



## UNDP Project Document

Governments of:  
Kazakhstan, Kyrgyz Republic  
Tajikistan, Turkmenistan & Uzbekistan

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### The Multi-Country Capacity Building (MCB) Project:

This project is an integrated Multi-country initiative within the CACILM CPP and is one of four related multi-country support projects under the CACILM Multi-country Framework Project (CMPF) by contributing the system, institutional, and individual capacities needed to respond to country barriers in terms of an inconsistent and divergent policy environment, inadequate and inefficient resources to combat SLM, gaps in human capital to develop SLM programs, and a disconnect between project level successes and policy making. The project builds on the structure created by the CMPF and supports the CACILM CPP effort to catalyze efforts to reverse land degradation processes and improve sustainable livelihoods through a consolidated approach put in place by the five Central Asian Countries and Strategic Partnership Agreement members (UNDP, ADB, GTZ, GM, ICARDA, and FAO) with Global Environment Facility (GEF) support. Building on this framework and consistent with the overall CMPF vision to enhance “the restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD,” the project objective is to increase capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.

The project supports the CACs efforts to halt land degradation by enhancing the capability of each nation to execute their National Programming Frameworks. GEF support will result in (a) increased policy coherence; (b) resources effectively mobilized for SLM; (c) improved interaction between state agencies and land users through increased human resources; and (d) developed and strengthened learning, dissemination, and replication of best practices in collaborative SLM. Without this component project, the established multi-country and national support structures will not have the capacity for effective policy-making, planning, and financing SLM initiatives that will meet future challenges and changing land-use scenarios with new global challenges, such as the effects of global warming on agriculture and food systems.

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## List of Acronyms

ADB	–	Asian Development Bank
CACILM	–	Central Asian Countries Initiative for Land Management
CACs	–	Central Asian countries
CGIAR	–	Consultative Group for International Agricultural Research
CMPF	–	CACILM Multicountry Partnership Framework
FAO	–	Food and Agriculture Organization of the United Nations
GEF	–	Global Environment Facility
GM	–	Global Mechanism of the UNCCD
GTZ	–	German Agency for Technical Cooperation
ICARDA	–	International Center for Agricultural Research in Dry Areas
IFAD	–	International Fund for Agricultural Development
IFPRI	–	International Food Policy Research Center
LADA	–	Land Degradation Assessment in Drylands
MCBU	–	Multi-country Capacity Building Unit
NGO	–	nongovernment organization
NPF	–	national programming framework
PDF	–	Project Development Facility
PFU	–	Project Facilitation Unit of the CGIAR
SDC	–	Swiss Agency for Development and Cooperation
SLIM	–	sustainable land management
SLM-IS	–	sustainable land management information system
SPA	–	Strategic Partnership Agreement for UNCCD Implementation in the Central Asian Countries
UNCCD	–	United Nations Convention to Combat Desertification
UNDP	–	United Nations Development Programme
UNEP	–	United Nations Environment Programme

## **SECTION I: ELABORATION OF THE NARRATIVE**

### **PART I: Situation Analysis**

#### **1.1 Context and global significance**

1. Central Asia is comprised of five land-locked Countries (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan). The region is highly diverse in geography, climate and natural resources giving rise to a diversity of ecological conditions.
2. Eastern Central Asia is characterized by its mountain ecosystems, which are important catchment areas for the major rivers that supply water for agricultural, municipal industrial and other uses in these arid to semi-arid countries. The mountainous forest ecosystems play an extremely important role in preserving the water regimes of its rivers, serve as valuable and often unique habitats, and are a source of fuel, timber, and forest products for local populations. The Tien-Shan and Pamir mountain ranges are home to the world's largest glaciers and freshwater reserves. These Central Asian Mountains include diverse ecosystems namely: (i) low and high mountain deserts, (ii) semi-savanna, (iii) steppes, (iv) forests, and (v) meadows all with high biological diversity and are known to be the centers of origin for many globally important crops and animal breeds<sup>1</sup>. Many of these areas have sufficient humidity and soil organic matter to precipitate a shift in land use towards agricultural and livestock production.
3. Conversely, Western Central Asia consists of arid lowland plains including various desert types including the Karakum (400,000 km<sup>2</sup>) that covers almost 70% of the national territory of Turkmenistan with 300–350,000 km<sup>2</sup>, Kazakhstan (about 40,000 km<sup>2</sup>), and Uzbekistan; and the Kyzylkum (300,000 km<sup>2</sup>) divided between Uzbekistan and Kazakhstan.
4. Central Asia's ecosystem diversity is supported in part by a variable and often extreme continental climate where temperatures range between -3° C and +40°C with extremes extending from -45 to 50°C (Ryan et al. 2004). The altitude gradient ranges from 50 meters above sea level (m.a.s.l) at the Aral Sea to 7,500 masl at the high mountain-tops of the Pamir and Tien-Shan. The region is subject to variable and uncertain rainfall and periodic droughts. Annual precipitation is generally less than 400 mm and is concentrated principally during the winter season. The length of the vegetation period is constrained by rainfall, temperature and soil moisture.
5. Twenty-one agro-climatic zones are recognized (*sensu* UNESCO). The majority of the area (68%) is occupied by sparsely vegetated deserts and grass/shrubland. The major agro-ecological regions for crop production include irrigated cropland (10.2 M Ha.), and rain-fed cropland (20.2 M Ha.), and rangelands in deserts (72.3 Mha), steppes (213.7 Mha) and mountains (10.3 Mha)<sup>2</sup>. Mountains are especially diverse ecological regions stratified into twelve different altitudinal zones being recognized in Tajikistan (GEF-ADB-ICARDA, 2008). Mountain ecosystems are the source of timber and fuel wood, fruits, berries, medicinal plants that also support local livelihoods, in addition to habitat for various wild animals.
6. Land use and land cover in the Central Asian Countries follows these patterns. Of an estimated total land area of 392.7 million hectares (Mha), 250 Mha (64%) is dedicated to pastures, rangelands, and "unused lands" (remote natural deserts, mountaintops, glaciers). Of the remaining area, forests cover approximately 4% and arable cropped lands 8%. Roughly 36% of the latter are irrigated with the remaining land supporting rain-fed agriculture is generally practiced in areas with >250-400 mm annual precipitation.

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<sup>1</sup> GEF-ADB-ICARDA, 2008. Research Prospectus: A Vision for Sustainable Land Management Research in Central Asia. Central Asian Countries Initiative for Land Management –CACILM- Multi-country Partnership Framework Support Project on Sustainable Land Management Research.

<sup>2</sup> Ibid

## 1.2 Socio-economic Context:

7. Prior to independence in 1991, the Central Asian Countries were interlinked within the centrally-managed Soviet socialist economic system with each nation specializing in producing a specific agricultural commodity based on their agro-climatic and biophysical resources. Uzbekistan, for example, was a specialized cotton producer, while Kazakhstan was the breadbasket of the region. Following independence, the CACs were faced with the disruption of the earlier trade and economic arrangements for production and distribution of farm products. Each nation had to develop its own independent economies, where agriculture continues to play an important role, and requires attending to immediate local food needs, e.g. of wheat supply, while feeling the need to be more integrated to global markets.

8. Under the former agricultural production system, large-scale collective and state farms controlled 95% of agricultural land and produced the bulk of the commercially marketed output. Product markets and input supply channels were largely controlled by state organizations. Commercial production from state enterprises was supplemented by household plots that relied on part-time family labor and produced mainly subsistence goods and additional income through local markets. After 1991, land reforms have focused mainly on the “de-collectivization” of the large state-owned enterprises and privatization of holdings. Although all CACs have land reform processes, only Kazakhstan and Kyrgyzstan have granted private land tenure. Presently, a sizable part of the agricultural output is generated by household plots that also provide an important safety net for households struggling to cope with the economic transition. Almost all agricultural land is cultivated either by private farmers (Kazakhstan and Kyrgyzstan) or individual leasehold farmers (Turkmenistan, Tajikistan, and Uzbekistan) and nearly all livestock are held by small private herders. However, in remote areas of Central Asia, most of the small-scale livestock production is more for subsistence rather than commerce. Unfortunately, the trend towards smaller production units is not yet fully compatible with the equipment, infrastructure, practices, bureaucratic structures, and policies that are characteristic of the former system.

9. Despite some signs of economic recovery in the last five years, the GNIs per capita for three countries of the region (Kyrgyzstan, Tajikistan and Uzbekistan) still range between 330-510 USD per year (World Bank, 2005; 2006) qualifying them as “least developed countries.” Kazakhstan and Turkmenistan, thanks to expanding oil and gas revenues are classified as Low-Middle Income Countries. Kazakhstan has a five-fold advantage in “GDR per capita” over the LDCs. Turkmenistan has approximately double that of the others. However, the Human Development Index (HDI) for the LDCs is very close to that of the middle income countries in the region (See Economic indicators, Tables 13 and 14. Although the CACs have a lower life expectancy and lower GDP than most developed countries, they generally rank among the top 20 nations in Adult Literacy. The Human Poverty Index has an inverse relationship to the HDI and focuses on numbers of persons that fall below certain threshold levels (See Table 13). Based on 185 countries, the CACs rank between 34 and 79 in the Poverty Index and in top 30% of countries with a “% of population with probability of not surviving past age 40”. The CACs are low in terms of the number of “people without access to improved water sources.” Additionally, the CACs also rank among the lowest third in terms of the “Percent of children underweight for ages 0-5.”

10. The Economic Freedom Index is an overall measure of the freedom to pursue business opportunities. It is measured by 10 indicators including business freedom, trade freedom, Fiscal freedom Property rights labor freedom, among others<sup>3</sup>. The CACs have adequate government size and acceptable ranking for Fiscal and Monetary Freedom. Mid-range score levels were given for Investment Freedom and Business freedom. Low scores, by comparison to developed counties, are registered for Financial Freedom, Property rights, Freedom from Corruption, and Labor Freedom, all of which are factors that

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<sup>3</sup> The Economic Freedom Index is downloadable at [www.heritage.org](http://www.heritage.org)

negatively affect the effectiveness of agri-businesses and the adoption and availability of new technologies and hence land degradation.

11. Income inequality between the agricultural and non-agricultural population is growing in most of the countries due to low economic efficiency of agricultural production, low capital investments in agriculture and slow institutional and infrastructural development (IFPRI, 2008). These, in turn, are related to a limited and still under-developed tax system and base. In response to the collapse of trading systems and the lack of foreign exchange reserves, the CACs have given high priority to domestic food security. Consequently, they are clearly looking towards their environmental services as the basis to raise future GDP and for meeting the needs of their populations. The national and local governments in Central Asia are therefore facing tough decisions of far-reaching economic and environmental importance in order to service poverty reduction and basic human services.

12. Food self-sufficiency was often grounded on a national, independent production of wheat (e.g. Uzbekistan and Turkmenistan, which are periodically self-sufficient). The area sown to cereals has increased by 24% regionally since 1992. The regional average masks two important national trends: (a) the area under cereal expansion has increased exponentially in Uzbekistan and Turkmenistan; (b) in Kazakhstan, the largest producer and major exporter of cereals in the region, the area under cereals decreased from 25 Mha to 14 Mha over the last decade. Presently, 40% of the arable area of Central Asian countries is sown to cereals, of which 80% is wheat. Given the needs of growing populations, it is likely that demand for cereals will continue to increase in the region.

13. Cotton production was the main target of irrigation infrastructure development during the Soviet period and continues today as the dominant cash crop. Many secondary crops such as corn, potatoes, fodder crops, oilseeds, vegetables, fruits, melons, are also produced, demonstrating a diversification in agricultural output but with commodities that require high amounts of high quality water and fertile soils. Much of the cited expansion has been achieved through secondary use of irrigation drainage water. With inadequate technologies and management, this practice, understood to be efficient in many areas of the world, is contributing to salinization, sodation, and lower production levels in cropland.

14. Most of the irrigated cropland in the region is found in the Syr Darya and Amu Darya rivers. All crops in Turkmenistan and more than 75 percent of the cultivated area in Kyrgyzstan, Tajikistan and Uzbekistan require irrigation. Irrigated cropland area has expanded from 4.5 million ha in 1960 to nearly 8 million ha today (ICARDA-PFU 2008). With the demands for wheat and rice projected to increase, and with wheat at the upper limits of its temperature threshold due to global warming, increasing domestic production on a limited and deteriorating land base will require planning for investment in productivity enhancing and resource saving technologies and agricultural research to develop these new technologies (IFPRI, 2008).

15. Climate change effects and the international financial crisis of 2008 will also affect land degradation under the present paradigm. The CACs are dry countries that depend on the snow pack and glaciers for their water needs. The glaciers of Central Asia are the only source of fresh water in the region, and while two thirds of the water is generated in the mountains, two thirds are currently consumed downstream, indicating almost total utilization. Surface water in the form of runoff from the large rivers in the regions, such as the Syrdarya, Amudarya, Ili, Shu, Talas, Zeravshan, Atrek, Karatal, Aksu, Lepsa, originates in the high altitudes. IFPRI (2008) describes a cascade of water reservoirs stores water for irrigation and power generation, often generating conflicts between these important services that support domestic and industrial production. Alternately, many small rivers spring up the foothills as a result of groundwater resources from higher altitudes. This water is used to irrigate agricultural lands in the piedmont valleys. Between 1957 and 1980, the Central Asian glaciers have been reduced by 19% while the glaciers surrounding Issyk-Kul Lake shrank by about 8%. If melting continues at the same pace, these glaciers may completely disappear at some point in the middle of the 21st century. It is therefore important to analyze future impacts of the potential for agricultural growth, water saving technologies, and land

degradation together as part of the strategic planning and forecasting process and the role of agriculture in the economy recovery process and poverty reduction. It is possible that the CACs will be forced to produce larger volumes of cheap food as part of the poverty reduction process, further contributing to the status quo

16. Land degradation processes are also bearing significant social costs. IFPRI, 2008 also documents that the human effects increased salinity and presence of agricultural chemicals in drinking water supplies may be having adverse health effects on both humans and livestock, further affecting productivity. In some downstream areas, groundwater salt levels reach as high as 3 g/l, exceed the maximum limit of 1 g/l recommended by the World Health Organization. High levels of dioxins (carcinogenic substances found in herbicides) have been found in the breast milk and blood of pregnant women and recent mothers in Karakalpakstan (Médicins Sans Frontières 2003). Another study found that DNA from inhabitants of this region showed evidence of genetic damage among some, leading to large increases in cancer rates (Blua 2004).

17. The reduction of the volume of the Aral Sea due to diversion of irrigation water from the Syr Darya and Amu Darya is now a world renowned case of the consequences of subsidizing production at the expense of the environment. Not only has the sea lost one fourth of its original volume and fallen over 16 meters, and the level of salinity in the sea increased nearly five-fold decimating the local fishing industry causing an increase in poverty and subsequent migration from the region. Dust storms carrying particulates from millions of hectares openly exposed salt and pesticide contaminated dust on the dry sea bed is now a widely recognized point source of air pollution hundreds of kilometers away<sup>4</sup> (CACILM 2006e). High levels of airborne dust contribute to abnormally high rates of respiratory infections in the surrounding Karakalpakstan region, particularly among children, where the rates of tuberculosis infection are many times higher in this region than elsewhere in Uzbekistan (Médicins Sans Frontières 2003).

### **1.3 The problem to be addressed.**

18. The principal land degradation problems are described in the National Programming Frameworks (NPFs)<sup>5</sup> for the CACs as: (i) erosion, salinization, and water logging in irrigated agriculture; (ii) deteriorating fertility of pastureland; (iii) nutrient depletion *vis* decrease in fertility of the arable drylands of the steppes; (iv) decreased area and productivity of forests; (v) exacerbated risks from landslides and flooding due to poor watershed management; (vi) reduced stability and functioning of desert, mountain, wetland, and riparian ecosystems, (vii) terrain deformation (gully and shifting sands), and (viii) loss of plant cover and soil organic matter. In addition, faulty land and water-use decisions can have additional and enormous negative implications through changes in the regional and global hydrological cycles. In addition to these, the NPFs also list industrial concerns in the form of (ix) on-site and off-site impacts of mining operations; and (x) contaminated sites from resource extraction and nuclear testing operations. The nature of these problems and their causes are numerous and complex, and vary across the region.

19. The CACs are clearly looking towards their environmental services as the basis to raise future GDP and for meeting the needs of their populations. The national and local governments in Central Asia are therefore facing tough decisions of far-reaching economic and environmental importance in order to service poverty reduction and basic human services. Section IV Part IV Tables 10-12 presents data on the extent of Land Degradation Effects by Source. Some of the principal problems associated with the production paradigm are summarized as:

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<sup>4</sup> See also [http://visearth.ucsd.edu/VisE\\_Int/aralsea/](http://visearth.ucsd.edu/VisE_Int/aralsea/) and [http://en.wikipedia.org/wiki/Aral\\_Sea](http://en.wikipedia.org/wiki/Aral_Sea)

<sup>5</sup> National Programming Frameworks are follow-on frameworks to operationalize the UNCCD-National Action Plans. These are available at Available from CACILM Knowledge Network, accessible at <http://www.adb.org/projects/CACILM/>



- Between 40 percent and 60 percent of irrigated croplands in Central Asia are salt-affected and/or waterlogged in some regions the share of waterlogged lands is as high as 92 percent.
- In Uzbekistan, 800,000 ha of irrigated cropland are estimated to be subject to serious soil erosion due to poor agricultural practices (poor land leveling, poor irrigation practices, etc.) and more than 50 percent of farmland in suffers from serious wind erosion. In Turkmenistan, 690,000 ha degraded by soil erosion by water. Sixty percent of arable land in the Kyrgyz Republic is subject to serious soil erosion by water and wind.
- 51 percent of irrigated lands are characterized by a moderate to high degree of soil compaction and crust formation.
- In Kyrgyzstan, extraction of soil nutrients is reportedly four times the application of nutrients in the form of fertilizers.
- In Kazakhstan, the soil organic matter content of soils in many sites has declined by 10 to 20 percent in the past 30years as a result of poor management (with losses of as large as 40 percent cited in some studies).

20. The assets of the rural poor are additionally complicated by the effects of population growth, environmental degradation, expropriation by dominant interests, and social biases in policies and in the allocation of public goods. The land degradation processes described lead to negative socio-economic problems such as: (i) increasing poverty and negative population shifts, (ii) reduced food security and life expectancy and increases in the healthcare costs, (iii) social, economic and political instability, and (iv) deterioration in environmental quality (CACILM, NPFs, Uzbekistan, 2006).

21. .With the need for income and social services, increases in production dominate the policy dialogue as the CACs depend even heavier on their environmental services. There is an urgent need for shifts in paradigms and policies, to enable the transition from extensive to resource-efficient agriculture based on sustainable agricultural practices. The root causes of land degradation (described below) have been summarized by ICARDA, 2008 as: (i) mismanagement and over-use of natural resources, (ii) insufficiency of economic infrastructure and market mechanisms, and (iii) insufficient development of capacity and weak inter-sector coordination.

22. According to FAO estimates, over 13 % of the region was degraded between 1981 and 2003 (measured as a loss of net primary productivity –NPP- adjusted for changes in climate), affecting 6 percent of the regional population. Negative environmental impacts have worsened, including the drying up of the Aral Sea, water and air pollution caused by salinization, water and wind erosion of soils, loss of biodiversity, and reduced provision of ecosystem services in desert, mountain, wetland and riparian ecosystems (see also socio-economic context). These processes in combination with climate change effects such as changes in bio-temperature regimes of native and commercial species and the excessive melting of snowpacks and glaciers lead to a biologically and economically unsustainable future

23. Baseline actions (also described below) by national governments with the support of GEF and bi-lateral and multi-lateral development cooperation organizations have led to the development of national structures in the form of National Coordination Councils and National Secretariats and frameworks, such as the National Programming Framework as a part of Central Asian Countries Initiative for Land Management (CACILM). In all countries, the (NPFs) reflect on these drivers and identify a low national capacity, ineffective policy environment, low levels of public investment, and the need to develop decision-making frameworks based on lessons learned from field-level projects and investments need to develop increased national capacity to deal better with a variety of institutional, policy and other barriers to sustainable land management (SLM) that limit an effective response to land degradation.

