immediately following IW
Conduct METT	<ul style="list-style-type: none"> <li>▪ Project team</li> </ul>	None	Mid-term and end
PIR	<ul style="list-style-type: none"> <li>▪ Project Team</li> <li>▪ UNDP-CO</li> <li>▪ UNDP-GEF</li> </ul>	None	Annually
TPR and TPR report	<ul style="list-style-type: none"> <li>▪ Government Counterparts</li> <li>▪ UNDP CO</li> <li>▪ Project team</li> <li>▪ UNDP-GEF Regional Coordinating Unit</li> </ul>	None	Every year, upon receipt of APR
Steering Committee Meetings	<ul style="list-style-type: none"> <li>▪ Project Coordinator</li> <li>▪ UNDP CO</li> </ul>	None	Following Project IW and subsequently at least once a year
Periodic status reports	<ul style="list-style-type: none"> <li>▪ Project team</li> </ul>	None	To be determined by Project team and UNDP CO
Technical reports	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ Hired consultants as needed</li> </ul>	10,000	To be determined by Project Team and UNDP-CO
Mid-term External Evaluation	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP- CO</li> <li>▪ UNDP-GEF Regional Coordinating Unit</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	50,000	At the mid-point of project implementation.
Final External Evaluation	<ul style="list-style-type: none"> <li>▪ Project team,</li> <li>▪ UNDP-CO</li> <li>▪ UNDP-GEF Regional Coordinating Unit</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	60,000	At the end of project implementation
Terminal Report	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP-CO</li> <li>▪ External Consultant</li> </ul>	None	At least one month before the end of the project
Lessons learned	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP-GEF Regional Coordinating Unit</li> </ul>	5,000	Yearly
Audit	<ul style="list-style-type: none"> <li>▪ UNDP-CO</li> <li>▪ Project team</li> </ul>	5,000	Yearly
Visits to field sites (UNDP staff travel costs to be charged to IA fees)	<ul style="list-style-type: none"> <li>▪ UNDP Country Office</li> <li>▪ UNDP-GEF Regional Coordinating Unit (as appropriate)</li> <li>▪ Government representatives</li> </ul>	10,000 (average one visit per year)	Yearly

TOTAL INDICATIVE COST <i>Excluding project team staff time and UNDP staff and travel expenses</i>	US\$ 145,000	
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Part IX: Map of the project area

Geographical map of  
Altai-Sayan ecoregion



**Part X: Tracking Tool for GEF Biodiversity Focal Area Strategic Priority One:  
Catalyzing Sustainability of Protected Area Systems**

**Section One: Project General Information**

1. Project name: Conservation and Sustainable Use on Biodiversity in the Kazakhstani Sector of the Altai – Sayan Ecoregion  
 2. Project Type: FSP  
 3. Project ID (GEF): 2836  
 4. Project ID (IA): 2898  
 5. Implementing Agency: UNDP  
 6. Country (ies): Kazakhstan

Name of the reviewers completing Tracking Tool and Completion dates:

	<b>Name</b>	<b>Title</b>	<b>Agency</b>
<b>Work Program Inclusion</b>	Natalya Panchenko	Program Officer	UNDP
<b>Project Mid-term</b>			
<b>Final Evaluation/project completion</b>			

7. Project duration: *Planned* \_ 5 \_\_\_ years *Actual* \_\_\_\_\_ years

8. Lead Project Executing Agency (ies): Ministry of Agriculture, Forestry and Hunting Committee

9. GEF Operational Program:
- drylands (OP 1)
  - coastal, marine, freshwater (OP 2)
  - forests (OP 3)
  - mountains (OP 4)
  - agro-biodiversity (OP 13)
  - integrated ecosystem management (OP 12)
  - sustainable land management (OP 15)

Other Operational Program not listed above: \_\_\_\_\_

10. Project Coverage in hectares

Please complete the table below.

<b>Targets and Timeframe Project Coverage</b>	<b>Foreseen at project start</b>	<b>Achievement at Mid-term Evaluation of Project</b>	<b>Achievement at Final Evaluation of Project</b>
<b>Extent in hectares of protected areas targeted by the project</b>	718,517 ha		

Name of Protected Area	Is this a new protected area? Please answer yes or no.	Area in Hectares	Global designation or priority lists (E.g., Biosphere Reserve, World Heritage site, Ramsar site, WWF Global 200, , etc.)	Local Designation of Protected Area (E.g, indigenous reserve, private reserve, etc.)	IUCN Category for each Protected Area <sup>4</sup>					
					I	II	III	IV	V	VI
Katon-Karagaiskyi National Park	No	643,477 ha	WWF Global 200	National Park		X				
Markakolskyi State Reserve (Zapovednik)	No	75,040 ha	WWF Global 200	Zapovednik	X					

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- I. Strict Nature Reserve/Wilderness Area: managed mainly for science or wilderness protection
- II. National Park: managed mainly for ecosystem protection and recreation
- III. Natural Monument: managed mainly for conservation of specific natural features
- IV. Habitat/Species Management Area: managed mainly for conservation through management intervention
- V. Protected Landscape/Seascape: managed mainly for landscape/seascape protection and recreation
- VI. Managed Resource Protected Area: managed mainly for the sustainable use of natural ecosystems

Section Two: World Bank/WWF Site-Level Management Effectiveness Tracking Tool for Protected Areas

**Reporting Progress in Protected Areas: Data Sheet**

Name of protected area	Katon-Karagaisky National Park		
Location of protected area (country and if possible map reference)	East Kazakhstan Oblast, Republic of Kazakhstan; on borders of Kazakhstan, Russia and China		
Date of establishment (distinguish between agreed and gazetted*)	Agreed 17 July 2001	Gazetted	
Ownership details (i.e. owner, tenure rights etc)	Republic of Kazakhstan, state owned		
Management Authority	Forestry, Fisheries and Hunting Committee, Ministry of Agriculture, Republic of Kazakhstan		
Size of protected area (ha)	643,477 ha.		
Number of staff	Permanent 356	Temporary 67	
Budget	2002 - US\$ 192,200; 2004 - US\$ 583,000; 2005 – US\$ 737,000		
Designations (IUCN category, World Heritage, Ramsar etc)	IUCN Category II; in 2003 received certificate of “Gift to the Earth” from Kazakhstan under WWF “Living Planet” programme.		
Reasons for designation	Established to protect mountain forest of southern Altai, biodiversity, natural and cultural monuments, aquatic resources. Included in the Kazakhstani part of the global 200 ecoregions – the Altai-Sayan ecoregion.		
Brief details of GEF funded project or projects in PA	The objective of the project is to enhance the sustainability and conservation effectiveness of Kazakhstan’s National PA system through demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion		
Brief details of other relevant projects in PA	WWF: Preparation of necessary background documentation for the park’s establishment in 2000.		
List the two primary protected area objectives			
Objective 1	Protection of the mountain forests of the Altai-Sayan ecoregion		
Objective 2	Development of environmental education, research and ecotourism activities		
List the top two most important threats to the PA (and indicate reasons why these were chosen)			
Threat 1	Forest fires and low capacity of park staff to prevent and combat fires		
Threat 2	Escalation of unorganized mass tourism with accompanying degradation of ecosystems and pressure from local population in pursuing economic activities		
List top two critical management activities			
Activity 1	Engage researchers to conduct research in park and provide staff for assistance and they obtain training in the process (e.g. fishery populations)		
Activity 2	Prepared tourist trails, established fire pits, demarcated park boundaries, clean up of roads to improve access for fire fighting, construct tourism homes, repair wooden bridges etc.		

**Date assessment carried out:** April 2005

**Name/s of assessor:** Iskandar Mirhashimov; Yevgeny Yurchenkov

- Or formally established in the case of private protected areas

Issue	Criteria	Score	Comments	Next steps
1. Legal status  Does the protected area have legal status?  <i>Context</i>	The protected area is not gazetted			
	The government has agreed that the protected area should be gazetted but the process has not yet begun			
	The protected area is in the process of being gazetted but the process is still incomplete	2		
	The protected area has been legally gazetted (or in the case of private reserves is owned by a trust or similar)			
2. Protected area regulations  Are inappropriate land uses and activities (e.g. poaching) controlled?  <i>Context</i>	There are no mechanisms for controlling inappropriate land use and activities in the protected area			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively	1		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented			
3. Law enforcement  Can staff enforce protected area rules well enough?  <i>Context</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations			
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget)			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations			
4. Protected area objectives  Have objectives been agreed?  <i>Planning</i>	No firm objectives have been agreed for the protected area			
	The protected area has agreed objectives, but is not managed according to these objectives			
	The protected area has agreed objectives, but these are only partially implemented	2		
	The protected area has agreed objectives and is managed to meet these objectives			
5. Protected area design	Inadequacies in design mean achieving the protected areas major management objectives of the protected area is impossible			



Issue	Criteria	Score	Comments	Next steps
Does the protected area need enlarging, corridors etc to meet its objectives? <i>Planning</i>	Inadequacies in design mean that achievement of major objectives are constrained to some extent			
	Design is not significantly constraining achievement of major objectives, but could be improved	2		
	Reserve design features are particularly aiding achievement of major objectives of the protected area			
6. Protected area boundary demarcation  Is the boundary known and demarcated?  <i>Context</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users			
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated	2		
	The boundary of the protected area is known by the management authority and local residents and is appropriately demarcated			
7. Management plan  Is there a management plan and is it being implemented?  <i>Planning</i>	There is no management plan for the protected area	0	Concise annual work plan prepared.	
	A management plan is being prepared or has been prepared but is not being implemented			
	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems			
	An approved management plan exists and is being implemented			
Additional points  <i>Planning</i>	The planning process allows adequate opportunity for key stakeholders to influence the management plan			
	There is an established schedule and process for periodic review and updating of the management plan			
	The results of monitoring, research and evaluation are routinely incorporated into planning			
8. Regular work plan  Is there an annual work plan?  <i>Planning/Outputs</i>	No regular work plan exists			
	A regular work plan exists but activities are not monitored against the plan's targets			
	A regular work plan exists and actions are monitored against the plan's targets, but many activities are not completed			
	A regular work plan exists, actions are monitored against the plan's targets and most or all prescribed activities are completed	3		
9. Resource inventory	There is little or no information available on the critical habitats, species and cultural values of the protected area			