24. . *The problem to be addressed* by this project is the low level of capacity at the system and institutional levels that if not addressed will limit the overall response to land degradation processes by

the CACILM mechanisms. This project is one of 4 complementary multi-country projects within the CACILM platform that will be oriented towards these capacities. Other projects Research, Knowledge Management, and Information Systems are actively developing tools and mechanisms to support decision-making by the NCCs and other national authorities. This project will address the system, institutional, and individual capacities that will enable the use of those tools and address the legal, institutional, financial, and human capacity challenges (described below), so that the CACILM structure will be able to reverse the situation described above through (i) an enhanced enabling environment that will address the incomplete and divergent policy framework that limits actions and financing towards sustainable land management and (ii) non-integrated practices of land use planning and management in the form of low levels of connectivity between stakeholders, low levels of involvement in the land planning process, and limits to up-scaling and replication of positive experiences.

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

##### *Threats and Root Causes*

25. ICARDA (2008) in their Research Prospectus for the Sustainable Land Management – Knowledge Management Project under the CACILM Multi-country Support Project describes the drivers of land degradation in Central Asia citing the Uzbekistan NPF ‘Problem Tree’ (CACILM, 2006) as a good overall analysis of the underpinnings of land degradation pointing out that these remain inextricably linked to the slow reversal of the Soviet-promoted industrial agriculture paradigm. Based on this analysis, the three root causes of land degradation identified are: (i) mismanagement and over-use of natural resources, (ii) insufficiency of economic infrastructure and market mechanisms, and (iii) insufficient development of capacity and weak inter-sector coordination. More specifically, socioeconomic, political, institutional and policy factors are described (CACILM 2006 a-e) as: (a) the promotion of irrigated cotton production with inadequate drainage; (b) continued subsidies for irrigation; (c) government control of agricultural production; (d) marketing decisions in some countries; (e) lack of development of markets and market institutions; (f) land tenure insecurity resulting from incomplete land reforms; (g) the breakdown of institutions regulating access to common pool resources such as forests and rangelands; (h) lack of government, private or civil society capacity to provide essential services to enforce regulations; and (i) the lack of incentives for land managers (farmers, pastoralists, communities) to invest in protecting and improving the long-term productivity of the land.

26. Land degradation problems in Central Asia reduce productivity and threaten ecosystem services and the sustainable livelihoods of millions of farmers and pastoralists in this region. Land degradation processes have contributed to declines in agricultural yields by 20-30 percent across the region since independence, causing annual production losses worth as much as U.S \$2 billion U.S., and contributing to rural poverty and vulnerability (ADB 2004). The national effects and scope of Land Degradation Problems on the agricultural environment have been described both in the NPFs, framework documents for the Central Asian Countries Initiative for Sustainable Land Management (CACILM), and by ICARDA, 2008 and IFPRI-ICARDA, 2008 demonstrating that productivity of available land is often undermined by land degradation problems. Collectively, these sources demonstrate that salinity and soil erosion affect an estimated 9 and 5 percent, respectively, of the total land area of the region. Salinity affects about half of the total irrigated area in the region, but more than 95 percent of irrigated land in Turkmenistan and 50 percent in Uzbekistan creating an alarming food security problem and limiting future livelihoods. Soil erosion is a much greater problem in the mountainous countries of Kyrgyzstan and Tajikistan where mountain farming and pastoral system productivity on more than one-fourth of the land is affected. Soil degradation through nutrient mining is a huge problem, though much of it is reversible through better soil management and fertilizer use (IFPRI, 2008). Soil productivity in agriculture and in pastures is also affected by overgrazing and soil compaction. IFPRI cites Bot et al.

(2000) estimates of the area of land affected with various degradation forms in different countries of Central Asia. See Section IV Part I for a synopsis of Land Use and Land Degradation effects.

### *Barriers*

27. The NPFs reflect on the mentioned drivers and define the broad barriers that affect the effective combat of land degradation from a capacity perspective. In addition, many of the capacity gaps were previously defined as part of the National Capacity Self Assessment Process. These sources identify a low national capacity, ineffective policy environment, low levels of public investment, and the need to develop decision-making frameworks based on lessons learned from field-level projects and investments need to develop increased national capacity to deal better with a variety of institutional, policy and other barriers to sustainable land management (SLM) that limit an effective response to land degradation. Based on those assessments, national reports generated during the PPG process provide a greater context of the barriers that constrain capacity development at the multi-country and national-levels that involve system, institutional, and individual-level concerns.

28. Inter-governmental Policy and Financing Constraints: The cornerstone of the CACILM structure is the Tashkent Platform Agreement, which is a multi-national agreement to support actions in response to land degradation. The Platform has ministerial-level authority but lacks the higher-level governmental backing to provide for sustainable financing of the national and international structures (see Institutional Context- Section II) on a long-term basis. For most of the participating countries, this technically limits the maintenance and financial support by member states to maintain the national and multi-country secretariats and limits the scope of the decision-making. Consequently, it is also not recognized as a forum for dialogue on interstate land degradation problems and resolution of conflicts.

29. National level-Policy Constraints: The NPFs and NCSA identify policy constraints to SLM. In general, the SRTP identified that the Legislative frameworks are generally functional while the regulatory aspects require attention. The collective list of concerns over the legal framework expressed by the countries are: (a) instruments do not reach the local levels, (b) lack of local understanding of the laws and regulations, (c) Land reforms of different sectors have not been uniform, (d) inconsistencies in land use categories or criteria, and (e) lack of adequate controls or financing to support enforcement. Many of these instruments provide for sustained use of land but without adequate definition of means of determining sustainability. Overall, the paradigm of “production-at-all-costs” is expressed in the CACs through numerous Presidential and Ministerial decrees and provide the actual incentives or disincentives that foment land degradation problems. PPG documents confirm that there are two components to the policy barriers:

- There still exists an “awareness problem” or low levels of consciousness on the part of non-environment sector officials who are still not aware of the costs of land degradation in real terms, witnessed in the continued high priority assigned to economic growth over environmental capital. In fact, many land “funds” are managed with direct Presidential scrutiny. At the local-level, the NPFs and NCSA Reports recognize a low level of understanding on the value of land, its limitations, and its vulnerability.
- The NCCs have not yet evolved into an actor with respect to policy, providing specific solutions to the mentioned policy gaps. Part of this is due to the early position of the NCCs in the evolution of CACILM. They are arguably still part of the start-up phase. However, it is also demonstrated very few CAC actions have been able to move beyond the generalized concept of the “enabling environment.” The NCCs have yet to develop the capacity to conceptualize and develop an action plan or agenda that will lead to the necessary policy reforms in each country, including the mainstreaming and simplification of diverse and often conflicting policies.

30. Weak capacity in key ministries and agencies at Central Government level together with an unclear definition of tasks, structures, commitments and duties, procedures, and human resource deployment: It is

recognized clearly in the NPFs and the NCSA Reports that the human resources capacity uncoordinated and is in need of upgrading to adequately address land degradation problems. The institutional structures created do not yet provide efficiencies nor is there a consolidated “approach” to SLM that could drive a change of management style, incentives, attitudes and increased responsibility and accountability. The NCCs are not yet a strong and efficient “delivery mechanism” and an approach for SLM including the need to improve the inter-institutional and inter-sectoral cooperation mechanisms across the various disciplines and sectors that have an influence on, or are influenced by, SLM.

31. The fact that the institutional roles of national institutions have not been determined in relation to defined functions in the move towards sustainable land management have not been defined. Without these reference points, it is not possible to allocate organizational resources effectively in response to land degradation problems. At present, many NCC member institutions simply attend meetings and weigh-in predominantly on issues related to individual projects rather than report on their individual progress on roles articulated in the SLM process. Without synchronization between capacities and functions it is difficult to properly assess the capacity building needs of the individual institutions that comprise the NCCs.

32. Structural Constraints to Sustainable Financing: There is no national budget system in any of the CACs that allows an adequate assessment of the amount of funding from national sources in favor of sustainable land management. In many cases, budget expenditures are noted for investments in agriculture, water management, pasture development, and forestry. Often, the information available is limited to the government expenditures to the competent institutions which include all organizational costs. This constrains the identification of the actual investments in combating land degradation. Likewise, it is difficult to acquire accurate and updated information on budget expenditures.

33. There is no strategic approach to targeting resources between agencies to respond to prioritized land degradation problems. The approach to financing does not include the concept of eliminating losses or overlap for greater financial effectiveness. The financial information constraints mentioned above also make it difficult to determine overlap and waste in government spending that could, through proper allocation provide resources for SLM.

34. Individual capacities constraints to institutional financing: Only a few institutions involved in land management demonstrated a forward thinking approach to the business planning aspects of their institutions that enabled them to successfully compete for government funds against the more traditional economic and social development sectors. On a broad scale, many institutions lack the personnel with financial planning, project planning, and proposal preparation skills that would enable them to compete for a larger share of national resources. At the system level, there is no strategic approach to financing sustainable land management that could assist the NCC member institutions develop a pathway for developing their own projects as part of a greater coordinated portfolio at the national-level. There is little understanding of the potential, protocols, and access to innovative financing mechanisms and instruments such as those under the clean development mechanism that could support national efforts.

35. Limitations in integrated land use planning: The need for integrated and collaborative land-use planning and management was identified in the NPFs. This recognition is a great step forward. However, the NCCs and their members, new NGOs, and local governments have no previous practical experience or approach in collaborating in this regard. The fact that many of the current professionals developed their careers under a central planning paradigm and have never had the opportunity to participate in a collaborative planning process (both inter-agency and intra-agency). Capacity building at Local Government level recognizes that they are closer to the operational land use activities than Central Government. A number of CACILM projects are beginning a collaborative approach. However, these experiences are new and are disconnected from the decision-making process at the national-level. These experiences do not yet have a framework for up-scaling the lessons learned.

36. With the CACILM structures now in place, the NCC structure provides a conduit for the horizontal communication between land-related agencies. However, there is still a large vertical gap between the grass-roots level and the NCC and between CACILM projects and other local level actions. The results from projects at the ground level are not systematized in a way that will enable the lessons learned to be included as a basis for policy-making.

37. “Capacity Building” is not an integral component of the NPFs, partly because the role of systematic capacity building is little appreciated or understood. Capacity building is generally understood by most in the context of technical training in individual project. It is not, however, defined in terms of a critical component of an SLM program with specific targets at the system level, methodologies for continued tracking of capacity development, and actions defined in relation to critical functions detailed for stakeholders and decision-makers. Issues such as the amount and types of academic talent needed for decades into the future to solve LD problems (technicians, economists, policy specialists, etc.) and how to develop the needed talent base, address the weak “awareness” concerns, and definition of capacity building actions to support the functions of society needed to achieve sustainable land management<sup>6</sup>.

38. Cultural constraints to a developing a capacity building process: As described earlier, no synchronization of roles and functions of national organizations underscores a lack of understanding of capacity building processes and techniques, which is a large barrier in itself to capacity development. To date none of the recognized tools for determining capacity building has been extensively applied enabling a comprehensive capacity analysis for discussion among the NCC members. The PPG experience underlines some of the underlying language and cultural difficulties to assessing capacities. During the PPG phase, an attempt was made to adapt and apply a capacity assessment tool from the GEF/UNDP SIDS-LDC Project Monitoring and Evaluation scorecard that is friendly to both land degradation and capacity building issues. Although many good ideas were exchanged, the results were inadmissible because the tool proved to be difficult to correctly translate. A vast majority of professionals in CACs speak fluent Russian as a second language, now, long after independence, the national languages are gaining prominence. Many concepts were not correctly translated into Russian, leaving still further confusion as the concepts were translated into local languages during discussions. Furthermore, the PPG team noticed that many young professionals will not openly criticize the capacity of sitting officials. Conversely, officials interviewed were reluctant to discuss capacity deficiencies. Openly admitting to a capacity gap could jeopardize one’s job. To many, “Capacity Building” is a synonym for “training.” The experience underscores the time and effort needed overcome the complex institutional, linguistic, and cultural challenges to applying recognized capacity building and organizational development tools.

## **1.5 Stakeholder analysis**

39. Please see the detailed description of stakeholders’ relevant responsibilities and anticipated roles in the project in the Stakeholder Participation Plan in Section IV.

40. The NPFs embrace the principle of full stakeholder involvement in combating land degradation. Likewise, CACILM is committed to creating and working through a broad-based constituency to promote SLM. Stakeholders were involved in the planning stages of the project through international and national-level workshops comprised of persons from within the CACILM structure (National Secretariats and National Coordination Councils) and by NGO and local representatives. A full stakeholder involvement plan is included in section IV that provides a stakeholder identification table, a detailed description of stakeholder participation in the design of the project and a complete list of provisions to facilitate stakeholder participation. The approach to stakeholder involvement for the MCB Project is based on the stakeholder participation plan outlined for the CACILM Multi-country

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<sup>6</sup> The cornerstone of UNDP’s capacity building approach is matching capacities to functions.

Partnership Framework that recognizes stakeholders at three levels: the Multi-country, the national, and the local levels and purports mechanisms for stakeholder enhancement and participation at all levels.

41. At the *multi-country level*, the CACILM partnership involves major stakeholders who are representatives of the CAC governments, Members of the Special Partnership Agreement (ADB, GTZ, GM, GTZ, UNDP, FAO, and other development cooperation partners). At this level, Stakeholder involvement and coordination is provided through the CACILM steering committee, which is the highest level of authority, dialogue, and source of feedback for the MCB Project. A smaller but agile Project Steering committee comprised of national representatives will meet regularly to provide inputs from national-level actors on a timely basis (see management arrangements).

42. At the national level, the national coordination council (NCC) is the steering group that provides the forum for participation by multiple actors. The central government agencies responsible for various aspects of land use and conservation (such as finance, economy, agriculture, forestry, land administration, environment, hydrometeorology, and disaster management) are part of this framework in addition to NGOs, development cooperation partners, and efforts are being made to include non-technical agencies, private sector, academic institutes and civil society. Each NCC has a National Secretariat (NSEC) that functions as an executive office for the NPF and coordinates and advises the NCC Chair and leadership. The NCCs are still early in their evolution and require organizational strengthening, updated roles and responsibilities to become an effective stakeholder forum. Institutionally, the national level stakeholders, especially the academic institutes and state agencies have significant human resources with a high academic standing but suffer for lack of investment and often times operate in sub-standard infrastructure. Many of the older staff members do not have computer or communications capabilities to today's standards with limitations to openly access online information. The state agencies have had little opportunity to be involved in new ways and collaborative approaches to SLM. The younger graduates are computer savvy and communicate freely through all modern means, but are not showing interest in traditional SLM related fields, such as agronomy, soil science, or land management. This has implications for the accessibility to electronic information, access to electronic networks, and to computer training and distance learning programs.

43. At the *local-level*, a high percentage of the population (from 43% in Kazakhstan to 75% in Tajikistan) depends on land for livelihood. Land degradation affects perhaps one third of the CACs' combined population, some 20 million full- or part-time farmers, pastoralists, and their families. The CACILM CPP (2006) characterizes these as "skeptical stakeholders" having lost much of their well-being and social safeguards after the dissolution of the Soviet Union. An important local stakeholder group is the local governments, which benefit in different ways from different land-use reform measures. In locations where the functioning of local governments were seriously disrupted in the early years of independence, alternative or parallel mechanisms of local consultation and decision-making emerged, especially in Tajikistan and Kyrgyz Republic, such as village organizations or *jaamat* resource centers.

44. Other local-level stakeholders include interested non-government organizations who are emerging as an important resource in coordinating between communities and between regions. NGOs operate with different degrees of freedom depending across the CACs and have a limited representation in the NCCs. They are however evolving as important vehicles for upstream and downstream communication in response to the vertical barriers to the upward mobilization of information and experiences generated from CACILM projects. CACILM projects financed by GEF, other bi-lateral donors, and national governments present in themselves an additional stakeholder group. The project managers, staff, and counterparts are now beginning to develop a unique experience in working with and overcoming land degradation problems. Their experience is formerly channeled to the NCCs through the NSECs. There is however a problem with integrating the information throughout the NCCs and converting the lessons learned into policy (see barriers) or up-scaling the experiences into larger regional programs.

45. The Stakeholder Involvement plan includes measures at all three levels in increase stakeholder participation summarized as follows:

- At the international level, the project will work to increase the strength of the inter-governmental structure supporting the CACILM structure.
- At the national-level, the project will increase the effectiveness of stakeholder participation by addressing system-level institutional weaknesses observed in the initial phase of CACILM (see barriers) by outlining strong roles for NCC member organizations and increasing training and capacity building to better the decision-making process and provide the NCCs with model approaches towards Sustainable Land Management Planning. The MCB Project provides strong roles for active involvement of the NCC in the coordination and approval of key capacity building products and in the selection of participants for working groups. To further include the participation of the NCC actors and agencies, two stakeholder working groups in capacity building and in economics are proposed.
- At the local level, the project will create plans and mechanisms that will eliminate the vertical divide between the national and local levels through local events, increased contact between NCC members and CACILM projects, and defined plans for up-scaling lessons learned from the field.
- Capacities of individuals in key stakeholder groups will be defined and included in a capacity building action plan at the local level.

## **1.6 Baseline analysis**

46. The major baseline actions include the development of studies and framework documents and several key projects that provide information on the situation analysis and guidance on the potential approaches to responding to the capacity barriers and gaps.

### *Baseline Framework Actions*

47. National Action Programs (NAPs) for combating drought and desertification were prepared by the five CACs between 1997 and 2001. The NAPs contained a wealth of data on land desertification processes, geographic characteristics, and the natural and anthropogenic causes and consequences of land degradation. However, the NAPs were weak on policy and programmatic content, were not linked to national planning and budgeting, and implementation was negatively affected by weak institutions, insufficient capacity, and a lack of funds (UNDP, 2008).

48. Reports on Issues and Approaches to Combat Desertification (IACD) were prepared in 2003 for each of the CACs with ADB and GM support. The five national reports were supplemented by a Regional Synthesis Report (Saigal, 2003) that signaled the need for institutional and systemic capacity building support including: (i) strengthened capacity of national focal institutions and focal points responsible for UNCCD; (ii) skill building in project and program proposal preparation for support by domestic and international parties; (iii) enhanced capacity of local governance structures, NGOs and community leaders in participatory local area development; (iv) support monitoring, evaluation and other selected forms of analysis, including the capturing of information concerning best practices.

49. The Sub-Regional Action Programme for the Central Asian Countries on Combating Desertification within the UNCCD Context (UNCCD, 2003) (SRAP-CD) was prepared following the IACD Reports (2003) to stress the importance national and trans-national land degradation problems and identify and promote multi-country synergies. It starts with a Ministerial Declaration by the five CACs, and identifies six areas of sub-regional cooperation: (i) Monitoring and evaluation of desertification processes; establishment of an early warning system for drought and drought mitigation; (ii) Improvement of water

use in agriculture; combating erosion, salinization, and swamp formation; (iii) Agroforestry and management of forest resources and watersheds; (iv) Pasture management; (v) Conservation of biodiversity and nature protection; (vi) development of eco-and ethno-tourism; (vii) Economic capacity building of local communities.

50. The SRAP-CD identified the capacity barriers and suggested the organization and conduct of training courses on combating desertification as an important tool for the UNCCD implementation and noted that the scientific and research institutions and field stations, which exist in all CACs, will be activated for training courses. Unfortunately, the majority of these that flourished during Soviet times suffered a great loss of capacity due to low levels of investment or abandonment (see stakeholder analysis).

51. The UNDP-GEF National Capacity Self-Assessments (NCSA) were implemented by the CACs from 2005-06 (on-going in Turkmenistan) and contain the latest assessment of capacity needs for SLM and for meeting the countries obligations under the implementation of the UNCCD, UNFCCC, and CBD. Through these assessments, the CACs identified capacity gaps and formulated solutions. The key points from the NCSA are incorporated into the barriers section. An Overall list of capacity issues defined by the NCSA by country is included in Section IV, Part VI

52. The Sub-Regional Training Program for Participatory Sustainable Land Management (SRTP) grew out of the SRAP-CD in the Aral Sea Basin accords agreed to by the five CACs in 2003. At the request of the Minister of Nature Protection of Turkmenistan, the Global Mechanism of UNCCD (GM) agreed to support the initial phase of SRTP which was implemented in an initial phase by the National Institute of Deserts, Flora and Fauna (NIDFF) in Turkmenistan who established an SRTP Secretariat within the NIDFF. The objective of the SRTP is to improve human and institutional capacity for implementing sustainable land management (SLM) in the Central Asian countries and to enhance coordination and collaboration between institutions and communities for promoting SLM at the subregional level. The SRTP's specific objectives were to: (i) promote the use of participatory methodologies for improved SLM; (ii) strengthen strategic and institutional frameworks governing natural resource use, as well as human potential; (iii) enhance influence on the mechanisms of political decision-making and legislation in the field of sustainable management of land resources; (iv) increase inter-country and international collaboration for sharing successful approaches; (v) studying successful strategies and modern technologies, as well as identifying and meeting targeted training needs. The first two core areas identified by the SRTP are particularly relevant to the MCB Project. Section IV, Part VII presents summarizes the SRTP recommendations.