Issue	Criteria	Score	Comments	Next steps
Do you have enough information to manage the area?  <i>Context</i>	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making	1		
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained			
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being maintained			
10. Research Is there a programme of management-orientated survey and research work?  <i>Inputs</i>	There is no survey or research work taking place in the protected area			
	There is some <i>ad hoc</i> survey and research work			
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs			
11. Resource management  Is the protected area adequately managed (e.g. for fire, invasive species, poaching)?  <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed			
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being addressed			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed	2		
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully addressed			
12. Staff numbers  Are there enough people employed to manage the protected area?  <i>Inputs</i>	There are no staff			
	Staff numbers are inadequate for critical management activities			
	Staff numbers are below optimum level for critical management activities			
	Staff numbers are adequate for the management needs of the site	3		
13. Personnel management  Are the staff managed well enough?	Problems with personnel management constrain the achievement of major management objectives			
	Problems with personnel management partially constrain the achievement of major management objectives	1		
	Personnel management is adequate to the achievement of major management objectives but could be improved			

Issue	Criteria	Score	Comments	Next steps
<i>Process</i>	Personnel management is excellent and aids the achievement major management objectives			
14. Staff training	Staff are untrained		Weak professional backgrounds for staff of all sections	
Is there enough training for staff?	Staff training and skills are low relative to the needs of the protected area	1		
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management			
	Staff training and skills are in tune with the management needs of the protected area, and with anticipated future needs			
<i>Inputs/Process</i>				
15. Current budget	There is no budget for the protected area			
Is the current budget sufficient?	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1		
	The available budget is acceptable, but could be further improved to fully achieve effective management			
	The available budget is sufficient and meets the full management needs of the protected area			
<i>Inputs</i>				
16. Security of budget	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding			
Is the budget secure?	There is very little secure budget and the protected area could not function adequately without outside funding			
	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding	2		
	There is a secure budget for the protected area and its management needs on a multi-year cycle			
<i>Inputs</i>				
17. Management of budget	Budget management is poor and significantly undermines effectiveness			
Is the budget managed to meet critical management needs?	Budget management is poor and constrains effectiveness			
	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness			
<i>Process</i>				
18. Equipment	There is little or no equipment and facilities			
Is equipment adequately maintained?	There is some equipment and facilities but these are wholly inadequate			
	There is equipment and facilities, but still some major gaps that constrain management	2		
	There is adequate equipment and facilities			
<i>Process</i>				
19. Maintenance of	There is little or no maintenance of equipment and facilities			

Issue	Criteria	Score	Comments	Next steps
equipment Is equipment adequately maintained? <i>Process</i>	There is some <i>ad hoc</i> maintenance of equipment and facilities			
	There is maintenance of equipment and facilities, but there are some important gaps in maintenance			
	Equipment and facilities are well maintained	3		
20. Education and awareness programme Is there a planned education programme?  <i>Process</i>	There is no education and awareness programme			
	There is a limited and <i>ad hoc</i> education and awareness programme, but no overall planning for this	1		
	There is a planned education and awareness programme but there are still serious gaps			
	There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area			
21. State and commercial neighbours Is there co-operation with adjacent land users?  <i>Process</i>	There is no contact between managers and neighbouring official or corporate land users			
	There is limited contact between managers and neighbouring official or corporate land users			
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation	2		
	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management			
22. Indigenous people  Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions? <i>Process</i>	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area		n/a	
	Indigenous and traditional peoples have some input into discussions relating to management but no direct involvement in the resulting decisions			
	Indigenous and traditional peoples directly contribute to some decisions relating to management			
	Indigenous and traditional peoples directly participate in making decisions relating to management			
23. Local communities  Do local communities resident or near the protected area have input to management decisions? <i>Process</i>	Local communities have no input into decisions relating to the management of the protected area		The park is accountable to the Forestry and Hunting Committee of the Ministry of Agriculture since it is an object of republican significance.	
	Local communities have some input into discussions relating to management but no direct involvement in the resulting decisions	1		
	Local communities directly contribute to some decisions relating to management			
	Local communities directly participate in making decisions relating to management			

Issue	Criteria	Score	Comments	Next steps
Additional points	There is open communication and trust between local stakeholders and protected area managers			
<i>Outputs</i>	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented			
24. Visitor facilities	There are no visitor facilities and services		Unorganized visitation leads to degradation of ecosystems.	
Are visitor facilities (for tourists, pilgrims etc) good enough?	Visitor facilities and services are inappropriate for current levels of visitation or are under construction	1		
	Visitor facilities and services are adequate for current levels of visitation but could be improved			
	<i>Outputs</i>	Visitor facilities and services are excellent for current levels of visitation		
25. Commercial tourism	There is little or no contact between managers and tourism operators using the protected area		External opportunities are not used	
Do commercial tour operators contribute to protected area management?	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1		
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values			
	<i>Process</i>	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, protect values and resolve conflicts		
26. Fees	Although fees are theoretically applied, they are not collected		The system for payments into development fund not worked out	
If fees (tourism, fines) are applied, do they help protected area management?	The fee is collected, but it goes straight to central government and is not returned to the protected area or its environs	1		
	The fee is collected, but is disbursed to the local authority rather than the protected area			
	<i>Outputs</i>	There is a fee for visiting the protected area that helps to support this and/or other protected areas		
27. Condition assessment	Important biodiversity, ecological and cultural values are being severely degraded	0	Partly, if focus is on rare and endangered species such as the snow leopard	
Is the protected area being managed consistent to its objectives?	Some biodiversity, ecological and cultural values are being severely degraded			
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted			
	<i>Outcomes</i>	Biodiversity, ecological and cultural values are predominantly intact		

Issue	Criteria	Score	Comments	Next steps
Additional points <i>Outputs</i>	There are active programmes for restoration of degraded areas within the protected area and/or the protected area buffer zone			
28. Access assessment  Are the available management mechanisms working to control access or use?  <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated objectives			
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives			
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives	2		
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated objectives			
29. Economic benefit assessment  Is the protected area providing economic benefits to local communities?  <i>Outcomes</i>	The existence of the protected area has reduced the options for economic development of the local communities			
	The existence of the protected area has neither damaged nor benefited the local economy			
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy	2		
	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of locals, locally operated commercial tours etc)			
30. Monitoring and evaluation  <i>Planning/Process</i>	There is no monitoring and evaluation in the protected area		Monitoring of widely distributed populations e.g. maral, bear, fox, wolf	
	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results	1		
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management			
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management			
<b>TOTAL SCORE</b>		<b>46 (one n/a question) – Total adjusted score: 47</b>		

### Reporting Progress at Protected Area Sites: Data Sheet

Name of protected area	Markakolskyi State Reserve (Zapovednik)	
Location of protected area (country and if possible map reference)	East Kazakhstan Oblast, Republic of Kazakhstan	
Date of establishment (distinguish between agreed and gazetted*)	Agreed	Gazetted Established 1976
Ownership details (i.e. owner, tenure rights etc)	Republic of Kazakhstan, state owned	
Management Authority	Forestry, Fisheries and Hunting Committee, Ministry of Agriculture, Republic of Kazakhstan	
Size of protected area (ha)	75,040 ha.	
Number of staff	Permanent 25	Temporary 5
Budget	2002 – US\$ 35,400; 2004 – US\$ 46,668	
Designations (IUCN category, World Heritage, Ramsar etc)	IUCN Category Ia; in 2003 received certificate of “Gift to the Earth” from Kazakhstan under WWF “Living Planet” programme.	
Reasons for designation	Established to protect high altitude Lake Markakol and surrounding forested mountain landscapes biodiversity, natural and cultural monuments, aquatic resources. Included in the Kazakhstani part of one of the global 200 ecoregions – the Altai-Sayan ecoregion.	
Brief details of GEF funded project or projects in PA	The objective of the project is to enhance the sustainability and conservation effectiveness of Kazakhstan’s National PA system through demonstrating sustainable and replicable approaches to conservation management in the protected areas in the Kazakhstani sector of Altai-Sayan ecoregion	
Brief details of other relevant projects in PA	None	
List the two primary protected area objectives		
Objective 1	Protection of the unique high altitude ecosystems of Lake Markakol	
Objective 2	Conservation of forested mountain ecosystems of southern Altai	
List the top two most important threats to the PA (and indicate reasons why these were chosen)		
Threat 1	Year round poaching of mammals and fish. Particularly during spawning, poaching of endemic salmonids for red caviar for commercial purposes.	
Threat 2	Escalation of unorganized hunting and fishing tourism.	
List top two critical management activities		
Activity 1	Annual requests to FHC to increase financing to undertake essential management activities such as research, enforcement, fire control. Financing has been increasing over the past 3 years by 35%. Create permanent guard stations along the reserve’s boundary.	
Activity 2	Engagement of researchers from National Academy of Science for undertaking targeted research programmes. Preparation of required materials for the enlargement of the reserve so as to include wintering sites for large mammals and spawning beds. First ever inventory of reptiles and amphibians.	

**Date assessment carried out:** April 2005

**Name/s of assessor:** Iskandar Mirkhashimov; Yevgeny Yurchenkov

\* or formally established in the case of private protected areas

Issue	Criteria	Score	Comments	Next steps
1. Legal status  Does the protected area have legal status?  <i>Context</i>	The protected area is not gazetted			
	The government has agreed that the protected area should be gazetted but the process has not yet begun			
	The protected area is in the process of being gazetted but the process is still incomplete			
	The protected area has been legally gazetted (or in the case of private reserves is owned by a trust or similar)	3		
2. Protected area regulations  Are inappropriate land uses and activities (e.g. poaching) controlled?  <i>Context</i>	There are no mechanisms for controlling inappropriate land use and activities in the protected area			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are major problems in implementing them effectively			
	Mechanisms for controlling inappropriate land use and activities in the protected area exist but there are some problems in effectively implementing them	2		
	Mechanisms for controlling inappropriate land use and activities in the protected area exist and are being effectively implemented			
3. Law enforcement  Can staff enforce protected area rules well enough?  <i>Context</i>	The staff have no effective capacity/resources to enforce protected area legislation and regulations			
	There are major deficiencies in staff capacity/resources to enforce protected area legislation and regulations (e.g. lack of skills, no patrol budget)			
	The staff have acceptable capacity/resources to enforce protected area legislation and regulations but some deficiencies remain	2		
	The staff have excellent capacity/resources to enforce protected area legislation and regulations			
4. Protected area objectives  Have objectives been agreed?  <i>Planning</i>	No firm objectives have been agreed for the protected area			
	The protected area has agreed objectives, but is not managed according to these objectives			
	The protected area has agreed objectives, but these are only partially implemented	2		
	The protected area has agreed objectives and is managed to meet these objectives			
5. Protected area design	Inadequacies in design mean achieving the protected areas major management objectives of the protected area is impossible		Forestry and Hunting Committee is planning to double the reserve's	