53. The SRTP was not implemented beyond the initial analysis activities. Points (i) (ii) and (iii) are of particular interest to the MCB project and are woven into the barriers analysis. The remaining points are under implementation through two of four multi-country projects within the CACILM framework: SLM-Information Systems and SLM-Knowledge Management, described below.

#### *CACILM Multi-country Partnership Framework:*

54. The Strategic Partnership Agreement (SPA): In 2001, in response to the ad hoc nature of development cooperation and the need to formulate a sustainable and coherent strategy for UNCCD implementation in the CACs, the GM, the Asian Development Bank (ADB), CCD Project of GTZ, the Canadian International Development Agency (CIDA) formed the Strategic Partnership Agreement (SPA) for UNCCD Implementation in the CACs to enhance collaboration between the CACs and their external partners. The membership was expanded in 2003 to include ICARDA, IFAD, SDC and later, UNDP, UNEP, and FAO were included.

55. The Tashkent Program of Action: In 2003, the GM convened, with SPA support, a forum in Tashkent on partnership building for the CACs to address land degradation and poverty. The result was



an action plan including a strategy to capitalize on the new opportunities presented by GEF's OP 15. A Working Group on Partnership Development for UNCCD Implementation was established in each CAC composed of representatives of key government ministries and agencies, local authorities, research institutes, and civil society, and at least one bilateral or multilateral partner, thus broadening stakeholder participation in UNCCD implementation.

56. CACILM Multi-country Partnership Framework: In 2004, extensive stakeholder consultations were undertaken by CACs and development cooperation partners, culminating in a GM and ADB sponsored workshop where the key elements for the Central Asian Countries Initiative for Land Management (CACILM) were formulated. CACILM was developed to ensure a coordinated and integrated approach to SLM to be implemented in the CACs over a 10-year period, 2006–2015. A multi-country CACILM Task Force, comprised of the UNCCD Focal Points, SPA members, and chaired by ADB as the lead GEF agency became the international steering body with the working groups providing the in-country mechanism for developing a participative process. GEF support began in May 2004 with the approval of a concept note for the CACILM Country Partnership Program (CPP). Subsequent PDF-B funding provided in 2005 produced four outputs: (i) national programming frameworks (NPFs) for each country, including a prioritized program of projects and technical assistance and related concept papers; (ii) the CACILM Multi-country Partnership Framework (CMPF), prepared as a multi-country CPP; (iii) mechanisms for consultation and coordination within and among countries that enhance the participation of stakeholders, provide efficient and effective mechanisms for the implementation, monitoring, and evaluation of CACILM, and enhance harmonization of funding agencies; and (iv) increased awareness and commitments by national stakeholders and development cooperation partners.

57. The National Programming Frameworks (NPFs) The national programming frameworks are directed at combating land degradation to ensure livelihood improvement, social and environmental security, and poverty reduction. They were developed through a process of review, updating, and problem analysis, and specify land degradation problems in each country and analyze the natural and human causes of land degradation in the unique historical and cultural contexts of each. They also present a prioritized program of projects, technical assistance, and related concept papers arising from a participative process. The national programs include activities grouped into seven areas: capacity building, sustainable agriculture, sustainable forest and woodlot management, sustainable pasture land management, SLM research, integrated resource management, and protected area management and biodiversity conservation. In Kazakhstan and Uzbekistan, additional activities are proposed for lower Aral Sea region remediation. The NPFs also provide for program coordination as well as and monitoring and evaluation activities.

58. The country-level activities are grouped into the following program areas defining the necessary policy, legislative, and institutional conditions for SLM. The NPFs include the following priorities: (i) elaborate an approach to mainstreaming SLM into national development planning and budgetary processes; (ii) recommend effective mechanism(s) for broad stakeholder participation in the formulation, design, and implementation of activities; (iii) identify the priority problems and constraints to SLM; (iv) identify the priority investment and technical assistance requirements and their sequencing; (v) identify and match the ongoing and planned investment and technical assistance programs of external agencies to the individual national needs; and (vi) specify a monitoring and evaluation system that will identify objectives, milestones, and indicators to measure progress against benchmarks for SLM and resource mobilization.

59. The NPFs refined the priority capacity issues relating as follows:

Table 1: Capacity Needs per Country based on NPFs

ACTIVITY	KAZAKHSTAN	KYRGYZ REPUBLIC	TAJIKISTAN	TURKMENISTA N	UZBEKISTAN
Strengthening Enabling Policy Environment	X	X	X		X
Strengthening Legislative and Regulatory Capacity	X	X	X	X	X
Strengthening Institutional Framework	X	X	X	X	X
Mainstreaming into National Poverty Reduction Strategies and Budgeting Processes	X	X	X	X	X
Strengthening Support to Local Administration and Participatory Mechanisms: Pilot Projects	X	X		X	X
Establishment of a new Marketing Mechanisms		X			
Expansion of Information Technologies in Remote Areas		X			
Strengthening local Government in Participatory Land Use Planning and Budgeting	X	X	X		X
Combating Desertification and poverty by means of Community Mobilization	X	X	X		X
Strengthening Sustainable Land Management Information Systems	X	X	X	X	X
Strengthening Community Forest Management	X	X	X		X
Establishment of National Centre on Combating Desertification	X				
SLM Higher Education	X				
Enhancement of Awareness and Public Participation	X	X	X	X	X

Source: GEF-UNDP: MCB Gap Analysis based on NPFs

60. The CACILM Framework: Under the GEF-ADB Multi-country Partnership Framework Support Project, the CACILM Task force was formalized into a CACILM steering committee (CACILM-SC) with responsibility and authority for the overall management of CACILM's implementation. The CACILM-SC is comprised of representatives of the CAC governments, GEF implementing and executing agencies, bilateral agencies, and other participating international organizations. A CACILM Multi-country Secretariat (MSEC) was established to support the steering committee in managing the overall implementation of projects and activities included in the CMPF.

61. At the national level, the National Coordination Councils (NCCs) coordinate the overall country-level implementation of projects and activities mandated by the NPF, supervise activities that are direct responsibility of the councils, monitor performance of all project and activities, report to the CACILM steering committee, and review and endorse proposals for consideration by the steering committee. The NCCs are supported by National Secretariats (NSECs) that will support the councils in the implementation of NPF projects and activities. See also Institutional and Legal Context and Management Arrangements for further information.

62. Implementation in all NPFs is divided into three phases: (a) Phase 1: Inception July 2006–30 September 2009; (b) Phase II: Full Implementation: 1 January 2009–31 December 2013; Phase III; and Phase III: Consolidation: 1 January 2014–30 June 2016.

63. CACILM Multi-country Framework projects: The proposed project is one of four multi-country projects to respond to system level capacity gaps. Through the Multi-country Programming Framework Support Project, GEF-ADB is implementing three technical support initiatives in Information Systems, Research, and Knowledge Management:

64. (a) SLM Information Systems: To respond to the poor state of land degradation monitoring and information and the need to update or validate the picture of the current state of land resources and related socio-economic data, CACILM is developing a sustainable land management information system (SLM-IS). The SLM-IS is supporting the performance monitoring system to ensure that important sustainable land management indicators are systematically tracked. Monitoring and evaluation at the level of CMPF is consolidating and analyzing both the multi-country activities and the results of national reporting for dissemination to all CACILM stakeholders. A common set of indicators is under development in each country. In the first instance, the system will be directed toward monitoring the performance indicators in the NPF and CACILM logical frameworks. Ultimately, the system will be used for collaboration among the CACs toward reduction of agricultural land degradation and for trade development. The SLM-IS involves current international efforts toward the harmonization of data and information management. The Land Degradation Assessment in Drylands (LADA) project is supporting the SLM-IS in the development of a Atlas of Land Degradation. The LADA project supports decision making for sustainable development in drylands at local, national, sub-regional, and global levels. CACILM intends to adopt the LADA methodology, approach, and indicators and is working with FAO in design, development, and deployment of the SLM-IS. The association between the projects is intended to create considerable synergy between these ongoing initiatives.

65. (b) SLM Research: The SLM Research (SLM-R) project supports demand-driven land-use research and dissemination of research results to the target audiences in the CACs that will: (i) help to better understand the policy and institutional failures that drive land degradation; and (ii) facilitate the calibration and adoption of innovative SLM practices and technologies. The project is producing tested results on techniques such as land leveling that respond to the need for substantive stakeholder involvement and for the right mix between research directed at quick-yielding results as well as long-term issues, such as loss of soil fertility.

66. (c) SLM Knowledge Management (SLM-KM): CACILM has established a knowledge management system to process knowledge efficiently and effectively and capitalize on the skills and knowledge in different countries and in different SLM areas. The knowledge management processes are categorized in four stages: (i) knowledge creation and capture in all operations, projects, and activities; (ii) knowledge sharing and enrichment, (iii) information storage and retrieval, and (iv) knowledge dissemination.

67. Knowledge capture and sharing activities will be supported by CACILM LEARN, which fosters structured learning, information sharing, collaboration, and replication across the CACILM portfolio. CACILM LEARN stakeholders will be able to adapt and apply learning, information skills, and tools to advance and sustain the benefits of their respective SLM projects through sharing information and communication technology (ICT) tools. Explicit knowledge will be captured in the form of documented outputs generated during each project's implementation.

68. Knowledge sharing is also fostered through the development of an SLM network and work with key individuals and organization to establish a SLM community of practice. The SLM community and practice and SLM network will provide a forum where new ideas on development issues are exchanged, debated, and made more relevant before their dissemination within and outside CACILM. Electronic means will be enhanced through knowledge sharing and enrichment, including seminars, workshops, and meetings among CACILM stakeholders. A bilingual (Russian and English) website has been developed and administered by the CACILM MSEC. CACILM also expects to establish a project library and e-learning center.

69. CACILM LEARN will support of its SLM strategic priorities through personal interactions and international exchanges through an accessible ICT infrastructure will foster inter-project learning among all stakeholders across Central Asia. Experiences resulting in good practices and lessons learned will be transferred horizontally across projects, and fed back from the CACILM secretariat M&E unit to projects in preparation and those underway. Information products generated by projects and through these

exchanges can be readily discovered, accessed, and applied at the institutional level to improve SLM across Central Asia.

70. A knowledge management plan will be developed, which will include the overall plan for knowledge generation, knowledge capture, knowledge sharing, knowledge and information storage, and knowledge dissemination. Taking into account the special needs of the CACs and the CMPF, the plan will be based on the experiences the CACILM development cooperation partners. The knowledge management plan will also draw on the experience of other SLM knowledge management initiatives and expects to share knowledge with other SLM knowledge management systems.

71. The MCB Project proposes highly complementary national level measures that will enable the grass roots who are not electronically inclined to access benefits from the network.

72. Additional Networks: In addition to the SLM-LEARN and network, there are several key projects producing networks that the MCB Project could utilize for expanding capacities. These include the following:

73. (a) The Central Asia Regional Environmental Center (CAREC) with support of the European Commission and the government of the Netherlands maintains an extensive electronic network for water management and issues. Their initiative entitled, "Training for Young leader-ecologists of Central Asia provides additional connecting potential for capacity building materials and courses. Based in Kazakhstan, CAREC's network reaches all CACs. A network partner project, "Drynet," began in 2008 financed by the European Commission that will strengthen and build the capacity of local communities and NGOs for improvement of methods to combat drought and desertification.

74. (b) RIOD The International NGO Network on Desertification and Drought. RIOD reaches NGOs principally with access to the internet in all of the CACs and was the target of capacity building to dynamize NGOs through the GEF-UNDP Community Mobilization in Central Asia: Promoting Community Based Sustainable Land Management and Capacity Building. The project, recently concluded requires monitoring for lasting effects. In that sense, the lessons learned will influence how the MCB and the SLM-KM should approach grass roots networking. NGO participation varies between nations who do not have uniform levels of freedom for forming organizations and taking social and technical positions.

75. (c) Water Users Associations: In the Kyrgyz Republic, Uzbekistan, and in Kazakhstan, networks of water users associations of varying degrees of sophistication have been supported by World Bank, UNDP, USAID, and Swiss Cooperation through several projects such as the "Basin Plans for Integrated Water Resources Management (IWRM) and water savings, or the "Water User Associations Support Programme. These networks are not connected to SLM related organizations because of their sector focus but provide valuable access to land users who are, in fact, water users integrated into over 51 water users associations in 3 countries. These structures provide opportunities for cross-sector communication, integration, and dissemination of information, especially to groups that do not

76. (d) Rural Advisory Service (RAS): The Rural Advisory Service is the product of a \$10,000,000 investment by the Swiss Government through Helvetas, the SDC, Credit from IFAD, and funding from the World Bank. The Advisory Service has reached an estimated 17,000 farmers of a possible 200,000. They operate through a network of 240 private rural consultants who were technically qualified through the in 6 regions of Kyrgyzstan in cooperation through a non-profit Advisory Training Center (ATC, [www.atc.kg](http://www.atc.kg) ). Established by the Kyrgyz-Swiss agrarian program, the RAS and ATC offer numerous consulting services in Farmer field schools, agronomy, mechanization, animal husbandry, economics, among others. The project has successfully stimulated the demand for agriculture technical support, for which the farmers are willing to pay a modest fee. The RAS works in the majority of villages, and has 3 – 4 representatives at the district level (the agriculturist, the expert in marketing). This RAS is a potential partner for inclusion in which in turn pass relevant training in CEC. This is an important baseline experience in deciding how to extend rural extension or advisory services throughout the region.

77. Concurrently, the FAO will be completing a diagnostic assessment of extension services and their effectiveness. These inputs will be extremely important information for the examination of opportunities to close the vertical divide that separates research and training from the experiences in the field.

78. Designing Integrated Financing Strategies for Combating Desertification (DIFS) is a GM initiative focused on targeted capacity building that aims to enhance the capacities of a group of key national stakeholders in affected countries to use the principles, analyses, processes, tools and techniques for formulating an Integrated Financing Strategy to address issues related to land degradation. The Integrated Financing Strategy is a guiding framework for locating and developing a mix of financial resources to fund programs and projects related to combating desertification and sustainable land management (SLM). While helping to develop the appropriate blend of funds – namely internal, external and innovative – the strategy helps countries to further uncovers potential barriers in resource identification, allocation, and disbursement. It highlights aspects in the policy, fiscal, legal, institutional, and human resource environments that may act as barriers to implementing certain actions in resource mobilization or program execution. Within the directions provided for mobilizing finances from the three main sources, the strategy additionally recommends a number of actions for overcoming identified barriers in the enabling environment. The Global Mechanism has begun the process of adapting this program to Central Asia<sup>7</sup> by uniting representatives from the NCC and NSEC representatives to an international training event in 2007. Based on this intervention, GM has begun to translate materials into Russian. Based on the initial intervention, the CACs subscribed to continuing the program as part of the SLM process.

79. CAMP agencies (CAMP-Alatoo) a multi-country NGO have been successfully implementing training programs in collaborative planning to pasture management and disaster management. CAMP has been instrumental in implementing a series of learning events in several of the CACs entitled, “Dare to Share Fairs” with GTZ and UNDP support highlighting sustainable mountain pasture management techniques. These learning and sharing events are innovative and have stimulated dialogue among many diverse actors

80. Capacity building is included in many projects as a cross cutting theme. The implementation of local projects is the best vehicle for capacity building at the individual and local levels because they are tailored to local conditions. Within the CACILM projects, there are several initiatives that provide a particularly unique perspective to aspects of system level capacity building that will need to be tracked during the life of the MCB Project for exchange of lessons learned.

81. (a) In 2005, the UNDP project “Institutional capacity building for sustainable development” initiated support to the Government of the Kyrgyz Republic in development of new mechanisms of resources mobilization in environmental protection and sustainable development areas. The national and international experts, representatives of the stakeholders provided assessment of capacity to carry out debt swap transactions within the agreement between Kyrgyzstan and the Paris Club. Currently, this initiative requires further consideration among the stakeholders and it appears to have a good capacity to attract resources for SLM through the application of an innovative financing mechanism.

82. (b) GEF-UNDP-GTZ: Sustainable Rangeland Management for Rural Livelihood and Environmental Integrity Project (PIMS 3819) in Kazakhstan will develop Capacities and knowledge on Integrated Sustainable Range Management of local government and community based structures and individual farmers. One of the key activities will be the development of knowledge management through CACILM, and strengthened capacities of governmental and non-governmental organizations for land use planning. This project will provide good co-lateral experiences and will use the MCB Project activities as a conduit for up-scaling lessons learned.

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<sup>7</sup> [http://news.global-mechanism.org/u/gm.php?prm=LJJwd4Nkjh\\_110986870\\_70675\\_1540](http://news.global-mechanism.org/u/gm.php?prm=LJJwd4Nkjh_110986870_70675_1540)

83. (c) GEF-UNDP (PIMS 3726) Capacity Building for Improved National Financing for Global Environmental Management in Kyrgyzstan: The project objective is to improve fiscal measures for collecting, managing, and allocating revenues for global environment management through (i) improved tax instruments, (ii) a comprehensive budget process for natural resources mobilization, (iii) strengthened capacities to assess and manage fines to support global environmental protection. The results of this project will indicate the potential success of developing internal mechanisms under the DIFS program.

84. (d) GEF-UNDP Demonstrating Sustainable Mountain Pasture Management in the Susamyr Valley – Kyrgyzstan (PIMS 3220). The project has a component to improve the institutional and local capacity for sustainable pasture management. The effects of the capacity building process should be considered as part of the capacity building strategies proposed in the MCB Project.

85. (e) GEF-UNDP-GTZ-GOT: Capacity Building and On-the-ground Investment for SLM in Turkmenistan (PIMS 3188). The project will work to increase the standard of organization of land users and improve the capacity of land users to participate in land use planning. These experiences in Collaborative Land Use will be important in the MCBs effort to promote collaborative management on a broad scale. The styles of the villagers and their capacity for management following training will be important lessons learned.

## **PART II: Strategy**

### **2.1 Institutional, legal and policy context**

86. For detailed description of roles and responsibilities relevant to the project, please see Part III Stakeholder Involvement Plan.

87. As described in the barrier section above, the regional institutional and policy context is evolving but is weak in the sense that the agreements to operationalize actions across the CACs do not have the rule-of-law. Instead, the SRAP-CD and the Tashkent Platform are the product of Ministerial-level decrees. This creates a legitimacy issue for the Multi-country secretariat, which is not financially maintained by member states through their national budgets, and therefore not actually a Secretariat. The ratification of the Tashkent Platform has provided a forum for cooperation but not formal structure for negotiating solutions to multi-national land degradation problems. Other structures do exist, such as the Interstate Cooperation Framework. This framework does not tacitly address land degradation problems. There is a need to develop a forum to identify, develop, and negotiate international protocols necessary to respond to cross-border land degradation problems in addition to financially supporting an inter-governmental structure, in addition to supporting the inter-state structure.

88. At the National Level, the participating nations have established National Coordination Councils that are comprised of multiple agencies with roles in the promotion of solutions to combat land degradation. The NCCs function as a steering committee for the implementation of the National Programming Frameworks. These have members comprised of the UNCCD focal points, Agencies within the Ministries of Environment and Agriculture, specialized institutes for geographic information and hydrologic development. The NCCs are coordinated through a National Secretariat (NSEC). The mentioned structures are still relatively new and are evolving into operational structures. Often, the private sector and the NGO community are under-represented. The main institutional gaps are evolving the NCCs to fulfill a more comprehensive dialogue and decision-making role in SLM beyond simply steering the results of Pilot Projects, limited inclusiveness of the NCCs to cover key functions, lack of analytical support decision-making members of the NCC and under-utilization of key assets by member organizations due to gaps in the description of the functions of NCCs to fulfill roles in mainstreaming and development of policies. These are not legal entities with legal persona, which contributes to an inability to secure national funding for common functions across all member agencies and maintenance of the

NSECs. The NCC is co-financed through the participation and time of the member organizations and the provision of office space. These bodies require capacity building and legal status in order to develop financial systems and to continue their development into effective decision-making entities.

*Legal Framework:*

89. The Tashkent Plan of Action was convened in 2003 by the GM and developed with SPA support for a forum on partnership building for the CACs to address land degradation and poverty. The plan of action is a cooperative structure and does not have any legally binding aspects. There is no specific forum for identifying, discussing, and reaching solutions to conflicts over land degradation problems that are multi-national in scope.

90. Many of the national legal frameworks<sup>8</sup> that affect land management in the CACs were put in place following independence. Many framework land laws were designed and have been effective in initially facilitating the transition from a centralized authority to emerging paradigm of private ownership. A similar suite of basic land legislation is present in all five countries with laws to govern land classification, water use, pasture use, and defining of differing bundles of owner rights and responsibilities. Framework laws are supported by codes to regulate and provide operational aspects of the legislation. These instruments also define the sector authority for agriculture, range, forestry, protected areas, urban and commercial property development, industrial soil uses, and in some cases wildlife management. Often these are in the form of sector codes, tax codes, civil codes, and coding to provide for administration and sanctions for uses. Understandably, many of the codes are not fully regulatory, and do not provide provisions that enable legal actions against violators, adequate incentives to reward good land uses (or positive externalities), avert long term damage, such as declining soil fertility, or clearly distribute responsibilities for administration of natural resources. Associated concerns over the legal framework expressed by the countries are: (a) instruments do not reach the local levels, (b) lack of local understanding of the laws and regulations, (c) Land reforms of different sectors have not been uniform, (d) inconsistencies in land use categories or criteria, and (e) lack of adequate controls or financing to support enforcement. Many of these instruments provide for sustained use of land but without adequate definition of means of determining sustainability. Overall, the paradigm of “production at all costs” is expressed through numerous Presidential and Ministerial decrees. These instruments are numerous and provide the actual incentives or dis-incentives that foment land-use and provide the context to the legal framework. These also demonstrate the strength of central authority and the high priority assigned to economic growth. Many land “funds” are managed with Presidential scrutiny.

91. The initial analysis from the NPF process and the PPG documents define policy gaps in each country but have been ineffective in defining the suite of solid recommendations required to establish a pathway to untangle the range of legislation and clarify the overlapping responsibilities, mandates, and to legislate actions to fill gaps and create incentives. This demonstrates the need to move away from individual consultancies to generate recommendations and focus on utilizing the multi-institutional nature of the NCCs to begin to manage a process of analysis and dialogue that will lead to specific recommendations and steps on how to approach the improvement of the enabling legal framework.

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

92. A GEF project is necessary to fill the capacity gaps among national level decision-makers and stakeholder groups that limit the enabling environment and that will constrain the effectiveness of the Central Asian Countries Initiative for Land Management (CACILM) apparatus in fomenting sustainable land management throughout the implementation phase. While all national-level partners agree that the

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<sup>8</sup> National PPG reports from the CACs can be downloaded at [www.carnet.kg](http://www.carnet.kg)

CACILM structure is working and operational, there are capacity gaps and barriers both within and outside of the structure that are to be addressed in order to enable effective response to land degradation problems. A GEF project will enable the operative framework that will contribute to the effective execution of the NPFs and, in doing so, contribute to the realization of the NPF's stated goal of improving the incomes and livelihoods of rural populations through activities that reverse the trend of land degradation, and generate broad environmental benefits.

93. It is unlikely that the baseline policy environment will change without specific actions. The project is necessary to contribute to the enabling conditions for the long-term execution and sustainability of CACILM, specifically in the mainstreaming of policies, creation of a favorable environment for SLM investments and improved capacity of the institutions in the CACs for integrated and collaborative land-use planning and management.

94. Building upon the assets, experiences, and weaknesses observed to this point in the implementation phase of the (CACILM), the Multi-country Partnership Framework requires GEF involvement to improve the enabling environment by 1) developing a pathway and solid response to eliminate policy inconsistencies, divergence, and overlap; 2) providing a demonstrated methodology and approach that will better focus resources and results in combating land degradation; 3) increased human capital to combat land degradation; 4) vertically and horizontally integrating the demands and experiences from the local level, CACILM Projects<sup>9</sup>, and different national-level experiences into the national decision-making framework; and d) developing mechanisms for up-scaling and replicating positive experiences from CACILM projects to support future SLM actions. With these actions, the national structures and stakeholders will be in a better position to guide the CACILM implementation phase and address land degradation through sustainable land management programs. A GEF increment will assist the countries to develop the policy and sustainable financing elements of their National Programming Frameworks.

95. A Multi-country Capacity Building Project is needed to overcome the gap that divides decision-makers from the experiences and needs of land users as part of an inclusive and collaborative approach to sustainable land management. In addition, there must be a support to integrate the components and experiences generated under the CACILM CMPF and other initiatives by the government and non-government sources into the decision-making framework.

96. GEF support at the national and multi-country levels is necessary to realize efficiencies, e.g. costs, pooled human resources, and diversity of ideas, in the development of the common tools and methods needed to increase capacities, while providing a process for national-level adaptation, development, and ownership of the capacity building process. The GEF project will seek to define a long-term and strategic capacity building process and institutionalize "capacity building" as a core area of national response to land degradation and, hence, providing the structure for a long-term capacity building and targets at the system and institutional-level needed to complement individual capacity building taking place by specific and localized CACILM Projects and national efforts.

97. The GEF alternative is needed to effectively ground multi-country programs within the diverse scenario of national political and budget systems. Without support from GEF, it is unlikely that needed capacity reforms will be conceptualized, developed, and funded by national budget processes, especially given the internal culture of not openly discussing capacity shortcomings. The project will promote a long-term and systematic approach to developing system, institutional, and individual capacities and assign responsibilities and financial resources to support the process.

98. A GEF Investment in the Multi-country Capacity Building Project is necessary to create the core capacity needed to utilize and apply the tools produced through the complementary Multi-country Projects under the CACILM Multi-country Planning Framework Support Project, namely the SLM Information System, lessons learned from the SLM Research Project, and integration of national

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<sup>9</sup> National-level projects under the CACILM umbrella in support of the National Programming Frameworks.



information and better utilization of the information integrated into the SLM Knowledge Management Network under the SLM Knowledge Management Project. GEF support is needed to apply these tools into an overall decision-making framework and demonstrate the synergies and use of these tools for a targeted area within each country and in the execution of the National Programming Frameworks. The CMPF will not function efficiently without processes, approaches, and abilities promoted by the MCB Project.

99. While states have made significant progress in developing the CACILM Multi-country framework, continued support from GEF and the international community is needed to assist in the evolution of the framework towards more complete country ownership through the dialogue on inter-governmental actions and support to that structure. Adaptive management and evolution of the existing multi-country and national structures based on the initial experience will be promoted in addition to dialogue on how to develop a shared legal and financial framework for responding to multi-country land degradation issues.

100. GEF support to the Multi-country Capacity Building Project will ensure that the investments by GEF and other partners under the strategic partnership agreement will adequately catalyze an effective implementation phase and increase the development of strong national system-level responses to land degradation problems.

### **Project consistency with the GEF Strategies, Programs and Portfolio**

#### *Operational Strategy, Focal Area(s), Operational Program, and Strategic Priority.*

101. Under GEF-3, the project contributes to the CACILM goal, which supports the Land Degradation OP-15 focal area programmatic goal of “mitigating the causes and negative impacts of land degradation on the structure and functional integrity of ecosystems through sustainable land management practices as a contribution to improving people’s livelihoods and economic well-being<sup>10</sup>.” In addition, the project supports the GEF-3 outcomes of (a) strengthened institutional and human resource capacity to improve sustainable land management planning and implementation to achieve global environment benefits within the context of sustainable development, and outcome (b) of an improved policy, regulatory, and economic incentive framework is strengthened to facilitate wider adoption of sustainable land management practices across sectors as a country addresses multiple demands on land resources for economic activities, preservation of the structure and functional integrity of ecosystems, and other activities under SLM-1 through a broad capacity building process.

102. Under GEF 4, The project responds to Strategic Objective 1, “Develop an enabling environment that will place sustainable land management in the mainstream of development policy and practices at regional, national and local levels<sup>11</sup>” by harmonizing sectoral policies and regulatory frameworks and contributing to capacities to support the over-arching goals of the National Programming Frameworks and to develop capacities for resource mobilization that will also include securing financing for SLM. The project further support the Strategic Objective by developing a pathway to promote policy reform and building SLM competence and capacities at the national and sub-national levels in CACs where the drivers of land degradation are significant and well documented and where the people most affected are poor and vulnerable. The project will directly increase the capacity of the NCC at the national level and work to improve the status of a inter-governmental structure, which are the institutions with national and regional mandates in land resources management. This will include training and planning services to enable these institutions to better fulfill their mandates by mainstreaming SLM concerns in public policy and capacity building actions.

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<sup>10</sup> GEF, 2005. Operational Program on Sustainable Land Management (OP #15).

<sup>11</sup> GEF, 2007. GEF Policy Paper: Focal Area Strategies and Strategic Programming for GEF-4.

103. The project also contributes to Strategic Objective 2 by working to “Upscale Sustainable Land Management Investments that Generate Mutual Benefits for the Global Environment and Local Livelihoods.” The project includes measures for resource mobilization within a “targeted” sub-national approach to resource management that includes SLM investments and mobilization of national and local resources focused on a landscape approach in a targeted area. The project also contains outcomes for up-scaling of lessons learned from numerous CACILM Projects and creates fora for integrating current scientific understanding with the benefits and dissemination of best practices achievable through the CACILM Projects. The targeted landscape approach will also create synergies with other focal area objectives in biodiversity conservation and adaptation to climate change. The project works to create the enabling environment for SLM at the national level through capacity building oriented to the NCC member organizations and improve policies to facilitate integrated approaches to collaborative land resources management.

104. The project fits SP-1, “Supporting Sustainable Agriculture and Rangeland Management by creating an enabling environment for the mentioned ecosystems through a targeted and integrated approach to land management and will contribute to the outcome indicators of (a) % increase in joint activities between specialized institutions, and (b) % increase in allocation of resources to sectoral ministries dealing with natural resources. The project fits SP-3, “Investing in New and Innovative Approaches in Sustainable Land Management,” by enhancing scientific and technical knowledge of emerging issues, facilitating the strategy for discussion for GEF-5 and enhancing GEF operations in land degradation. The project will contribute to the Outcome indicators: through (a) national fora and learning events will help to disseminate new information generated by the CACILM Pilot and Multi-country projects as part of the strategy discussion for GEF 5, (b) 100% of designs for projects for GEF 5 from the CACs to reflect new scientific and technical knowledge as generated by the CACILM Projects and from within pertinent areas of the world.

105. The project fits several strategic priorities. Within SLM-1, the project contributes directly to “Fostering System-wide change through the removal of policy, institutional, technical, capacity, and financial barriers to SLM at the country level through an analysis of the enabling environment and integrated financing strategies. It also fits SLM-2: Demonstration and up-scaling of successful practices for the control and prevention of desertification and deforestation through the establishment of vertical and horizontal lines of communication for lessons learned and a process for generating ideas on up-scaling positive results from CACILM Pilot Projects. The project also supports and future CB-2, Cross-cutting Capacity Building initiatives in the CACs by establishing a long-range framework, targets, and indicators for continued capacity building through an institutionalized capacity-building action plan within the scope of the UNCCD that includes cross-sector planning. The project in that sense could lead to further mainstreaming of the other principal conventions.

*Project Fit within the GEF portfolio.*

106. This is an integrated project within the GEF sponsored Central Asian Countries Initiative for Land Management Multi-country Partnership Framework (CACILM MCPF). The inception phase of CACILM is designed to build the capacity for sustainable land management in the CACs. The key activities include:

- (i) Building the capacity of key institutions responsible for planning and implementing land management interventions;
- (ii) Initiation of measures to strengthen the policy, legislative, and institutional frameworks in each country to create conditions conducive for sustainable land management;

- (iii) Design, development, and operationalize land management information systems for evaluation of changes in land degradation status; (iv) establishment of land degradation baseline, using specific land degradation indicators;
- (v) Design and development of sustainable land management research program, with initiation of initial research activities;
- (vi) Initiation of new on-the-ground project investments directed towards specific land management improvements, particular demonstration and pilot projects;
- (vii) Establishment of national level program coordination and management units, with necessary capacity building in finance and administration; and
- (viii) Design, development, and operationalize project monitoring and evaluation systems.

107. The MCB Project responds to activities i, ii, and vii.

108. At the multi-country level, the MCB Project is integrated with the CACILM Multi-country Planning Framework Support Project of which 3 enabling projects: Sustainable Land Management Information Systems (SLM-IS), Sustainable Land Management Research (SLM-R) and Sustainable Management Knowledge Management (SLM-KM) are under execution by ADB through the CACILM structure (see 1.6, Baseline). The MCB Project is the fourth multi-country initiative related to CMPF Support Sub-projects that will contribute system, institutional, and individual capacities to enable the National Coordination Councils (further developed under the CMPF), state agencies, and other stakeholders with skills, methodologies, and approaches to management, policy-making, and financing SLM through focused programming, exchange of lessons, dialogue, and experiences of project managers and land users. The three CMPF multi-country support sub-projects provide the tools, mechanisms, and structure for decision-making to reverse the effects of Land Degradation. The MCB project provides the pathway to improving the enabling environment, a methodology and approach for decision-making on SLM planning and financing, and mechanisms to improve the horizontal and vertical exchange of the mentioned experiences in support of better policy-making.

109. The project design process has benefited from the products produced within the mentioned projects of the CMPF portfolio. The Strategic Results framework of the project was developed in coordination with NSEC heads and monitoring and evaluation specialists, in addition to strong participation and inputs of the Multi-country secretariat, all of which are structures developed as part of the CMPF. The CMPF currently provides for (i) the rehabilitation and improved productivity of selected lands, leading to improved livelihoods, foreign exchange earnings, and food security, and providing indirect protection to threatened ecosystems; (ii) enhanced protection of ecosystem integrity and landscapes; and (iii) broader involvement of civil society and other stakeholders in SLM. The MCB Project provides actions to support (iv) a favorable environment for SLM investments in CACs supported by SLM mainstreaming and improvements in policies, and regulations; (v) long-term, sustained, and harmonized commitments of financial and human resources by mainstreaming SLM in development cooperation partner programs<sup>12</sup>. It is also designed to learn from and include the suite of CACILM Projects under implementation in each of the CACs into a common framework for sharing experiences and lessons learned. The project has been designed to enable the participation of the Multi-country Capacity Building Specialist in CACILM Steering events and includes ample representation from the CACILM structure in the steering of the MCB Project with sufficient actions budgeted to facilitate face-to-face contact between the members of the national structures in developing the necessary capacities.

110. The project will work to bring the lessons learned from all of the CACILM First Generation Projects into a learning network and connect these experiences to the CACILM Knowledge Management

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<sup>12</sup> Asian Development Bank, 2006. Central Asian Countries Initiative for Land Management (CACILM) Multi-country Partnership Framework Project Document.

Network. The project also will provide a forum for further facilitating the replication and up-scaling of the CACILM first generation projects by showcasing them and their lessons learned and connecting them to decision-makers through an “exposure and dialogue” program.

### **2.3 Project Goal, Objective, Outcomes and Outputs/activities**

111. Development Goal: The goal or vision statement of the project is “*the restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD.*” This is identical to the CACILM project objective, which is the framework for all projects under the CACILM structure.

112. Project Objective: “*Increased capacity at the national and multi-country levels to develop and implement an integrated approach and strategies to combat land degradation within an operational National Programming Framework.*” This project objective focuses attention on creating capacities to implement the National Programming Frameworks, which are in force and thereby increase the overall management capacity.

#### ***Outcome 1: Enhanced policy coherence through mainstreaming of SLM principles into national policies and legislation***

113. Outcome 1 responds to the policy gaps and to the need for mainstreaming policies on land degradation and how and what type of incentives is available for production processes, funding available for SLM, and finally, the inclusiveness of policies. Outcome 1 will enhance policy coherence by providing the conditions and capacities that will enable the effective review of the policy framework and to the development of tangible recommendations for policy actions at the national and multi-country levels. The outputs to support Outcome 1 provide for an enabling multi-country agreement, an articulated methodology and tools to analyze and improve policy coherence at the national level. The existing CACILM structure will be the beneficiary of system-level organizational development activities that will make it a more effective and sustainable forum for bringing together diverse agencies for the purpose of guiding the NPF. Secondly, a methodology and process for developing the capacities to facilitate coherent policy development, especially those that influence sustainable financing (outcome 2) will be developed. Outcome 1 contains additional actions that will increase the capacity of decision-makers through training and awareness building in collaborative and sustainable land management. Finally, Outcome 1 will also provide cross-cutting actions with Outcome 2 for incorporating long-term Integrated Financing Strategies and Capacity Building Strategies into the National Programming Framework. Five outputs are presented to develop policy coherence:

##### ***Output 1.1: A strengthened inter-governmental structure to support SLM:***

114. This output takes place at the multi-country and system-level to promote a stronger commitment by the CACILM member nations to co-finance the CACILM structure and to adapt CACILM based on the experience generated from two years of inception. The nature of the commitments of the nations will be examined by the national and international partners. The activities will be coordinated by MSEC and will involve:

- The formation of a high-level multi-country working group with delegates to be determined by the CACILM steering committee and based on nominations from the NCCs.
- A multi-country workshop to develop a proposal for an improved inter-governmental structure and commitments.

- Dialogue at the national-level to increase financing to the multi-country structure and NSECs.
- A final multi-country meeting to update the current agreement, improve the structure, and attain a higher level of financial commitment to the Multi-country entity and to the national structures, setting in place a process for full ownership of the process by the national governments by 2011.

Output 1.2: Fortified CACILM national-level structures and mechanism to support policy development and mainstreaming.

115. The National Coordination Council (NCC) in each CAC will be strengthened through an organizational development process to fulfill their role as an effective national-level forum for policy development and mainstreaming. In coordination with the national secretariat (NSEC) and based on the initial experience under the CMPF, a detailed institutional capacity needs assessment will determine the strengths and assets of the individual NCC agencies and institutions and the institutional-level capacities required for effective execution of the National Programming Framework. The definition of assets and matching to functions will enable the definition of specific institutional-level capacities needed as part of the development of a long-term capacity building strategy. The capacity needs assessment is the combination of three activities:

- A Systems Analysis that determines the multiple administrative policy, legal, and financial sub-systems and functions required to fulfill the National Programming Framework;
- A Strengths, Weaknesses, Opportunities, and Threats Analysis (SWOT) that determines the specific assets of each of the NCC member institutions and other potential partners and the specific capacities and human resources needed to be developed in the short, mid, and long-terms;
- A full Stakeholder Analysis that better defines the actors in terms of their stake (interests), alliances, conflicts, readiness to assume roles, and potential to assume new roles. The analysis concludes with recommendations the development of long-term capacities for each major stakeholder group.

116. The methodologies and protocols for the three assessments will be developed by the Multi-country Capacity Building Unit for adaptation and execution by the National Capacity Building Units with the guidance and coordination of MSEC and NSECs. They will work with the support of a Capacity Building Task Group who will guide the implementation of the needs assessment process and guide the formation of Capacity Building Products by the project (Outcomes 3 and 4). This group is nominated by the NCC and will assist in the coordination of interviews, processing the results, and making recommendations for updating the functions of the NCC member organizations enabling the NCC to take actions such as policy making and review, tracking and supporting financing for SLM, and capacity building. From this process, member organizations (or combinations) with the greatest assets to effectively contribute to core functions, such as policy development, capacity building, and sustainable financing will emerge. Based on the results of the Needs Assessment, the CBU will produce an updated description of organizational functions for approval by the NCC. This information will feed into the long-term capacity building strategy as described in output 3.1.