Issue	Criteria	Score	Comments	Next steps
Does the protected area need enlarging, corridors etc to meet its objectives? <i>Planning</i>	Inadequacies in design mean that achievement of major objectives are constrained to some extent		area in the next two years.	
	Design is not significantly constraining achievement of major objectives, but could be improved	2		
	Reserve design features are particularly aiding achievement of major objectives of the protected area			
6. Protected area boundary demarcation  Is the boundary known and demarcated? <i>Context</i>	The boundary of the protected area is not known by the management authority or local residents/neighbouring land users			
	The boundary of the protected area is known by the management authority but is not known by local residents/neighbouring land users			
	The boundary of the protected area is known by both the management authority and local residents but is not appropriately demarcated			
	The boundary of the protected area is known by the management authority and local residents and is appropriately demarcated	3		
7. Management plan  Is there a management plan and is it being implemented? <i>Planning</i>	There is no management plan for the protected area	0	Annual work plan prepared.	
	A management plan is being prepared or has been prepared but is not being implemented			
	An approved management plan exists but it is only being partially implemented because of funding constraints or other problems			
	An approved management plan exists and is being implemented			
Additional points  <i>Planning</i>	The planning process allows adequate opportunity for key stakeholders to influence the management plan			
	There is an established schedule and process for periodic review and updating of the management plan			
	The results of monitoring, research and evaluation are routinely incorporated into planning			
8. Regular work plan  Is there an annual work plan?  <i>Planning/Outputs</i>	No regular work plan exists			
	A regular work plan exists but activities are not monitored against the plan's targets			
	A regular work plan exists and actions are monitored against the plan's targets, but many activities are not completed			
	A regular work plan exists, actions are monitored against the plan's targets and most or all prescribed activities are completed	3		

Issue	Criteria	Score	Comments	Next steps
9. Resource inventory  Do you have enough information to manage the area?  <i>Context</i>	There is little or no information available on the critical habitats, species and cultural values of the protected area			
	Information on the critical habitats, species and cultural values of the protected area is not sufficient to support planning and decision making			
	Information on the critical habitats, species and cultural values of the protected area is sufficient for key areas of planning/decision making but the necessary survey work is not being maintained			
	Information concerning on the critical habitats, species and cultural values of the protected area is sufficient to support planning and decision making and is being maintained	3		
10. Research  Is there a programme of management-orientated survey and research work? <i>Inputs</i>	There is no survey or research work taking place in the protected area			
	There is some <i>ad hoc</i> survey and research work			
	There is considerable survey and research work but it is not directed towards the needs of protected area management	2		
	There is a comprehensive, integrated programme of survey and research work, which is relevant to management needs			
11. Resource management  Is the protected area adequately managed (e.g. for fire, invasive species, poaching)?  <i>Process</i>	Requirements for active management of critical ecosystems, species and cultural values have not been assessed			
	Requirements for active management of critical ecosystems, species and cultural values are known but are not being addressed			
	Requirements for active management of critical ecosystems, species and cultural values are only being partially addressed	2		
	Requirements for active management of critical ecosystems, species and cultural values are being substantially or fully addressed			
12. Staff numbers  Are there enough people employed to manage the protected area? <i>Inputs</i>	There are no staff		Deficiency of research and ecological education personnel	
	Staff numbers are inadequate for critical management activities			
	Staff numbers are below optimum level for critical management activities	2		
	Staff numbers are adequate for the management needs of the site			
13. Personnel management  Are the staff managed	Problems with personnel management constrain the achievement of major management objectives			
	Problems with personnel management partially constrain the achievement of major management objectives			

Issue	Criteria	Score	Comments	Next steps
well enough? <i>Process</i>	Personnel management is adequate to the achievement of major management objectives but could be improved	2		
	Personnel management is excellent and aids the achievement major management objectives			
14. Staff training  Is there enough training for staff?  <i>Inputs/Process</i>	Staff are untrained		There is a need to raise staff qualifications	
	Staff training and skills are low relative to the needs of the protected area	1		
	Staff training and skills are adequate, but could be further improved to fully achieve the objectives of management			
	Staff training and skills are in tune with the management needs of the protected area, and with anticipated future needs			
15. Current budget  Is the current budget sufficient?  <i>Inputs</i>	There is no budget for the protected area			
	The available budget is inadequate for basic management needs and presents a serious constraint to the capacity to manage	1		
	The available budget is acceptable, but could be further improved to fully achieve effective management			
	The available budget is sufficient and meets the full management needs of the protected area			
16. Security of budget  Is the budget secure?  <i>Inputs</i>	There is no secure budget for the protected area and management is wholly reliant on outside or year by year funding			
	There is very little secure budget and the protected area could not function adequately without outside funding			
	There is a reasonably secure core budget for the protected area but many innovations and initiatives are reliant on outside funding	2		
	There is a secure budget for the protected area and its management needs on a multi-year cycle			
17. Management of budget  Is the budget managed to meet critical management needs? <i>Process</i>	Budget management is poor and significantly undermines effectiveness			
	Budget management is poor and constrains effectiveness			
	Budget management is adequate but could be improved	2		
	Budget management is excellent and aids effectiveness			
18. Equipment  Is equipment adequately maintained?	There is little or no equipment and facilities			
	There is some equipment and facilities but these are wholly inadequate	1		
	There is equipment and facilities, but still some major gaps that constrain management			