*Output 1.3. Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing:*

117. An assessment of the enabling environment will provide the framework for the development of policies, mainstreaming integrated financing actions. To adequately assess the enabling environment and support the development of integrated financing strategies under Outcome 2, key stakeholders will be trained in a sound methodology designed to provide them with an approach to analyzing their policy and

financing environments. The national capacity building units in addition to key stakeholders will be backstopped by the Global Mechanism and the Multi-country Capacity Building Unit in the development of the process which includes the following activities:

- Formation of a Policy and Finance Group, which is the core team in each country to guide the process of identifying further gaps, barriers, contradictions, and inconsistencies. The Policy and Finance Group is necessary to guide the development of outcomes 1 and 2 (Integrated Financing Strategy). The stakeholders will be identified by the NCC and must be high profile and comprised of MEA and GEF focal points, SLM technical ministries relevant to policy and finance, and ministry of planning and finance, academia, and civil society.
- A multi-country workshop to train the Capacity Building Units and key Policy and Finance Group members in methodologies to assess the contradictions and inconsistencies in the policy, regulatory, and incentive frameworks. The training event will enable decision-makers to manage the process, utilize information developed by agencies and national consultants in order to define and take actions aimed at resolving the policy gaps. The group will be prepared through the multi-country workshop on the GM's updated Integrated Financing Methodology.<sup>13</sup>
- A national-level training activities will be held to update the entire Policy and Finance Core Team and extend knowledge to a wider audience of key institutes. The CBU will repeat the multi-country training activity to prepare a wider audience at the national level. Training modules will be developed by the multi-country and national capacity building units and implemented at the national level to bring the core teams up to speed on collaborative management and in the steps in developing Integrated Financial Strategies (IFS). The training activities will be facilitated by the capacity building unit. In addition, the Integrated Financing Strategy will be the subject of development through national-level training modules within the modular training program under output 3.3.
- Targeted national-level consultancies will provide missing information on the enabling environment. A GEF financed policy analyst and a resource economist will build off of the information produced during the NPF and PPG processes and support the Policy and Financing Task Group to develop recommendations for specific policy actions. This will include an analysis of the financial flows and effects of incentives. The recommendations will also address the integration of SLM into specific sector plans, strategies, and other instruments which will require adjustment in order to adequately mainstream the SLM strategy with sector programs and plans.
- Publication of an Issues and Options Discussion Paper for wide distribution, but oriented especially to decision-makers in state agencies. The paper will clearly outline the policy issues and options for improving the policy environment and incentives to support SLM and on the need for establishing a targeted approach to SLM. The paper will begin the awareness building process needed for establishing Integrated Policy and Financing Strategies by outlining the Integrated Financing Strategy (IFS) approach within the national context. The Issues and Options paper will establish priorities for which policy actions are needed in the short term, and make

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<sup>13</sup> The IFS methodology has been developed by the Global Mechanism and is detailed in A Practical Guide to Designing Integrated Financial Strategies, Global Mechanism, 2007.

tangible recommendations and suggest actions that will define the roles and responsibilities for taking policy actions.

- A national-level workshop/retreat for NCC and key stakeholders to approve a mainstreaming and policy strategy based on reactions to the Issue and Options Policy Paper. The CBU and NSEC will facilitate NCC deliberations on how to proceed and adoption or adaptation of the recommended actions for improvements in the policy, regulatory and incentive frameworks. Emerging from this process will be a clear outline for execution of the needed integration into sector policies and actions in revising legal frameworks.

118. Output 1.3 is cross-cutting with Outcome 2 (Developing Integrated Financing Strategies -IFS-) that will work to develop the policy coherence with respect to sustainable financing with support of the Global Mechanism.

Output 1.4: Awareness of decision-makers of SLM goals, objectives and principles increased to facilitate mainstreaming of policies:

119. This output will define the levels of awareness by different levels of decision-makers and will indicate the areas needed for targeted awareness building. In addition, this output will take the steps to increase the awareness of NCC members through an exposure-and-dialogue approach. The main activities are:

- Implement Knowledge, Attitude, and Practice Surveys to quantify awareness and to target the types of decision-makers where the greatest amount of effort is needed to facilitate mainstreaming of policies and sustainable financing. The information produced will form an important component of the National-level capacity building strategy and will determine the types of capacity building activities that are needed. This process will be managed by the Capacity Building Units in coordination with the MSEC and NSEC Monitoring and Evaluation Units, who are the overarching monitoring and evaluation entities within CACILM. The project will adapt an existing UNDP awareness survey to the conditions and language in Central Asian Countries and within CACILM. The survey will be implemented and delivered at the beginning and end of the project.
- Public relation and promotional materials published and distributed based on the results of the survey, promotional materials, and a high-level executive round table event will be implemented. The process will be supported by the distribution of the Issues and Options Paper. The high-level policy dialogue event will pull together the best available information and support the development and approval of the policy strategy.
- An exposure and dialogue program will be implemented to enable direct contact between decision-makers, critical land degradation situations and stakeholders that are affected by land degradation and those who are successful in providing an effective response. This program will enable key decision-makers to visit targeted geographic areas of their countries and engage in an active dialogue based on the experience.

## ***Outcome 2: Resources effectively mobilized to support SLM initiatives***

120. In response to the chronically low-levels of funding and the need to rally resources for the implementation phase of CACILM, equivalent to that of phase 1 investments, Outcome 2 will develop a strategic approach and capacity development process to mobilize resources in support of the UNCCD and NPF implementation. This outcome will establish an effective baseline and benchmarks for SLM financing and develop the organic capacities to mobilize resources in support of SLM. The outcome builds-off an initial introduction to the *Developing Integrated Financing Strategies Initiative* (DIFS), initiated by the Global Mechanism, and seeks to catalyze a capacity enhancement and knowledge exchange process that results in establishing a core national team comprised of relevant governmental and civil society stakeholders enabled for developing an Integrated Financing Strategy (IFS).

121. The GM's approach uses a capacity enhancement and knowledge exchange process that results in the preparation of the national team comprised of relevant governmental and civil society stakeholders with the skills and tools for developing the Integrated Financing Strategy (IFS). The IFS process further identifies and matches national, external, and innovative sources of finance with respective NPF priorities while also identifying, understanding, and taking action towards the removal of the barriers that hinder the smooth flow of financing and other resources to combat land degradation. Specifically, the IFS is comprised of a set of strategic objectives for mobilizing short, medium, and long term financing for SLM (more details are provided in Output 2.2.). With relation to short-term financing needs, as anticipated by the 2nd Phase of CACILM, the IFS will seek to channel financing into a defined and prioritized geographic area or landscape to facilitate scaling-up of activities to engender landscape-level improvements to enhance ecosystem services. A portfolio of project concepts will be identified for a defined geographical area. With relation to medium and long-term financing needs, the IFS will include an Action Plan that summarizes the main interventions to reach the outcomes and outputs of the strategy. The strategy identifies several process-oriented interventions that should be launched to facilitate inter-sectoral coordination, broaden stakeholder participation, establish formal partnerships and initiate policy dialogue, to name a few. These processes translate the strategy into concrete activities that will lead to the mobilization and channelling of substantial financial and other resources to support UNCCD implementation.

122. The integrated landscape management approach provides a basis effective allocation of resources. The IFS process also identifies and develops a core set of complementary and synergistic project ideas, concepts, and defines requisite actions for mainstreaming into relevant sector workplans and for negotiation with external partners to support full project design. To facilitate the development of the project ideas or concepts, a suite of resources will be identified that are comprised of a blend of national, external and, where possible, innovative sources of financing, such as conservation easements, carbon taxes, fiscal incentives, climate change financing mechanisms, debt-for-nature swaps etc. Concurrently, barriers in the enabling policy, regulatory and incentive frameworks that affect SLM financing will be further analyzed at the national-level so that these can be addressed both in the short and longer-term for facilitating smooth resource flows in support of SLM over the course of the CACILM implementation phase. The strategic objectives of the IFS will institute processes that will lead to the integration of SLM programming into the regular planning and budgetary process of each country. This will be done through the identification and action planning of a set of mainstreaming activities that will be completed throughout the 2nd and 3rd Phases of CACILM. Mainstreaming actions will also tackle more entrenched barriers in the enabling environment that hinder the mobilization of resources. These actions are complementary to the mainstreaming of policy actions proposed in Outcome 1 but focus more specifically on actions that affect financial and resource flows to combat land degradation. Through this process it is anticipated that a sustained and predictable flow of finances can be made possible for meeting the needs of the CACs. This is in line with GEF4's Strategic Objectives for scaling up financing for SLM and improving the enabling environment.



123. The Outcome will develop an Integrated Financing Strategy in each country that pulls together the information from several key products: (a) improved human capital to develop the IFS; (b) an Integrated Financing Action Plan that outlines expenditures, financial flows, internal sources of financing, external financing opportunities, and innovative sources; (c) an SLM investment portfolio for a targeted region that provides the mentioned project concepts that will incorporate the blend of financing options and (d) the completed and approved IFS that incorporates the Integrated Financing Strategy and the SLM investment portfolio and additionally defines actions, roles, responsibilities, targets, and time frames. The IFS will become an operative strategy to finance actions in response to land degradation for a targeted region and in support the National Programming Framework.

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*Output 2.1 – Five national multi-stakeholder working groups are established replete with knowledge, skills, and tools for developing IFSs*

125. To achieve the outcome, the project will work to increase the human capital at the national-level to manage and define the IFS process and in understanding the workings of the IFS program, the nuances of the country-level financial flows, and in understanding the technical aspects of the different options available. This output provides these steps in addition to the technical process of developing the IFS and setting in motion its implementation. Under this output, the Policy and Financing Working Group will receive advanced training and individual capacity building with measures to multiply the IFS training to a larger group of stakeholders.

- A DIFS multi-country training will be implemented to sensitise key NCC members, NSECs and Capacity Building Teams on the elements and functionality of the IFS process, products, and outcomes. This workshop, which focuses on financing, is complementary to the outcome 1 actions focused on policy development. The GM will upgrade its DIFS programme to meet the needs of the CACs and undertake the multi-country workshop using its team of trainers and training materials.
- Five national level DIFS training events to establish the national multi-stakeholder IFS development teams. Done by GM with support from the NCCs, NSECs and Capacity Building Units, a national-level workshop (one per country) will prepare the multi-sector decision-makers in the IFS methodologies and will strategically define the scope of the IFS program for each country. The workshop will also provide the opportunity to extend and update the DIFS methodology to any additional decision-makers as necessary and make national-level modifications or adjustments to the process based on the national context. The process will be driven by and will prepare the Policy and Financing Task Group with management support from the CBU, NSEC, and technical backstopping from the GM. The confirmation of the scope of the program will determine the coordination of the next steps in the development of the IFS (output 2.2).

- Launching national processes for developing IFSs in the respective countries. 1 day workshop led by the CBU, the Policy and Financing Working Group, and the NCCs with support from the NSECs to broaden the engagement of relevant national constituencies and define the timetable and responsibilities for the development of the IFS. This workshop will further define the IFS development process taking into consideration the broader group of stakeholders and their needs and potential contributions.

*Output 2.2 – Five Integrated Financing Strategies drafted and endorsed by national stakeholders.*

126. An Integrated Financing Strategy, which includes a portfolio of project concepts discussed above and an Action Plan for mobilizing finance for short, medium and longer-term priorities will be developed. In addition, to the IFS identifying the sources of finance for SLM, the IFS Action Plan summarizes the process-oriented interventions needed to facilitate inter-sectoral coordination, broaden stakeholder participation, establish formal partnerships, and initiate multi-level policy dialogue. The IFS Action Plan is a results-based framework that articulates the actions, targets, stakeholder roles and responsibilities, risks and assumptions, and budget for financing SLM actions. The following are activities for development of the IFS as a whole:

- An analysis of the national context will be undertaken to identify those elements in the planning, policy, legal, institutional and coordination frameworks that could hinder or facilitate the mobilization and allocation of resources in the country. The national context exposes the strengths and weaknesses in the framework of governance and its conduciveness to resource mobilization. Once the constraints are identified the steps needed to create an enabling environment become more evident.
- Prioritizing and targeting a geographic area or watershed to promote the landscape-level and integrated response to land degradation leading to the development of a portfolio of project concepts (see output 2.3).
- Assessment of internal financing: The analysis of national flows of finance to SLM assist with establishing the baseline and identification of entry points for increasing or improving efficiency of the use of existing national budgetary allocations. To develop this profile, under the guidance of the GM, a GEF financed resource economist in each country will work with the sector agencies, national, state (oblast) and local (rayon) sources to detail the internal financing flow of factors that support the current land-use situation. This activity will help decision-makers develop an “assets-based” approach to SLM financing from purely internal sources. This includes an analysis of: (1) the overall financial flows and pathways that support sustainable land management; (2) the public budget process and pitfalls; (3) the legal instruments governing the budgeting process; (4) the budget administration characteristics; and (5) the approval process for resource allocation at all levels and identification of key lobbying entry points. Together, these determine the flows and magnitude of resources allocated (direct and indirect) as well as trends of resource allocation, potential problems, and shortcomings from both government and private sources, e.g. banks or money lenders that are responsible for financing the *status quo*. This information will lead to a better understanding of how exactly responses to land management are funded, in what amounts, and will lead to recommendations for improving resource mobilization through internal sources.

- Assessment of External Resources: The identification and inventory of sources external to the country and resource mobilization opportunities from across the donor community will be undertaken under the guidance and assessment by the GM. The process will help stakeholders to better understand new trends in project financing and how to strategically create entry points for outside resources and target corresponding opportunities for different components within the target region. A donor analysis is conducted where each donor's programme and project cycle are detailed and priorities identified, past and on-going financing to SLM, projected financing for sustainable development, and bi- and multi-lateral negotiation schedules detailed. This enables the matching of national priorities with donor priorities in a systematic way that leads to the conclusion of financing agreements.
- Resource Mobilization for Innovative Funding Sources involves a process that requires facilitation because innovative funding opportunities are not well understood by the key stakeholders. A general understanding of financing mechanisms and instruments, and their operability will be promoted through an experiential process of capacity building in these themes. This component will look to capture relatively easy innovative financing opportunities that can complement national and donor financing for the portfolio of project concepts, and also, to operationalise more sophisticated innovative mechanisms that will contribute to establishing a sustainable flow of finance over the long-term. Given the characteristics of the target area, the GM, CBU, and the Policy and Financing Group will work to target the types of potential mechanisms for funding. The most appropriate mechanisms will be selected for possible study based on the potential of the stakeholders to implement the mechanisms. Likewise, this review may uncover new capacity gaps that will need to be addressed in the national capacity building action plan (outcome 3). The GM will assist to identify qualified international experts who will develop and deliver short courses on specific funding mechanisms<sup>14</sup> and instruments<sup>15</sup> so that principle stakeholders can manage the concepts, terminology, requirements, contractors, and inputs needed to qualify. Instruction and education are important to further developing the core capacities needed for mid to long-term financing. The appraisal of existing structures, regulations, and legislation identified in Outcome 1 will also contribute to the analysis of the relevance of the mechanisms and provide inputs for the cross-fertilization of experiences<sup>16</sup> between the CACs.

127. The Integrated Financing Strategy will be circulated to facilitate inter-sectoral coordination, broaden stakeholder participation, establish formal partnerships, and initiate an integrated policy dialogue to resolve the targeted landscape and land degradation problems. The Action Plan will present clear targets and indicators derived from the baseline situation. The financial benchmarks determined during the process will be outsourced to the CACILM monitoring and evaluation system for long-term tracking within the multi-country framework following the conclusion of the project. Operationally, the mentioned activities will involve the support of a GEF funded resource economist in each country to provide direct assistance to the CBU and NSEC on these issues. These persons will require backstopping from an international expert who will develop the appraisal of financing options and develop short courses in coordination with the GM experts and trainers.

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<sup>14</sup> Financing mechanisms: Debt-for-nature swaps; Compensation for ecosystem services schemes; PES – Payment for Ecosystem Services; Clean Development Mechanism (CDM)

<sup>15</sup> Financing instruments: Fiscal or policy incentives and disincentives provided through: charges; fines; taxes; subsidies; tariffs.

<sup>16</sup> The lessons learned from projects such as the GEF- MSP in support of SLM financing in Kyrgyzstan, which will be working to improve resource mobilization through modifications in the tax base will provide excellent lessons learned to be taken into consideration in the design process

*Output 2.3: Five SLM Investment Programs Developed:*

128. The second core component of the IFS is the SLM investment program to support a collaborative sustainable land management. Given the opportunities and mechanisms outlined in the Financing Action Plans, the CBU will work with NSEC and with the Policy and Finance Group to develop an investment program in each country that will present a portfolio of synergistic project ideas located in the targeted landscape that will generate improvements in ecosystem services and generation of global environmental benefits. Subsequent to the introduction of the basic principles of integrated landscape management presented in the DIFS training workshops, the Policy and Financing Group will be prepared to elaborate the portfolio of synergistic project ideas together with GTZ, GM and other interested SPA members along with the NCCs, NSECs and capacity building teams. The group will guide the development of ideas or concepts for specific but complimentary projects and resources needed to take action against the root causes of land degradation for the defined landscape. These investments will be developed through a process of collaborative planning harmonized with project development cycles of identified donors. The project design process will be both systematic and practical. The process is “systematic” in the sense that a suite of project concepts will be developed for different social and technical contributing to Land Degradation problems within the target area (factors contributing to Salinization, overgrazing, forest loss/degradation, etc.) and utilizing the appropriate financing mechanisms, instruments, and donor opportunities identified within the different sectors as an important part of the suite of financing options. The practical side of the experience will come from generating increased capacity in basic project planning and development skills and targeting the package of resource mobilization options. These additional skills will be developed through the modular training programs in project design and preparation under Outcome 3 (see below).

129. National-level sector-specific workshops to support the generation of ideas or project concepts will be coordinated by the CBU and the Policy and Financing Group to mobilize national-level resources as counterpart funding. International/regional consulting will be available to the countries to support the development of project concepts for the Investment Plan and to support the CBUs, NSECs and the Policy and Financing Groups as needed.

130. To finalize the investment program process, a country and donor consultation forum will be convened at the multi-country level for review of the portfolio of project ideas and selection for integration into project development cycles. Partners of the SPA will be requested to rally additional donors and funding opportunities to complement the suite of national and innovative mechanisms developed under output 2.2. The forum will also provide the opportunity for the Multi-country Capacity Building Unit and MSEC to cross-fertilize the experiences across the CACs.

*Output 2.4: Five National Integrated Financing Strategies approved for implementation*

131. The IFS will become an operative framework for resource mobilization over the short, medium and long-term and will operationalize the financing of priorities identified in the National Programming Frameworks. To launch the process of IFS Action Plan implementation, a national-level workshop will enable the Policy and Financing Group and the NCC to (i) prioritize activities for stakeholders to mainstream SLM into the next cycle of sector workplan development and budgetary submissions, (ii) operationalize innovative financing mechanisms such as climate change financing mechanisms, swappable portions of national debt, mobilization of private sector, etc. and (iii) creation of an on-line donor database that would be embedded within the SLM-IS system.

***Outcome 3: Improved inter-action between state agencies and land users through human resource development.***

132. Where outputs 1 and 2 define and improve the enabling environment, outcomes 3 and 4 contribute directly to the development of capacity building programs and in increasing the vertical and horizontal exchange of information and experiences and learning. Specifically, Outcome 3 responds to the need for a collaborative approach by increasing the system, institutional and individual capacities to implement a multi-stakeholder management process within the “integrated area-based approach.” This will be realized through an increase in the capacity for collaborative SLM by improving the interaction, communication, and coordination between state agencies, land users, and other principal stakeholders at the local and national levels. This exchange will increase the local inputs into policy-making and improvements to the legal framework while lending higher visibility of the concerns of the actors at the local level. Outcome 3 emphasizes both short-term interventions in establishing the basis for collaborative resource management, through training and events while developing long-term frameworks in the form of capacity building strategies and action plans oriented to specific stakeholder groups. The specific outputs are a long-term Capacity Building Strategy that will complement the National Programming Frameworks; National Forums to enhance communication and coordination; modular training programs in collaborative natural resources management, and finally, proposals for the development of local human resources and experiences through a system of extension and training.

133. Events, such as a National Stakeholder Forum, will be convened to develop mechanisms for improved communication and coordination. The strengthening of these mechanisms will be underpinned by Human Resource Development activities being focused on decision makers, on professionals in state agencies as well as in NGOs and public associations. In terms of scope, individual capacity building at the local-level is generally best achieved through the individual CACILM projects, which are focused at the ground-level. The MCBP will therefore direct its activities at the system level to address the structural issue of how Human Resource Development at the local level could be systematically developed and strengthened, e.g. through rural extension or advisory services.

***Output 3.1: A national-level, long-term SLM Capacity Building Program approved by NCC.***

134. This output will develop short and long-term capacity building strategies and programmes integral to the National Programming Framework that defines the national objectives, milestones, and the investment required to develop human capital and resources to combat land degradation. To achieve this and the other outputs under outcome 3 the project will first add capacity building experience to the CACILM structure during the life of the project through the establishment of a Capacity Building Unit (CBU). The CBU will have Human Resource Development and Capacity Building experience and will receive backstopping from the Multi-country capacity building unit. The CBU will manage the project activities and focus on developing system and institutional capacities and human resources, especially within the national CACILM structure which are critical to both the functionality of the structure and necessary to elaborate both short-term and long-term HRD and Capacity Building strategies. The CBU will be comprised of a National capacity building coordinator backstopped by the Multi-country Capacity Building Specialist and by additional international coordinators (3) co-financed by the GTZ.

135. The CBU will champion the process of first developing and widely distributing a short-term Capacity Building Strategy. At the national level, this will cement the outputs under Outcomes 3 and 4 and will be validated yearly with additional national-level adaptations to the short-term strategy, in accordance with the country experience. These will be integrated into the projects annual workplans by the CBU, the UNDP country offices, the MCBU to assure that the short term capacity building actions are adapting to country conditions and priorities (see Monitoring and Evaluation Plan). The dissemination of the short-term strategy will familiarize a wider audience of stakeholders with the national and multi-country targets for the Multi-country Capacity Building Project and will further familiarize the stakeholders with the CBU.

136. The long-term Capacity Building Programme will define, budget, and negotiate actions to increase capacity among the principal stakeholder groups through a participative process developed with the coordination and consultation of NSEC and the NCC. Using the UNDP Assessment Process<sup>17</sup> and the products of output 1.2 (System analysis, SWOT analysis, and detailed stakeholder analysis) as a starting point, a more in-depth programmatic capacity assessment will be conducted in order to establish the specific targets, actions and costs of the capacity building process required for each of the key stakeholder groups: (i) decision makers and professionals in relevant state institutions and agencies with roles in land management, (ii) land users, (iii) decision-makers in local self governing bodies and (iv) specialists in the scientific community (research institutes, universities and other academic institutions). Once complete, the long-term capacity building strategy will bring together all of the information available to define strategic actions, such as for example: (a) identification of the number of new scientists needed in strategic thematic areas and a plan for their development; (b) the types of mid and long-term skills development among public employees in state agencies related to land management; (c) training of multipliers in local agencies and NGOs to provide training and skills development at the local level; (d) the development of an extension and training system. To develop the long-term capacity building strategy, the CBU will utilize sector specific workshops and targeted consultancies and the results of outputs 3.2, 3.3, and 3.4 to develop sector-specific targets, actions, and cost estimates. The long-term Capacity and HRD strategy will incorporate these programmatic proposals into the overarching strategy with targets, indicators, and roles defined. The Capacity Building Working Group presented in output 1.2, which includes selected representatives from the mentioned sectors will drive the process in coordination with the Capacity Building Unit. Based on the results, the long term Capacity Building strategy will be developed with approval at the policy level by the NCC. The Capacity Building strategy will be included as part of the SLM investment program (output 2.3) for financing.

137. This process will lead to the institutionalization of the “capacity building” process through the development of capacity building programs within the different institutions and stakeholder groups and raise “capacity building” to the system-level through the adoption of the Capacity and HRD building strategy as an integrated component within the NPF.

Output 3.2: Approved Mechanisms for enhanced communication and coordination between state agencies and land users.

138. The need to improve vertical communication between state agencies and land users is clearly established. This output will develop a mechanism for establishing effective contact and communication between different levels of stakeholders. To determine the methods, mechanisms, and inter-actions needed for improved inter-action, a national stakeholder forum will be convened in each of the 5 countries. The forum will produce the specific mechanism(s) and pathways for improved communication and coordination. In addition, the forums will also provide an opportunity to validate the inputs for the development of the National Capacity Building Programme (output 3.1). To adequately prepare the agenda for an effective forum, a consultant will be sought to provide the background information, identify options and assets for the development of the communication and coordination mechanism, and develop working sessions for facilitating the representation of the various stakeholder groups at the local level. The product of the forum will be a communication and coordination action plan for each country that will provide targets, mile-stones, indicators, and foster commitments by the key stakeholders for inter-action. The NCC will review the functionality of the execution of the plan yearly to verify the degree of progress made and agree on modifications and changes in implementing the action plans.

Output 3.3: Modular training programmes designed and successfully implemented for professionals in state organisations and NGO to practise a collaborative approach in SLM.

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<sup>17</sup> The UNDP suggested capacity assessment process is outlined in UNDP, 2007. Capacity Assessment Methodology Users Guide; Capacity Development Group; Bureau for Development Policy,- .

139. This output will increase the capacities of professionals in state organisations to fulfil their key roles in collaborative SLM planning, management, and financing through training combined with on-the-job learning opportunities through a modular training approach. The project will design and deliver three modular training programs based on needs that emerged in the PPG process and on the training needed to support the FSP outcomes:

- Training of trainers: The basics of training needs assessment, design of training programs, curriculum design, implementing effective training, evaluation of training. This component will prepare trainers to develop training components within an organizational improvement program and for inclusion in specific projects.
- Coordinating Collaborative Land Use Planning: Procedures and practices characteristic of the collaborative approach:– steps, practices, and tools-, joint negotiation and decision-making, linking land management rights and responsibilities, collaborative monitoring and evaluation of land based processes<sup>18</sup>). The design of Collaborative land use planning will involve the MCBU and an international consultancy to develop the modules and provide training-of-trainers. The CBU and selected trainers from within key agencies and/or non-government organizations will implement the training modules at the national-level.
- Designing Integrated Financing Strategies (Internal mechanisms, external mechanisms, innovative financing mechanisms, and partnership building). (Cross-cutting with Outcome 2). As above, an international service contractor will develop the modules in coordination with the Global Mechanism, who will assist with the TOT process at the national-level. The CBU and local trainers will execute the training modules.
- Participatory SLM project design basics and funding (business planning, situation analysis, Designing project strategies, Monitoring and evaluation, etc.). (Cross-cutting with Outcome 2). These modules will be developed by the MCBU and the CBUs and will be executed by the CBU through certified trainers at the national-level.

140. In the modular approach, training curricula will be combined with practice periods for on-the-job application to enhance the learning transfer. The training process thus will stretch over the life of the project.

141. An estimated 100 persons per country in well-selected organizations will be trained in the core subject areas to constitute a critical mass of persons and institutions capable of promoting the needed concepts, foment skill building, and to work as effective multipliers. The CBU will undertake a selection process to identify and define the participating organizations and trainees. Important selection criteria are the readiness of the organisation to invest in staff development, their potential to multiply messages to key stakeholder groups, and strategic importance to the implementation of the National Programming Framework. To effectively institutionalize “capacity building” key agency persons with an affinity for training will be offered the mentioned train-the-trainer courses that will enable them to fully participate in the design and evaluation of their own modular training programs in the future, while working to support the FSP training programs. These persons will be fully utilized by the CBU as co-trainers to further enable a multiplier-effect and assure the continued implementation of training courses following the conclusion of the project. The NSEC will work with NCC to assist the CBU in the identification and selection of these persons within key agencies.

142. The gap analysis made it evident that there are no established curricula adapted to the needs of the stakeholders available on the mentioned themes upon which to base the modular training courses.

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<sup>18</sup> Cite IUCN text here.

Therefore a curriculum development process will be launched in collaboration with existing institutions with training capabilities and training service providers. Based on the developed curricula, the train-the-trainers workshops mentioned above will be conducted to prepare a core group of skilled trainers, within their institutions. These activities will be conducted as a coordinated effort at the multi-country level with curriculum design and the train-the-trainers workshops being designed at the multi-country level with adaptation and implementation at the national-level by the CBU.

143. The MCBU will recruit the support of an international institution for the design of the training modules on collaborative resource management based on successful international experiences. Actually, there are several international institutions with developed materials capable of developing the master program. Where service contracts are utilized, the contractor organization will implement the train-the-trainers workshops at the national level, leaving the modules as a product for replication and adaptation. The MCBU will design basic courses on business planning, project design, and proposal preparation with the CBUs and local experts. Monitoring and follow up on learning transfer and trainee performance will be given high priority in order to gauge the impact of the training courses and the return on investment, in addition to adaptations of the courses for replication.

**Outcome 4: Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened.**

144. It is crucial that the lessons learned from good practices, development of learning tools, and approaches to SLM be organically developed from within the CA countries in order to provide appropriate responses within this socially, ethnically, and culturally diverse region.

145. Exchange of experiences and mutual learning is best enhanced if the beneficiaries take an active role within the context of a dynamic “action” and “practice” approach. Outcome 4 provides for three key products that will enhance the exchange of experiences that will influence future SLM investments and create an important interface between project-level learning and the decision-making process at the national level:

- The development of learning networks on national level that connect decision-makers with the grass roots experiences in combating land degradation and that enable an effective horizontal and vertical exchange of leaning at the national-level. These networks will focus on personal and face-to-face interaction in a way that reaches the majority of the stakeholders, many of whom do not have access to computers or electronic networks.
- The development of interactive learning events, products, and tools that provide for the level of interaction required for a truly interactive multi-stakeholder community.
- A forum for analyzing lessons learned and systematizing the replication and up-scaling positive experiences to the national-level will be developed and hence add a process for the discussion and analysis of the lessons learned from individual projects and local experience within the CACILM structure. This outcome is closely connected to outcome 3 as the experiences and lessons learnt from best practices in collaborative SLM will be fed into the training activities in an adaptive learning process.

146. This outcome is designed to be fully complementary to the CACILM SLM Knowledge Network (CKN), under the auspices of the CACILM Knowledge Management Project (SLM-KM), The learning networks, events, tools, and strategies established within this outcome provide a forum for horizontal and vertical integration that enable participants to partake in blended learning and in face-to-face events at the



national-level. These will complement the information presented in the multi-country web-based CACILM Knowledge Network. The national learning events will provide an opportunity to provide the CKN with enhanced levels of promotion that are essential in engaging members from an extensive base of ground-level networks capable of feeding new learning products into the CKN communication channels.

Output 4.1: National Learning Networks on best practices in collaborative SLM established and functioning.

147. Learning networks will be established at the national-level that enable learning, dissemination of lessons, and replication of positive actions to combat SLM. The networks will be established by developing structures and mechanisms that unite the principal SLM practitioners, beneficiaries, and target groups such as: (i) stakeholders of CACILM projects; (b) stakeholders of other projects and programmes in SLM; (c) key representatives of state agencies with roles in SLM; (d) representatives of NGOs (such as farmers associations) and/or public associations or not-for-profit organizations active in SLM.

The national level learning networks will begin by targeting priority thematic areas and existing structures and alliances in each country based on their principal priority, such as rangeland management, mountain pasture management, forestry, irrigated agriculture, among others.

148. The initial theme selection will enable the project and the CACILM structure to acquire the networking experience and methodologies on a specific thematic area of utmost importance and provide the countries with the experience needed to create new thematic networks using the lessons learned and costs. In creating learning networks existing networks and for a, such as the RIOD-network will be taken into consideration as well as other successful networks, such as the Alliance of Central Asian Mountain Communities (AGOCA). Specifically, the establishment of the national-level learning networks implies determining the components, the applicability to the members, and the key institutions or persons involved in the network and its management. The possibilities for the country networks will be prepared through national-level consultancies that will work with the Capacity Building Unit to explore the dimensions, expectations, stakeholder opinions, and potential contributors and managers for an effective learning network. This process will also define the functionality of the learning network. The Capacity Building Unit will convene the representative members<sup>19</sup> of the learning networks in several round-table discussions/events to reach an agreement on structures and mechanisms required for an effective network. Structures and mechanisms need to be agile, low cost and have few recurrent costs and maintenance required. As mentioned earlier, electronic media only reaches a small percentage of stakeholders, therefore, the architecture of the network must be designed in such a way that enables connectivity between members<sup>20</sup> within their own sphere and means of communication. To encourage participation, members will need to receive clear value-added and perceive benefits from being connected or they will cease to participate.

149. The learning network in each country will elaborate its own action plan for undertaking learning events and developing learning products in coordination with the CBU. This action plan should express the willingness and commitment of the members of the learning network to plan and implement specific learning activities and spell out how they want to do it in very concrete terms. The learning events planned in output 4.2 will provide a venue for network members to interact and implement learning activities and share learning products. The action plans will detail a broad range of learning tools or

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<sup>19</sup> One of the challenges for the learning networks will be to seek a balance between organisational and personal participation. Personal membership usually benefits the networks as members will be more committed while organizational membership limits the personal contributions for sharing and learning, so the right balance will need to be sought

<sup>20</sup> The process will regroup the CACILM-pilot projects in the CACs plus other projects/programmes in SLM who will be interested in learning and dissemination on both the national and multi-country level.

products<sup>21</sup> In isolation, these products will not stimulate learning without utilizing them as components within a well conceptualized learning process. The implementation of learning events and learning products are the focus of output 4.2.

Output 4.2 Learning and dissemination of best practices in SLM enhanced and strengthened among all relevant stakeholders.

150. The learning networks will provide forums and mechanisms for learning and dissemination to take place. Interactive learning events will be at centre stage of the forum for learning and dissemination. These interactive learning events will bring together actors from different regional and operational spheres to exchange knowledge, experiences, and best practices in a particular field related to SLM. Interactive learning events offer opportunities for (i) reflecting on best practices and lessons learned (ii) designing and experimenting with new forms of sharing experiences (iii) creating links and networks for future collaboration and (iv) developing ideas for learning and knowledge management within the participating institutions and organisations. Single good experiences, anecdotes, and factors that contribute to success from the field are as important as published documents. The mixture of presentations on methods, models and tools with presentations on strategies, concepts and policies is one of the key features of an interactive learning event. A well structured learning event offers a wide variety of opportunities to share experiences through interactive activities, such as: market stalls, workshops, exhibitions, short presentations, conversation rooms (palaver tree, story tent), or a video corner. These activities often do not require print media and are appropriate for many different ability-levels, languages, and cultures. Other possible types of learning events are field days, study tours as well as workshops and seminars provided an appropriate methodology is used in order to enhance interaction and learning.

151. The CACILM projects and other members of the learning network will be supported by the CBU in elaborating the learning products, the quality of which will depend on the internal learning culture within the projects and/or organizations comprising the learning network. Each country will develop the concept for their learning events during the first year of the project. The concept for the learning events will be approved by the NCC and UNDP COs for incorporation in the annual workplans in years 2 and 3.

152. It cannot be expected that learning networks in the 5 countries will develop at the same pace. The CBU, NSEC, and the NCC will monitor the progress of the learning networks and facilitate their development. In addition, the NSEC will work with MSEC and the SLM-KM project to connect the national learning networks to the overarching SLM Knowledge Management Project Network. The proposed learning events will be reported to the CACILM steering committee during their annual meetings to enable a cross-fertilization of experiences. The CACILM Knowledge Network will be used as the multi-country mechanism for dissemination of the experiences and learning products at the multi-country-level.

Output 4.3: Effective system of up scaling and replication of good practices in collaborative SLM on national and regional level established and functional.

153. Output 4.3 will contribute to closing the divide that separates practitioners and project managers from decision-makers at the national-level, effectively disconnecting experiences from the authorities with access to the means to upscale and replicate positive experiences. Specifically, output 4.3 will create an evaluative/interpretive process that will provide the NCC with summarized recommendations for replication and up-scaling of positive results from a multitude of individual SLM projects and initiatives. The analytical process is designed to close the gap that separates practitioners and project managers from decision-makers at the national-level by interpreting the lessons learned from the CACILM and State SLM projects and provide tangible recommendations to the NCC for up-scaling these experiences. The learning network, the CBU, and NSEC will play key roles in effectively communicating to decision-

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<sup>21</sup> These include case studies, tool boxes, manuals, brochures, videos, thematic papers, emphasis is on creativity and developing new and appropriate learning tools.

makers an effective strategy needed expand the positive results from projects on a larger scale. This will effectively create an information/interpretive function that is currently missing from the policy and planning environment. This process is characterized by the following activities:

- A consultancy to prepare the background for a second national forum: within each country, a national consultant will network with the CACILM pilot projects and government or other SLM initiatives to determine the lessons learned and their plans, needs, and potential for up-scaling. The results will be utilized to organize a second national forum or exposition.
- Implementation of the second National Forum: The CBU, NSEC and the learning network will launch a second national forum that will provide the venue for showcasing project activities, identifying, interpreting, and recommending actions from SLM initiatives for up-scaling and/or replication to targeted areas and situations. The results of this process will be a strategy that will be expressed in a document for discussion within the NCC that will outline and interpret the lessons learned and actions for potential up-scaling or replication as an integrated part of the NPF and sector plans. For the CACILM Pilot projects and other initiatives to combat land degradation, the second forum (exposition) will provide them with a venue for showcasing their project results and ideas for replication and up-scaling of the experience.
- Based on the results of the forum, the CBU will produce a summary document of the lessons learned and recommendations outlining the appropriate mechanisms and incentives for up scaling and replication to be considered by the NCC, who will deliberate follow-up actions with specific sectors.

154. The CBU and the learning network in each country will play a facilitative role in connecting these two levels so that positive “on-the-ground” experiences can be up-scaled while also assuring that negative experiences and failures do not propagate in new initiatives. The process of replication and transfer of good practices in collaborative SLM must take into account crucial socio-economic and ecological variables that are difficult to reproduce in other settings, seeking to distil from identified good practices actions that are applicable in other contexts. A blueprint approach will not work. The replication of successful practices and approaches will be incorporated into the design of the projects under the SLM investment program and will influence the dialogue on SLM policy development, effectively closing the gap between experiences and policy development by creating the interface between project level learning and the decision-making processes. This process will also contribute to the continued awareness-building oriented towards decision-makers.

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

### *Indicators*

155. The project is a framework capacity building project. As such, the project will produce results that require process indicators to adequately gauge progress towards the achievement of the outcomes. As mentioned, “capacity building” is not a strategically analyzed and developed component of the NPFs. Consequently, capacity indicators are not systematically included as part of the CACILM Monitoring and Evaluation Framework as a distinct thematic area. The project will develop long-term indicators and tools (a scorecard approach) for monitoring and evaluating capacity building as part of the CACILM Monitoring and Evaluation framework. These indicators and tools will be effective in monitoring and evaluating both the progress and impacts of the MCB Project and long-term capacity building. The scorecard will be developed in coordination with the MSEC and NSEC Monitoring and Evaluation

Specialists. For the MCB Project, the Strategic Results Framework, Table 6, presents indicators that form the basis for the Monitoring and Evaluation Plan presented in Section II Part IV.

156. Stress indicators have been presented by the CACILM Multi-Country Partnership Framework project in the form of (i) reductions in proportions of different classes of degraded land; (ii) percentage gains in productivity in the different land classes; (iii) improved watershed and trans-boundary river conditions; and (iv) increased forest cover and biodiversity conservation areas. These are represented in the CACILM M+E System. The MCB project contributes to the core management and planning capacities of the CMPF structure and beneficiaries which are provided for within the suite of CMPF projects. Therefore, the MCB Project will have an indirect affect towards the completion of the CMPF stress indicators. Hence, these are not included in the strategic results framework to avoid double counting.

157. For the *Project Objective Level*: (a) the overall increase in the status of compulsory (national-level) indicators for system, institution, and individual scorecard indicators. The overall change in the suite of indicators within the scorecard will provide a reliable baseline, enable evaluation at the end of the project at the project objective level, and will provide the framework for the long-term monitoring of capacity development at the system and institutional levels. The development of the scorecard will enable tracking by the multi-country capacity building unit in coordination with the CACILM M+E specialists, who will internalize the scorecard and apply it over the long-run following completion of the project. (b) The second indicator is the approval of a long-range capacity building strategy by each country with specific targets, indicators, and budgets. Five approved strategies (one per country) will indicate that the thematic area of “capacity building” has been institutionalized for the core areas of technical skill, education, and organizational development and is an integral part of the National Programming Frameworks and hence is recognized as a core element of the national sustainable land management platform. This will also indicate that a pathway has been established for the development of individual capacities within the key stakeholder groups, especially at the agency level.