Issue	Criteria	Score	Comments	Next steps
<i>Process</i>	There is adequate equipment and facilities			
19. Maintenance of equipment	There is little or no maintenance of equipment and facilities			
	There is some <i>ad hoc</i> maintenance of equipment and facilities	1		
Is equipment adequately maintained?	There is maintenance of equipment and facilities, but there are some important gaps in maintenance			
<i>Process</i>	Equipment and facilities are well maintained			
20. Education and awareness programme	There is no education and awareness programme			
Is there a planned education programme?	There is a limited and <i>ad hoc</i> education and awareness programme, but no overall planning for this	1		
	There is a planned education and awareness programme but there are still serious gaps			
<i>Process</i>	There is a planned and effective education and awareness programme fully linked to the objectives and needs of the protected area			
21. State and commercial neighbours	There is no contact between managers and neighbouring official or corporate land users			
Is there co-operation with adjacent land users?	There is limited contact between managers and neighbouring official or corporate land users	1		
	There is regular contact between managers and neighbouring official or corporate land users, but only limited co-operation			
<i>Process</i>	There is regular contact between managers and neighbouring official or corporate land users, and substantial co-operation on management			
22. Indigenous people	Indigenous and traditional peoples have no input into decisions relating to the management of the protected area		n/a	
Do indigenous and traditional peoples resident or regularly using the PA have input to management decisions?	Indigenous and traditional peoples have some input into discussions relating to management but no direct involvement in the resulting decisions			
	Indigenous and traditional peoples directly contribute to some decisions relating to management			
<i>Process</i>	Indigenous and traditional peoples directly participate in making decisions relating to management			
23. Local communities	Local communities have no input into decisions relating to the management of the protected area		The reserve is accountable to the Forestry and Hunting Committee of the Ministry of Agriculture since it is an object of republican	
Do local communities resident or near the	Local communities have some input into discussions relating to management but no direct involvement in the resulting decisions	1		

Issue	Criteria	Score	Comments	Next steps
protected area have input to management decisions? <i>Process</i>	Local communities directly contribute to some decisions relating to management		significance.	
	Local communities directly participate in making decisions relating to management			
Additional points  <i>Outputs</i>	There is open communication and trust between local stakeholders and protected area managers			
	Programmes to enhance local community welfare, while conserving protected area resources, are being implemented			
24. Visitor facilities  Are visitor facilities (for tourists, pilgrims etc) good enough? <i>Outputs</i>	There are no visitor facilities and services	0	This is a zapovednik or strictly protected reserve and so no facilities exist for service. Facilities could be constructed in the buffer zone periphery to educate people and to lead tours from into the buffer zone and outside of it.	
	Visitor facilities and services are inappropriate for current levels of visitation or are under construction			
	Visitor facilities and services are adequate for current levels of visitation but could be improved			
	Visitor facilities and services are excellent for current levels of visitation			
25. Commercial tourism  Do commercial tour operators contribute to protected area management? <i>Process</i>	There is little or no contact between managers and tourism operators using the protected area		External opportunities are not used	
	There is contact between managers and tourism operators but this is largely confined to administrative or regulatory matters	1		
	There is limited co-operation between managers and tourism operators to enhance visitor experiences and maintain protected area values			
	There is excellent co-operation between managers and tourism operators to enhance visitor experiences, protect values and resolve conflicts			
26. Fees If fees (tourism, fines) are applied, do they help protected area management?  <i>Outputs</i>	Although fees are theoretically applied, they are not collected		Collect for fish permits from local people, museum visits, and from tour operators.	
	The fee is collected, but it goes straight to central government and is not returned to the protected area or its environs	1		
	The fee is collected, but is disbursed to the local authority rather than the protected area			
	There is a fee for visiting the protected area that helps to support this and/or other protected areas			
27. Condition assessment  Is the protected area being managed	Important biodiversity, ecological and cultural values are being severely degraded			
	Some biodiversity, ecological and cultural values are being severely degraded	1		
	Some biodiversity, ecological and cultural values are being partially degraded but the most important values have not been significantly impacted			

Issue	Criteria	Score	Comments	Next steps
consistent to its objectives? <i>Outcomes</i>	Biodiversity, ecological and cultural values are predominantly intact			
Additional points <i>Outputs</i>	There are active programmes for restoration of degraded areas within the protected area and/or the protected area buffer zone			
28. Access assessment  Are the available management mechanisms working to control access or use?  <i>Outcomes</i>	Protection systems (patrols, permits etc) are ineffective in controlling access or use of the reserve in accordance with designated objectives			
	Protection systems are only partially effective in controlling access or use of the reserve in accordance with designated objectives	1		
	Protection systems are moderately effective in controlling access or use of the reserve in accordance with designated objectives			
	Protection systems are largely or wholly effective in controlling access or use of the reserve in accordance with designated objectives			
29. Economic benefit assessment  Is the protected area providing economic benefits to local communities?  <i>Outcomes</i>	The existence of the protected area has reduced the options for economic development of the local communities		Locals get fish and caviar, jobs, beekeeping	
	The existence of the protected area has neither damaged nor benefited the local economy			
	There is some flow of economic benefits to local communities from the existence of the protected area but this is of minor significance to the regional economy	2		
	There is a significant or major flow of economic benefits to local communities from activities in and around the protected area (e.g. employment of locals, locally operated commercial tours etc)			
30. Monitoring and evaluation  <i>Planning/Process</i>	There is no monitoring and evaluation in the protected area	0		
	There is some <i>ad hoc</i> monitoring and evaluation, but no overall strategy and/or no regular collection of results			
	There is an agreed and implemented monitoring and evaluation system but results are not systematically used for management			
	A good monitoring and evaluation system exists, is well implemented and used in adaptive management			
<b>TOTAL SCORE</b>		<b>45</b> (one n/a) – Total adjusted score: <b>46</b>		

**Part XI: Response to comments made at June Council**

<b>Comment</b>	<b>Response</b>	<b>Document reference</b>
<b>Comments from GEFSec – 19 April 2006</b>		
<b>2. PROGRAM AND POLICY CONFORMITY</b>		
<u>Project Design</u> Finalize project description, incremental costs and describe process to reach agreed incremental cost with in-country partners and clients.	The revised version of the Project Document presents the finalized project description and the incremental costs to be funded by GEF. The incremental costs were defined and agreed upon through intensive consultations and negotiations with all of the project’s diverse and numerous in-country partners and clients, during which their written commitments to provide the considerable level of total project co-financing were secured and attached as separate files to the submission.	<u>Project Document</u> SECTION II – Strategic Results Framework and GEF Increment – PART I – Incremental Cost Analysis, <a href="#">Section B – Incremental Cost Assessment</a> , Par. 132 – 144 and Incremental Cost Matrix.
<u>Sustainability</u> Finalize specific action to be undertaken, within and outside project, to address factors that influence continuation of project benefits after completion of project implementation	The revised Project Document describes several actions that will incrementally and collectively contribute to the long-term sustainability of the project’s benefits beyond its implementation timeframe.	<u>Project Document</u> , Section I. Elaboration of Narrative: Part II. Strategy: <a href="#">Sustainability</a> - Par. 83-87
<u>Replicability</u> Finalize specific actions with work plan and budget for knowledge transfer	Specific actions designed for replicating the project’s results and benefits in other locations, including knowledge transfer, are included in the ProDoc, as is the budget for implementing them.	<u>Project Document</u> , Section I. Elaboration of Narrative: Part II. Strategy: <a href="#">Replicability</a> Par. 91, Table 5 – Replication Plan
<u>Stakeholder Involvement</u> Finalize roles and responsibilities of relevant stakeholders in project implementation including a public participation strategy	The roles and responsibilities of all relevant stakeholders involved in the project’s implementation are presented in the Project Document, as is the strategy to be employed in fostering and maximizing public participation.	<u>Project Document</u> , Section I. Elaboration of Narrative: Part I. Situation Analysis. <a href="#">Stakeholder analysis</a> .  Section IV. Additional Information. Part IV. <a href="#">Stakeholder involvement plan</a>
<u>Monitoring and Evaluation</u> Finalize M&E plan including budget, organizational arrangements for implementing M&E.	M&E plan and budget have been finalized, as have been the organizational arrangements for M&E implementation.	<u>Project Document</u> , Section I. Elaboration of Narrative: <a href="#">Part IV. Monitoring and Evaluation Plan and Budget</a> ;  Section IV. Additional Information. Part VIII. <a href="#">Monitoring and Evaluation Plan and Budget</a>
Please insure that a properly completed SP1 Tracking Tool has been submitted.	Completed SP1 Tracking Tool is attached.	Part X. <a href="#">SP 1 Tracking Tool</a>
<b>3. Financing</b>		
<u>Financing Plan</u> Finalize project cost including	Project cost finalized - the standard UNDP budget	<u>Project Document</u> <a href="#">SECTION III. Total</a>

Comment	Response	Document reference
<p>detailed costing by activity and financial plan with timing of disbursements.</p> <p>Please provide all cofinancing letters</p>	<p>in ATLAS per outcome/budget categories/year is included.</p> <p>All co-financing letters for the total of US\$ 16,338,700 (the amount presented in the approved Project Document) are attached as separate file.</p>	<p><a href="#">Budget and Workplan</a></p> <p>Separate file with all co-financing letters</p>
<p><b>Comments from Germany</b>  “Germany agrees with the project proposal. Changes outlined below should be made during further planning steps and during project implementation.”</p>		
<p>1. The loss, fragmentation and degradation of valuable habitats, especially in Kazakhstan’s mountain forests, need special management tools, which are not fully provided by the classical protected areas approach. A feasibility study carried out 2002-2004, supported by Germany and implemented by the GTZ, came to the conclusion that biosphere reserves would be an appropriate management instrument, to achieve a balance between the often conflicting goals of conserving biodiversity and promoting human development. The project proposal does not build on this preparatory work and does not even consider biosphere reserves as a management category to be applied in the Altai region.</p>	<p>We completely agree with the Council member that there is a need for different set of management tools for addressing the main threats to biodiversity loss in Kazakhstani portion of the Altai-Sayan ecoregion, which the traditional protected area approach doesn’t provide and this is exactly what the project will result in – a management system at a landscape level which provides for zonation against different levels of protection and use, with a focus on facilitating species movement and ecosystem processes across the landscape. During the management planning process, the project will explore various tools to be employed, including the Biosphere Reserve designation. Additional wording has been added to the Project Document in Output 1.1. to clarify this.</p> <p>The project will continue to maintain close contacts with international organizations (WWF, FAO, NABU, BirdLife International, GTZ, IUCN, and International Snow Leopard Trust) that have been working and continue to work on improving the conservation effectiveness of existing PAs in the KASE and the protection of valuable habitats for endangered species. Discussions were held between the proponents of this project and personnel involved in the GTZ funded biosphere reserve feasibility study and the project will build upon the feasibility study conducted by the GTZ.</p>	<p><a href="#">Project Document</a>, Section I. Elaboration of Narrative: Part II. Strategy: Project Goal, Objective, Outcomes and Outputs/Activities, par. 73 – <a href="#">Output 1.1</a></p>
<p>2. Kazakhstan’s incomplete protected area coverage: The fact that less than five percent of Kazakhstan’s surface area is under protection (and thus significantly less than international standards) cannot be taken as an argument for incomplete protected areas coverage, as far as more than 50 percent of Kazakhstan’s surface area consists of steppes, semi-deserts and deserts which are only little influenced by human activities. In order to assess the need for establishing new</p>	<p>We agree with the comment and this will be fully incorporated in the planning and implementation of the systematic conservation planning analysis which will also analyze the level of threat of various ecosystems in the Kazakhstani portion of the Altai Sayan ecoregion before planning new protected areas. The project will also promote the establishment of corridors between existing protected areas in the important KASE ecoregion that would help counteract the current size limitation of existing PAs, and improve the coverage of important ecosystem processes for which the current protected area network doesn’t provide.</p>	<p><a href="#">Project Document</a>, Section I. Elaboration of Narrative: Part I. Situation Analysis. <a href="#">Barriers to effective protected area management for biodiversity conservation</a>; Par. 47-49.</p>