158. The key indicators of successful project outcomes will be recorded through the M&E framework and will include the following:

159. For outcome 1, four indicators of developing policy coherence and mainstreaming are presented:

- *The amount of funds dedicated to cost sharing by national governments to support an updated inter-governmental structure*: The funding commitment is the best indicator of increased country buy-in and national-level control to an updated multi-country governance structure.
- *The number of NCCs with updated organizational roles in relation to defined functions in policy, finance, and capacity building actions*: This will indicate that the NCC has evolved through the UNDP methodology for a capacity building process (definition of functions, evaluation of roles and assets, and capacity actions defined). NCCs with updated functions will demonstrate that basic elements of this process have been completed. This will also indicate that there is an adequate structure to provide a vehicle for mainstreaming policies and for implementing an Integrated Financing Strategy
- *Number of ratified action plans for policy development and improvement*: This indicator will demonstrate that the process of identifying tangible policy corrections has been completed and that there is a commitment to take action towards improving the enabling environment. The indicator further demonstrates the degree of progress from assessing the enabling policy environment to the most important step in creating policy actions. Since the project can only make recommendations, the commitment of each government to taking the next step will be measured in terms of NCC approval to a set of recommendations.
- *% increase in awareness of importance of SLM and Collaborative Resource Management approaches in enabling the development needs of different sectors and stakeholder groups to be*

*met:* Awareness is continually cited as an issue but has not been systematically quantified or disaggregated. A level of at least 85% of decision-makers is expected. The indicator is designed to gauge the actual level and enable responses. The awareness surveys will become a permanent monitoring tool.

160. For Outcome 2, three indicators of the success of the IFS process are presented:

- *The amount of new funding commitments for SLM above the baseline yr. 2008* is chosen as an indicator to demonstrate the effectiveness of the Integrated Financing Strategy. This is an important indicator because as an indicator, each country will be required to define SLM investments in financial terms by creating a set of sub-indicators within the budget allocation process. As no country has a category for SLM investments, national budgets do not reflect actual investments in SLM nor do they include NGO or private efforts. Part of the target is to define the baseline for a base year and enable future references that can be adjusted for inflation and changes in currency. The amount of new funding over the baseline will indicate the success of the IFS program at the national level and, indirectly, the national commitment to SLM. The inadequate baseline will be corrected by the project and will provide an important scorecard element for the CACILM Monitoring and Evaluation System.
- *The number of persons in each country trained to develop Integrated Financing Strategies:* A target of 50 persons per country will indicate the individual capacities that have been developed to enable the IFS process
- *The number of Integrated Financing Strategies approved by NCC and other governmental representatives:* The IFS is the maximum level of development. Approval of the IFS will indicate that the intermediate targets of identifying a region for investment, developing an Integrated Financing Action Plan, a SLM investment program including innovative sources of funding, and the final approval process for the overall IFS has been completed.

161. For outcome 3, Three indicators are selected:

- *The number of communication and coordination action plans approved and under implementation:* This will indicate that contact has been made between decision-makers, land-users, and project managers further indicating vertical and horizontal integration. The presence or absence of an approved and systematic communication strategy will indicate the continued level of communication once the national fora and learning events are completed.
- *The number of people trained in improved communication and coordination under Collaborative SLM modular training program.* The SLM modular training program will expand the IFS training in outcome 2 to an additional 50 persons per country and will train 100 persons per country in Collaborative SLM and 100 persons per country in SLM project development. The 5-country total targeted output 1,250 persons. The number of persons trained will indicate an increased individual-capacity for planning and programming SLM actions.
- *Number of Proposals for the establishment of a national-level extension/ advisory System approved by NCC.* The development of extension services is a long-term endeavour. The presence or absence of an approved proposal will indicate that the first step in the process is complete. This will reach the system boundary of this project. Countries will then be prepared with the pathway for development of more specific plans, programs, and projects in support of a system.

162. For outcome 4, Three indicators are selected:

- *The number of learning networks established and functioning to support SLM.* One network in each country for a total of 5 will indicate completion of the process of vertical and horizontal

information exchange at the national-level and that learning, not just data exchange, is taking place.

- *The number of learning events implemented* to support exchange of learning and showcase learning tools is an intermediate indicator demonstrating progress on the development of actions to facilitate learning.
- *Number of proposals adopted by the Policy makers in each country and /or number of replication of lessons learned from pilot projects.* If at least one major recommendation from the pilot project is considered by national authorities for up-scaling, then the positive linkage between project actions and decision and policy making will be established.

*Assumptions and risks*

163. The key assumptions are presented in the Logical Framework Matrix and are summarized with a risk rating in the following table:

Table 2: Key Assumptions and Risks

<b>Risk/Assumption</b>	<b>Risk Type</b>	<b>Risk Rating</b>	<b>Risk management strategy</b>
Changes in political commitment of the governments to collaborate in combating land degradation.	Political	Medium	<p>All 5 Central Asian Nations have signed the UNCCD, the UNCCD Sub-regional Action Plan and the Tashkent Platform. Each nation has cooperated in establishing the CACILM Multi-country Participation Framework. The project has included measures to update the commitment of the Tashkent Platform with a greater financial commitment, which is an expression of national commitment, and has also included awareness building measures for decision-makers to maintain the messages begun under the NAP and later the NPF formulation process and especially reach new decision-makers.</p> <p>With the likelihood of future spikes in oil and gas prices and a world-wide economic recession, there is a risk of shifts in national-level priorities in some states that favour production over environmentally sound management, which is reflected in the <i>status quo</i>. The project's integrated financing strategy and awareness activities will continue to illustrate the huge costs associated with not combating land degradation and the negative effect on future production</p>
All countries are willing to continue to work jointly within the CACILM structure.	Political	Medium	<p>To date, there is no indication that any of the participating nations will withdraw from their commitments. Regardless, the project is designed to take advantages of efficiencies at the multi-country level in order to produce results and value at the national-level. All outcomes respond to articulated needs by the countries during the NPF formulation process. Outcome 2 on developing Integrated Financing Strategies is designed to provide a value added aspect to CACILM membership by providing a program-level support to national-level needs in developing integrated and sustainable financing strategies.</p>
No large-scale changes in NCC members during the 3 year project.	Political	Low	<p>There is no demonstrated concern over significant withdrawals from in NCC membership. There is, however, anticipated space for additions to the NCC based on a systems analysis. There is also ample NCC participation in the project that will engage the member organizations and fortify their roles. Any new member organizations suggested by the project outcome 1 would have ample opportunity to review the project process and become integrated.</p>
No unforeseen large scale effects on national budgets as a result of cataclysmic natural events affected by climate change that occupy large and unforeseen shares of national budgets	Natural	Medium	<p>The project will be launched in a year of low snow packs affecting water availability. With a continued demonstrated climatic variability, the possibility of severe water shortages exists in the short term. If that were to occur, expensive national relief programs to support affected areas without adequate water resources could negatively affect national financial commitments. These events will however strengthen the message and need for the CACILM structure and the NPFs and associated projects.</p>
Inflation rates and values of currency remain within	Economic	High	<p>The effects of global economic recession are now demonstrated as well as a recent reduction in oil and gas prices may affect the ability of the member nations to finance sustainable land management. The outcome 2 is designed</p>

predictable ranges			to develop the integrated financing strategies precisely during times of economic recession. This will allow for the participant nations to factor their adjustments in social programs, natural resources management, and poverty reduction into the strategies. Additionally, outcome 2 works to develop innovative financing strategies that will develop the national capacity to pursue fresh sources of financing for SLM.
Cooperation between farmers groups and federations, state agencies, and universities and/or research institutions to develop a system.	Social	Medium	The development of a proposal for extension, outreach, or advisory services is necessary to begin the dialogue and discussion on how to engineer an extension system. This will require dialogue by the mentioned groups, who characteristically are involved in such systems. Institutional cooperation, centralization of information, and a de-linking of research to farmers needs are characteristic of the status quo. The learning events, forums, and round tables will provide venues for discussion these issues and opportunities to dissolve the institutional barriers.
The CACILM pilot projects produce results that are replicable to different regions or under different conditions. Willingness to share failures.	Technical	Low	The approved pilot projects all have strategies included for sustainability and for replicability. This project will provide an added avenue for connectivity between the projects and opportunity for the NCC to systematically analyze the collective results and lessons learned. These projects have solid designs and are expected to produce tangible results for the broader discussion on up-scaling and replication. Culturally, there is not an open atmosphere for sharing failures. For this reason, a consultancy is also considered that will review the evaluation reports of the different projects to extract lessons learned that might be sensitive for project managers who have a general cultural aversion to discussing failures and corrective actions.

## 2.5 Incremental reasoning and expected global, national and local benefits

164. Under the baseline scenario (without a GEF increment) the CACs will continue to implement the NPFs as they are designed, and will be equipped with tools from the SLM-R, SLM-IS, and SLM-KM projects. CACILM will, however, continue to face system level, institutional, and individual capacity challenges in engaging the drivers of land degradation due to: (a) ineffective bureaucracy, (b) little integration between policy makers and land users, (c) disconnect between experiences in the field and policy making; (d) conflicting and diverse policy environment that limits SLM financing and effective use of existing resources. Without increasing the capacity of the CMPF actors and other stakeholder to respond to these drivers, the CACILM process will suffer from limited vision and experience on the part of decision-makers, loss of good experiences, and policy formulation processes that will not reflect the needs and experiences generated at the ground level.

165. The GEF alternative will create the system, institutional, and individual capacities that will complement substantial investments by bi-lateral partners that are articulated through an integrated CACILM Multi-country Framework. The GEF alternative will develop both short-term actions to catalyze the capacity building process while creating the framework for long-term planning and investment in the development of core capacities and structures that will respond to the needs of each nation to effectively implement their NPF and adaptively manage the future evolution of the NPF process.

166. Without the GEF incremental support, the partially and unevenly reformed policy and institutional environment of CACs for SLM, will lead to long term constraints in the response to land degradation problems. This will contribute to the long term persistence of economically expedient production practices that contribute directly and indirectly to degradation of soil and biological resources, pollution and sedimentation of water bodies, diminishing carbon stocks, and loss of broader ecological services. The NCC and other authorities will continue to recognize the problem but will continue forward without a clear concept on how to reform the policy environment, chronic under-funding, grass roots experiences



that do not feed into the policy debate, and no systematic up-scaling of lessons learned from CACILM projects. See Section II for a complete description of the GEF Incremental Assessment

### Expected Global Benefits

167. The project aims to generate global, national, and local benefits by creating the individual capacities among decision-makers with respect to planning and executing SLM programs. The capacity development actions proposed in the MCB Project will create the enabling conditions that directly contribute to the stated goal of the CMPF of restoration, maintenance and enhancement of the productivity of land in the CACs, improving the economic and social well-being of those who depend on these resources, while preserving the environmental functions and services of the land and contributing to sustainable livelihoods. The MCB Project is one of four complementary multi-country projects that collectively contribute to the stated global benefits for the CMPF (ADB, 2005) which are: (i) the stemming desertification and restoration of vegetation on denuded and degraded areas with appropriate species; (ii) Improve the conservation of biodiversity per the CBD through restoration of vegetation and areas that will further reduce further habitat loss, protect ecosystems and landscapes, and improve biodiversity; (iii) Reduce green house gasses through a reduction in CO<sub>2</sub> emissions through enhanced carbon sequestration and storage per the UNFCCC. The increased vegetation cover and the adoption of more sustainable agricultural and land management practices, e.g., low tillage agriculture, should help stabilize soils, reduce erosion, improve water retention, and reduce the increasing trend toward desertification. The collective impact of these will increase the capture and storage of carbon, improve soil biota, and increase tilth; (iv) Improved management of irrigated lands and lessened soil erosion should improve the quality of trans-boundary rivers and reduce waste and water loss.

168. *The expected national and local benefits* are derived from the increased core capacities that will increase the management capability within the CACILM structure and will add important additional elements to the NPF, such as a long-term capacity building strategy and a targeted Integrated Financing Strategy for a targeted region of each country. These will lead to:

- increased effectiveness in the execution of the NPFs through increased networking with upstream and downstream conduits for exchange of information,
- Increased investments, mobilization, and pooling of resources for SLM through national and innovative sources to increase the assets available for addressing land degradation problems.
- Greater contact and communication between Local and national-level decision makers creating a more effective lobby for local concerns and showcasing of experiences
- Reduction of conflicting and overlapping policies and increased attention on enforcement of existing policies.
- A system for planning, monitoring and evaluating capacity-building will improve the country response to land degradation in the mid and long-run and provide new tools to the CACILM M+E specialists.
- Short-term increase in human capital in selected agencies and NGOs the form of a greater number and diversity of trained persons to address land degradation problems and plan SLM projects, which will increase service delivery through the design of new and better projects
- A decision-making paradigm and methodology that promotes an effective and targeted approach to combating land degradation problems and will increase the planning capacity and management efficiency of the CACILM structure.

- Increased cost effectiveness through synergies, created by an integrated resource mobilization strategy. The IFS process will activate national assets and will provide a strategic approach to external financing by targeting resources and donors sources of funding, define strategic entry points to external sources of funding; and provide recommendations for roles and responsibilities for approaching financing partners.
- An interface between project level learning and the higher-scale decision-making processes will benefit the NCCs with an analytical process to interpret original lessons from the field for decision makers and an active demand for the lessons learned from the CACILM and State SLM projects.
- Enhanced replicability of individual project successes creating a greater possibility for up-scaling of successes to the benefit of other local users and cost-efficiency in avoiding mistakes and failures

## 2.6 Country Ownership: Country Eligibility and Country Drivenness

### *Country Eligibility*

169. The five countries are eligible under para. 9(b) of the GEF Instrument, and have ratified or adopted the UNCCD and have completed their action plans:

Table 3: UNCCD Approval by Central Asian Countries

	Dates of Approval and/or Revision				
	Kazakhstan	Kyrgyz Rep.	Tajikistan	Turkmenistan	Uzbekistan
UNCCD	1997	1996	1997	1996	1995
NAP	1997	1999	2000	1996	1999

### *Country Drivenness*

170. Country Drivenness by the CAC's in support for the Multi-country Capacity Building Project has been demonstrated at numerous junctures since the signing and ratification of the NAPs as presented in Table 3. Parallel to that process, the CACs have subscribed in 2003 to the Sub-regional Action Programme for Central Asian Countries on Combating Desertification and Drought (SRAP-CD) demonstrating their willingness to support a multi-country approach to land degradation problems. The CACs have adopted National Environmental Action Plans and Regional Environmental Action Plans that promote national capacities towards integrated ecosystem management and building regional cooperation and capacity. The NAPs clearly outline the need for capacity development in response to land degradation problems. The NPFs, which were developed through multi-stakeholder working groups, UNCCD focal points, and international partners, also outline the need to take actions in the areas of (a) policy and policy coordination; (b) mainstreaming of policies; (c) institutional strengthening; (d) increased budgetary support; and (e) increased technical and managerial capacity. Providing multi-country actions to support the implementation of the NPFs is the core of the CACILM Multi-country Framework Project (CMPF) of which this project is an integrated initiative. It outlines the underpinnings for the MCB Project. Support for the CMPF was generated through a participative and country-driven process<sup>22</sup> working group meetings and participative actions at the country level and was endorsed by UNCCD and GEF focal points and is under execution.

171. The actions designed for the MCB were based on inputs from a multi-country inception workshop (May, 2008), a multi-country project design workshop (July, 2008), and on country-level consultations,

<sup>22</sup> ADB-GEF CMPF Project Document

meetings, consultancies, and workshops (July through October, 2008). The project is endorsed by the national focal points of GEF and UNCCD. To assure continued country drivenness a process of adaptive management has been designed enabling each country to work in the development of their national activities during the development of annual workplans (see also Monitoring and Evaluation, Section II, Part IV). The MCB Project outcomes, such as, for example, the IFS program developed under outcome 2, will have a significantly different character in a country such as Turkmenistan than, for example, the Krygyz Republic, given the organic differences in their political systems, budget processes, and national objectives. In all stages, the active involvement of the NCCs has been planned, allowing those national steering bodies an ample role in the deliberation and approval of all project activities and products. This role, including coordination by NSECs, will assure the project actions are driven by the country in an adaptive management process. To assure further country inputs, the participation of a very agile and active multi-country steering committee is proposed (see Management Arrangements).

172. The proposed project contributes to the UNDP Country Assistance Program in each of the 5 nations as follows:

Table 4: Project Linkages to CP/GCF/RCF and UNDAF

<b>Country:</b>	<b>UNDAF Outcome(s)/Indicator(s):</b>	<b>Expected Outcome(s) /Indicator (s):</b>	<b>Expected Output(s)/Indicator(s):</b>
<b>Kazakhstan</b>	Reduced (income and human) poverty at national and sub-national levels	A comprehensive approach to sustainable development is integrated into national development planning and linked to poverty.	Increased capacity of the national Council on Sustainable Development (CSD) to implement priority environmental management initiatives.
<b>Kyrgyz Republic</b>	Poor and vulnerable groups have increased and more equitable access to quality basic social services and benefits, in a strengthened pro-poor policy environment	Sustainable development principles integrated into poverty reduction policies and programs	Increased institutional capacity to implement international agreements and conventions
<b>Tajikistan</b>	Overcoming mountains — Natural resources sustainably managed and fewer persons killed or affected by disasters	Overcoming mountains — Natural resources sustainably managed and fewer persons killed or affected by disasters	Managing energy and environment for sustainable development
<b>Turkmenistan</b>	By the end of 2009, a comprehensive approach to environmentally sustainable principles and practices is integrated into policies at all levels and into community development, and is linked to improved social well-being	Farmers and farm staff in remote and environmentally degraded national priority areas are able to practice sustainable land use and integrated watershed management	In targeted areas, there is improved local capacity to practice sustainable land use and water management
<b>Uzbekistan</b>	By 2009, national laws are harmonized with UN legal Instruments, including human rights, environmental and refugee conventions, and the implementation and monitoring of the latter are improved.	Obligations under international environmental conventions and agreements fulfilled through improved effectiveness of environment management and development of clean energy sources	Improved national capacity to monitor state of environment and trends and to assess policy performance in promoting environmental sustainability

## 2.7 Relevance to UNDP mandate.

173. The project is designed to maximize its relevance to the UNDP mandate within GEF. Capacity development in ecosystem-based natural resources management is key element of the project's strategy. Governance through improved approaches and tools to support decision and policy-making in support to long-term capacity building and resource mobilization are other elements that support the response to the UNCCD, sustainable development, and transition to sustainability. Overcoming barriers to participation and knowledge transfer between the local levels and decision-makers at all levels is also an important element of the project's approach.

## 2.8 Sustainability

174. The proposed project contributes to the UNDP Country Assistance Program in each of the 5 nations. Please refer to Table 4 for specific linkages.

175. The GEF alternative will complement the existing efforts of the pilot projects and the CMPF to increase the sustainability of the CMPF and of the national efforts to control land degradation through actions that enhance institutional, political, social, and environmental sustainability that will, together, strengthen the enabling environment and national framework needed to catalyze long-term actions needed to improve sustainable livelihoods and enhance ecosystem structure, function, and integrity.

176. *Institutional sustainability* will be ensured through the development of updated and improved roles and responsibilities for the NCC member organizations promoted under Output 1.2 and also through an enhanced inter-governmental structure at the multi-country level (output 1.1). These, in addition to the improved policy recommendations, will enable the NCC to realize an effective role in mainstreaming and increase the ability of the member organizations to continue working in the policy realm using the methodologies applied under this project. The vertical and horizontal communication structures created in Outcome 3 will provide the flow of information needed for better decision-making and awareness. The modular training programs under Outcome 3 will directly raise the individual capacities in the key state agencies that will enhance the institutional sustainability through increased planning and financing capacities. The overall aim of "institutionalizing" a long-term capacity building strategy will specifically target increased institution-level capacity to combat land degradation.

177. The project will contribute to *social sustainability* by including the diverse sectors in the development of the communications structure under Outcome 3 and also in the participation in the learning networks in Outcome 4. These two Outcomes are designed to bring the experiences and needs at the grass-roots level closer to the decision-makers and agencies at the national-level. The integration of stakeholders into the IFS process within a targeted geographic area will be a model of integration of social concerns and stakeholders into the decision-making and financing process to combat land degradation. The review of the roles and responsibilities of the NCC member organizations in relation to the organizational functions required for sustainable land management will uncover any additional gaps in representation and their impact on the implementation of the National Programming Frameworks. The stakeholder participation plan includes these measures and assures a broad range of participation in the project. These are important steps in the gradual transition experienced by the participating governments in evolving from a central planning structure to an inclusive model for planning for sustainable land management.