Comment	Response	Document reference
<p>protected areas, it should better be examined how far threatened ecosystems in the Altai project region are already included in the protected areas system, and which territories are in need of further protection.</p>		
<p>3. Cost-effectiveness: The original PDF-B request aimed at developing a joint project between Russia and Kazakhstan for the Altai region. “In the course of the PDF B, however, it was decided that two national GEF projects should be developed with explicit integrated trans-boundary elements incorporated into each of them”. – As the proposal does not give the reasons why the original project approach was discarded, it remains unclear whether the most efficient and most cost-effective way has been chosen.</p>	<p>This was not clearly explained. Explanatory wording has now been included in the Project Document. Historical reasons account for the development of the two projects that are very closely related. The primary reason is that project development activities on the Russian side started considerably ahead of those in Kazakhstan, as the capacity of the project proponents was higher and more preparatory work has been done on the ground with key stakeholders on the Russian side even before the PDF B was approved. Consequently, it was decided that two separate projects with transboundary elements built in would be a more efficient and cost-effective approach. In consequence the original regional PDF B funds were divided between Russia and Kazakhstan to enable tightly linked, but separate, project development processes. This allowed the preparatory process in each country to follow its natural pace according to the existent capacity and also for Kazakhstan to learn from the Russian preparatory experience. The two projects are well integrated and work on transboundary aspects will ensure even further collaboration and coordination between the projects.</p> <p>In addition, the existent <u>Regional Coordinating Committee (RCC)</u> will continue to ensure collaboration and effective coordination between this project and the complementary projects in the Russian Federation and Mongolia. The PSC will designate a representative to sit on this regional body and subsequently report back to the PSC. As the Russian project had the inception workshop in July, 2006 it was discussed with the Kazakhstani counterparts that the next meeting of the Regional Coordinating Committee will be in Kazakhstan. The project coordinators for the Mongolia and Russian projects will attend the inception workshop for this project, in order to maximize synergies and ensure cross-fertilization between projects and that the lessons learned in the first year of implementation of the other two projects are shared with the Kazak colleagues. Close links will be maintained with the Regional Coordinating Committee to ensure the maximization of collaboration and integration of the on-going and planned projects in the Altai Sayan ecoregion.</p>	<p><u>Project Document</u>, Section I. Elaboration of Narrative.</p> <p>Part III. <a href="#">Implementation arrangements</a>, Par. 98.</p> <p>Part IV. <a href="#">Cost effectiveness</a>, par. 127.</p>

## SIGNATURE PAGE

Country: Kazakhstan

UNDAF Outcome(s)/Indicator(s):	Reduced (income and human) poverty at national and sub-national levels
Expected Outcome(s)/Indicator (s):	Outcome 2. A comprehensive approach to sustainable development is integrated into national development planning and linked to poverty Outcome 3. Livelihood opportunities for the poor are increased through expanded access to natural resources and sustainable energy
Expected Output(s)/Indicator(s):	Output 2.2 Expanded collaboration between government, donors, civil society and the private sector in the area of environmental management and sustainable development Output 3.1. Integrated conservation and development policies based on successful GEF projects in biodiversity and energy Output 3.2. Improved capacities of NGOs and CBOs for nature and energy conservation
Implementing partner:	Forestry and Hunting Committee of the Ministry of Agriculture
Other Partners:	Ministry of Environmental Protection of the RK Akimat of the Eastern Kazakhstan Oblast Administration of Markakol Zapovednik and Katon-Karagai National Park NGOs/CBOs

Programme Period: 2005 - 2009  
 Programme Component: Environment  
 Project Title: Conservation and Sustainable Use of Biodiversity in the Kazakhstani Sector of the Altai-Sayan Mountain Ecoregion  
 Project ID: PIMS #2898  
 Atlas Award: 00044821  
 Atlas Project ID: 00052843  
 Project Duration: 5 years  
 Management Arrangement: NEX

Budget	USD 18,734,400
Allocated resources ( <b>cash</b> ):	
• GEF	USD 2,395,700
• UNDP	USD 40,000
• Government	USD 9,213,200
• NGOs	USD 12,000
• Private Sector	USD 45,000
<b>In kind</b> contributions:	
• UNDP	USD 10,000
• Government	USD 6,400,000
• NGOs	USD 250,000
• Private Sector	USD 368,500

**Agreed by**

Ministry of the Environmental Protection of the RK	_____	_____
	Aitkul Samakova, Minister	Date

United Nations Development Program	_____	_____
	Yuriko Shoji, UNDP Resident Representative	Date