178. There are a number of obstacles to *financial sustainability* in many of the resource-starved regions where land degradation occurs. None of the existing systems, public or private are financially sustainable, at least in the short-term. The project includes a resource mobilization outcome (outcome 2) that will develop an integrated financing strategy that will provide the process and methodology for pooling existing assets and for creating a more impactful response to SLM. The cost-efficiencies of a targeted

approach are designed to demonstrate to the participating governments that the key to financial sustainability is vested in a collaborative planning effort that minimizes overlapping while providing for pooling of assets. The development of alternative financing methods and actions is also part of the formula required to enhance financial sustainability.

179. The proposed project will promote a methodology that will support a decision-making process that will enhance *environmental sustainability*. The targeted approach will rally all sectors around an integrated strategy in response to land degradation problems. This will provide an important operational component to the CMPF actions, namely, the development of Research, Knowledge Management, and Information Systems enabling the stakeholders to make full use of the tools produced under those initiatives as part of the overall decision-making process. In doing so, the project will contribute to the environmental targets of the CMPF.

## 2.9 Replicability

180. The MCB project is a framework capacity-building project and has incorporated elements that will enable the replication and continued execution of the capacity building process at the national-level beyond the life of the project. Specifically, the rationale for the formation of two key working groups: the Policy and Financing Group and the Capacity Building Unit, are designed to provide the institutional coordination of the long-term capacity building strategy once the project is completed. The CACILM structure is the overarching vehicle to assure the function of those structures. Outcome 1 is designed specifically to assure that the process and the overarching structure are effective.

181. Within both outcomes 1 and 3, emphasis has been placed on qualifying trainers within key institutions to multiply and replicate the modular training programs. Once trained, the mentioned trainers will be able to expand the training programs within their own institutions to a much larger audience and also beyond the scope of the project. In addition, agencies and NGOs will find valuable opportunities to replicate the subject matter to a large audience within their geographic areas of influence.

182. On another scale, the project has activities to complement and enhance the up-scaling and replication of the results of the numerous CACILM pilot projects. Within outcome 1, the “exposure and dialogue” program will increase the awareness of decision-makers of the results and actions promoted by the CACILM first generation projects on a national and on a multi-country level. The project will, in addition, assist the projects to up-scale and replicate by highlighting their efforts in through an “Exposure and Dialogue Program”, through the national learning events (Outcome 3); and through the development of an effective system of up scaling and replication of good practices (Outcome 4, output 4.3).

183. At the multi-country level, the lessons learned from all projects under the CACILM structure are exchanged at the Multi-country secretariat and through the SLM-Knowledge Management Network, MSEC, and to the CACILM steering committee. A total amount of \$217,125 of project resources supports up-scaling and replication as follow:

National Forum	50,000
Learning Events	50,000
Dissemination of Results of Events	12,500
Support for Attendance to Learning Events	45,000
Learning Network Support Specialist	36,000
Replication Specialist	36,000
Total Replication Budget	217,125

### **PART III: Management Arrangements**

#### *Project Implementation and Governance Roles and Responsibilities*

184. **UNDP** as the GEF Agency will implement this regional project directly by the UNDP Regional Center in Bratislava (BRC) in-line with its delegation of authority granted by UNDP Associate Administrator for 2006/10 period with support of UNDP Country Offices (CO) in Central Asia. The UNDP Mission in Bishkek, Kyrgyz Republic will act as the lead CO, while BRC will ensure additional regional coordination, oversight, and reporting to GEF on all aspects of the project per the Monitoring and Evaluation Plan (Section II, Part IV). Project implementation and governance will take place in coordination and in cooperation with the CACILM structure as follows:

185. **CACILM Steering Committee (CSC):** The project has two steering bodies at the multi-country level. The CACILM steering committee, the governing body of the Multi-country Partnership Framework (CMPF), and the Project Steering Committee (PSC), which is an expedient committee to guide the implementation of the project. The CSC consists of: (i) representatives of the governments of Kazakhstan, Kyrgyz Republic, Tajikistan, Turkmenistan, and Uzbekistan; (ii) GEF agencies: World Bank, UNDP, UNEP; ADB, FAO, and IFAD; (iii) The Global Mechanism; (iv) bilateral donors like the German Ministry for Economic Cooperation and Development represented by the German Technical and Development Cooperation (GTZ); and (v) other international organizations participating in CACILM projects and activities. It is responsible for the direction of the CMPF, the execution of the CACILM work plan and financing plan, oversight of multi-country projects and activities as mandated, and performance monitoring and evaluation of the CMPF. The CSC will gauge the collective impacts of the MCB Project within the other Multi-country Projects within the CMPF and provide advice, observations, and feedback to the MCB Project Steering Committee on the overall consistency of the project with respect to the CACILM framework and inputs as received from their members.

186. **MCB Project Steering Committee (PSC):** The PSC is an agile and active advisory board that will steer the Multi-country Capacity Building Unit (Project Implementation Unit) on the achievement of the Project's Outcomes and Outputs in an adaptive management process. Successful project implementation is dependent upon strong and timely guidance, coordination, and advocacy from this committee. Therefore, the PSC will meet frequently - 3 to 4 times if necessary- uniting representatives selected from institutions relevant to SLM capacity building and being properly mandated. The project steering committee will be comprised of one delegate from each country designated by the National Coordination Council, a representative of the GTZ and UNDP, Global Mechanism, and a representative from the Multi-country Secretariat (MSEC) as an observer. The country representatives will bring local concerns to the forum and assure country drivenness.

187. The PSC representatives will liaise with the National Coordination Councils (NCCs) in their respective countries. In addition, the PSC will also provide traditional functions, such as the review and approval of annual project reviews, workplans, budgets, financial reports, and technical documents. The PSC will maintain the CSC informed on project progress and any significant delays that require its support. The MSEC (described below) reports linkages of the MCB Project in the context of the CMPF to the CSC and provides an important coordination function between the MCB Project, the CACILM Monitoring and Evaluation System, and other Multi-country Projects. To respond to the mentioned functions, the delegates must be available to attend frequent meetings, and ideally have a strategic role in the national-level SLM capacity building process. The Multi-country Capacity Building Unit will be responsible for arranging and facilitating the PSC meetings and members. The specific rules and procedures of the PSC will be agreed upon at the project inception workshop.

188. **National-level Project Steering - the National Coordination Council (NCC):** The NCCs are the national-level steering committees established under the CACILM umbrella. Their composition varies among countries, generally consisting of representatives of key government ministries, SPA, UNCCD

Focal Point, representatives of NGOs, private sector, and civil society. See also Section IV, Table 9 Stakeholder Participation Matrix and Plan for a description and Section IV, Part IV country rosters. The functions of the councils within the scope of the CMPF, the councils main functions are to: (i) coordinate the overall implementation of projects and activities mandated by the NPF; (ii) supervise implementation of the activities that are the direct responsibility of each council; (iii) monitor the performance of all projects and activities and report to the CACILM steering committee; and (iv) review and endorse proposals for consideration by the CACILM steering committee. The NCC receives information on project progress through the National Secretariat (NSEC), who has an executive coordination role with the NCC and who maintains a hierarchical relationship with the MSEC; or, the NCC may request it directly from the National-level Capacity Building Unit (NCBU – described below) In return, the NCC will provide feedback to the NCBU).

189. The project strategy defines an active role for the NCC in the dialogue, debate, and approval of many of the projects outputs, such as, action plans, strategies, clearance on recommendations, and designation of members into working groups for specific activities (see description below). The NCC will have a strong orientation role in the implementation of activities in support of policy actions (Outcome 1) and the DIFS program (Outcome 2). These products will provide the NCC and member institutions with a pathway for continuing project processes after the completion of the MCB Project. Acting on these responsibilities will increase the collective management capacity of the NCCs and create more effective management of SLM responses within scope of the NPFs and within the CMPF.

#### *Project Execution and Operational Arrangements*

190. Project execution occurs at the multi-country and national levels. The activities to be executed at both levels are described in the Strategic Results Framework and the Total Workplan and Budget. These will be confirmed through an annual planning process as outlined in Part IV: Monitoring and Evaluation. To summarize briefly, Strategic Results Framework and the Project Total Workplan and Budget are reviewed at the inception workshop, where the activities and management arrangements, roles and responsibilities are confirmed by co-financiers and stakeholders. Project execution is based on subsequent annual workplans and budgets developed by multiple partners and stakeholders at both levels and are approved by the NCCs at the national level and by the PSC at the multi-country level. The workplans and budgets are compiled by the Multi-country capacity building unit and are submitted to the UNDP BRC for processing and approval. The operational roles and responsibilities in the execution of the project are as follows:

191. **The United Nations Development Programme** will directly execute the GEF part of the project through the UNDP BRC and Country Offices in the CACs. The BRC with the lead UNDP Country Office in Bishkek, Kyrgyz Republic will be responsible for executing the multi-country activities through the Multi-country Capacity Building Unit, who will receive guidance on the development of the annual workplans and budget per GEF and UNDP regulations. The UNDP, GTZ and other members of the multi-stakeholder PSC will approve the annual multi-country workplans and budget. The multi-country effort complements the national-level activities that are developed through a similar process through a National Capacity Building Unit (NCBU – described below) in cooperation with the MCBU, the UNDP-CO, NSEC, and NCC. The national workplan and budget is cleared by the NCC and the UNDP CO before forwarding to the MCBU for inclusion in the Annual Project Budget and Workplan. Once approved by the PSC, the MCBU will forward the annual workplan and budget to the BRC for processing.

192. The BRC and UNDP COs will provide guidance on GEF and UNDP rules and regulations and financial management of GEF project resources. In addition, UNDP in coordination with GTZ, GM, and other partners, will execute the Monitoring and Evaluation Plan. The UNDP country offices and the BRC will also provide linkages with UNDP programs and projects. The BRC will coordinate with the lead CO

required limited changes to the projects workplan as described in Section II, Part IV, Monitoring and Evaluation.

**193. The Multi-country Capacity Building Unit (MCBU):** This will be assured by the establishment of a small but agile Multi-country Capacity Building Unit that will serve as the Project Implementation Unit for the project with the following functions:

- Development of the project multi-country, and annual workplans. Present workplans to PSC for approval and forward to BRC.
- Assist UNDP in the preparation of annual budgets and financial management of the projects resources per UNDP and GEF regulations.
- Support UNDP in the execution of the Project's Monitoring and Evaluation Plan, and effective coordination with MSEC of monitoring and evaluation aspects with the CACILM monitoring and evaluation system
- Assure stakeholder participation per the stakeholder participation plan.
- Prepare and facilitate Project Steering Committee meetings.
- Assist UNDP and partners in the development of TORs and recruitment of contractors and consultants at the international and regional level.
- Work closely with MSEC and project managers of the multi-country projects to assure synergies and operational linkages of project actions with the SLM-KM network and in the incorporation of the SLM-R and SLM-IS tools and lessons learned in the execution of the MCB Project.
- Execute multi-country activities as described in the project document and facilitate the National Capacity Building Units (NCBUs) in the development of workplans and budgets, execution of their activities, and sharing of lessons learned at the multi-country level.
- Provide UNDP/BRC with information to facilitate annual reporting to the GEF on project progress and the PSC and MSEC with information to facilitate annual reporting to the CACILM steering committee with regards to MCB Project contributions to the overall CMPF implementation.

194. To assure country drivenness, consistency with the CMPF, and synergies with multi-country and pilot and multi-country projects, the MCBU will be installed in coordination and in close proximity with the Multi-country Secretariat (MSEC), also in Bishkek, Kyrgyz Republic, taking advantage where possible of efficiencies in sharing existing investments in infrastructure and developed human resources, contacts and relationships. Like MSEC, the unit will be hosted by the Kyrgyz Republic, through the Ministry of Agriculture who will provide office space. The MCBU will execute the project at the multi-country level in coordination with the National Capacity Building Units (NCBUs - described below) and will liaise with the UNDP/BRC, UNDP COs, and with the National Secretariats (NSECs).

195. The Multi-country Capacity Building Unit will be staffed by a Multi-country Capacity Building Specialist, who will serve as the project manager. S/he will be responsible for the successful execution of the project in accordance with UNDP and GEF rules and as described in the Strategic Results Framework. To assure that the technical reporting requirements of UNDP and GEF are met, the Multi-country Capacity Building Specialist will coordinate with UNDP through the BRC. The Multi-country capacity building specialist will manage the project implementation process, development of the outcomes, and provide technical support to national level capacity building units per the Terms of Reference for the position, provided in Section IV Part II. The Multi-country Capacity Building Specialist will be a regionally recruited professional with strong project management experience, multidisciplinary skills related to capacity building, human resources development, organizational development, and/or sustainable financing. S/he must be fluent in both English and Russian or the local languages, with



commensurate experience in the region. The UNDP and PSC will lead a competitive recruiting process in coordination with other MCB partners, who will share a consenting role.

196. The Multi-country Capacity Building Specialist will liaise with UNDP/BRC and UNDP COs who represent the implementing agency at the country-level, MSEC, NSECs as appropriate, the listed steering committees, working groups (described below), and other CACILM and SPA partners as required.

197. The technical capacity of the MCBU will be enhanced by a GTZ co-financed Capacity Building Technical Advisor (CBTA), who is a capacity building and/or training expert recruited to provide technical backstopping to the Multi-country Capacity Building Specialist and National Capacity Building Units (described below) in the development and execution of capacity building strategies, development of training modules, lead the trainer-of-trainers process and staff training of the National Capacity Building Units, human resource development actions, and in the coordination of multi-country-level training activities. The CBTA will also provide quality control to the development the outcomes. Given that the post is based in the Kyrgyz Republic, the CBTA will also function as a technical advisor to the Kyrgyz NCBU. The CBTA will be an internationally or regionally recruited professional with strong capacity building and training experience, especially in the development of training programs. S/he will ideally be fluent in both English and Russian, with commensurate experience in the region. The PSC will competitively recruit the CBTA in the collaborative manner as described above for the Multi-country capacity building specialist.

198. To allow the Multi-country Capacity Building Specialist sufficient time for executive support to the development of the outputs, management support in the form of a GEF-financed **Administrator** will be provided. The Administrator will support the Multi-country Capacity Building Specialist in UNDP and GEF tracking, reporting, coordination of production of annual work plans, and budget tracking and reporting as required by UNDP, in addition to logistical support to the Multi-country Capacity Building Specialist and the Capacity Building Technical Advisor. The Administrator will also be hired through the described competitive process and should be Russian speaking with a good working knowledge of English. Additionally, these positions will be supported by a locally hired secretary.

199. **The National Capacity Building Units:** The technical execution of the project will be enhanced by a small, National Capacity Building Unit (NCBU) that will serve as the country-level project implementation unit with the following functions:

- Development of annual country workplans and budgets with UNDP CO for forwarding to the MCBU.
- Assist UNDP Country Office financial management of the project's country-level resources per UNDP and GEF regulations.
- Support the Multi-country Capacity Building Unit in the execution of the Project's Monitoring and Evaluation Plan, and effective coordination with the NSEC Monitoring and Evaluation Specialists with the national-level CACILM monitoring and evaluation components.
- Assure national stakeholder participation per the stakeholder participation plan.
- Prepare and facilitate NSEC to coordinate NCC meetings and tasks with respect to the MCB Project.
- Assist UNDP and NSEC in the development of TORs and recruitment of national-level contractors and consultants.
- Work closely with NSEC and national-level project staff of the multi-country projects to assure synergies and operational linkages with the SLM-KM network and in the incorporation of the SLM-R and SLM-IS tools and lessons learned in the execution of the MCB Project and in the integration with CACILM Pilot Projects.

- Coordinate with NSEC the dialogue, events to debate, and approval of specific products (actions plans, strategies, and proposals) for NCC approval.
- Provide NSEC, the MCBU, and the UNDP CO with information to facilitate annual reporting to the NCC and the PSC on project progress and MSEC, if required, with information to facilitate annual reporting to the NCC with regards to MCB Project contributions to the National Programming Framework.

200. These operational units will report to the UNDP Country Offices and the MCBU for annual workplans, budgets, and execution of the Monitoring and Evaluation Plan and additionally to the NSECs and MCBU on the execution of the outputs and development of the stated results within the scope of the Strategic Results Framework. To be effective and fully integrated with the CACILM Structure, the NCBU will be established, where possible, in close proximity to the National Secretariats. This is advantageous to create synergies and maintain an adequate interface between the NCC, CACILM projects and the CBU. Because these are not legal entities, the actual host agency to provide office space is expected to be the ministries that currently host the NSEC, these are tentatively the following:

- (1) Kazakhstan: National Institute of Ecology and Institute of Climate
- (2) Kyrgyz Republic: Ministry of Agriculture, Scientific Research Institute for Irrigation
- (3) Tajikistan: Ministry of Agriculture
- (4) Turkmenistan: Ministry of Nature Protection
- (5) Uzbekistan: Uz Hydromet

201. These ministries will provide office space in close proximity to the NSEC, who will coordinate and confirm official arrangements at the inception phase of the project.

202. The NCBU will consist of a nationally recruited capacity building expert with capacity and project management experience. S/he will serve as the national project director and will manage all project functions in close cooperation with NSEC and UNDP CO. The description of functions involves managing the project process in close cooperation with the UNDP Country Office, development of inputs for the key outputs of the project document, such as developing training materials and plans, organizing events, hiring and oversight of national consultants, and liaise and effective coordination of execution of the monitoring and evaluation plan, is similar to the will be recruited through a similar competitive process as described above, but with but with national-level input. See Section IV Part II for Terms of Reference.

203. The National Capacity Building Experts will be back-stopped by (2) additional capacity building resources persons co-financed by the GTZ. Tentatively, these resources will be placed in Turkmenistan and Kazakhstan. These persons will be experienced in capacity building, organizational development, or human resource development and will be instrumental in developing training programs, evaluating the results of training, and developing the learning networks and learning events. The national and international experts detailed to the NCBUs are considered part of the Multi-country Capacity Building Unit and will liaise directly with the Multi-country Capacity Building Specialist, the Capacity Building Technical Advisor, MSEC, and to the NSEC.

204. **National Secretariats (NSEC):** The national secretariats support the National Coordination Councils in the overall implementation of projects and activities mandated by the NPFs, including (i) monitoring performance of all projects and activities undertaken; (ii) annual reporting to the CACILM steering committee on NPF implementation; (iii) providing secretarial and logistical support to national coordination council meetings and workshops; (iv) supervision of specific activities that are the direct responsibility of the national councils, and (v) provision of guidance and assistance in the preparation of the project proposals.

205. Given these functions, the NSECs will facilitate the communication with the National Coordinating Council. The NSEC head will operate as the national focal point for capacity building to ensure coordination with relevant national projects (government and donor funded) with capacity-building components of NCC member organizations. In keeping with their mandate, the key functions of the NSEC in support of the NCBU are:

- Coordinate the formation of the Policy and Financing Working Group and the Capacity Building Working Groups with the NCC.
- Coordinate with the NCC the review of action plans and strategies, events to facilitate extra-official meetings and retreats to make capacity building decisions, and the publication and dissemination of events.
- Coordinate the flow of information to the NCC and MSEC.
- Assure coordination of the MCB activities with the CACILM Projects.
- Facilitate the integration of the MCB monitoring tools (awareness surveys, scorecard) into the National Monitoring and Evaluation System. Assure coordination with the NSEC monitoring and evaluation specialists.
- Coordinate with UNDP and the CBU the annual work planning process and be an active participant in the process ensuring adaptive management based on the results of the previous cycle and incorporating NCC (steering committee) observations.

206. **Working Groups:** are multi-institutional stakeholder groups comprised of qualified persons selected, ideally, from 6-8 pertinent state agencies, institutes, and non-government agencies. The working groups are designated to facilitate the NCBUs in the implementation of specific national activities of the MCB. The participating institutions will contribute a delegate with an estimated time contribution of 25%, perhaps more in the first year of the project. The members of the working group will serve as conduits of information and trainers, capable of multiplying actions and training programs within their institutions. They will also guide the development of the outputs and directly participate in the development of workplans, action plans, and strategies for delivery to NSEC the NCC, the MCBU, and ultimately to the PSC. The needs of the working group will be facilitated by the NCBU and is responsible to NSEC. The members will be key multipliers and conduits for the work of the capacity-building unit, with whom they will work closely. In addition, they will provide feedback, recommendations, comments, and critique on project developments. These groups will actively participate with the CBU and NSEC in the development of annual country-level workplans for their specific outputs. The working groups may prepare and deliver special presentations for the NCC as required. The project will depend on two working groups: Policy and Financing and Capacity Building. The specific functions of the working groups are as follows:

207. The **Policy and Financing Working Group** will focus on policy recommendations, the development of integrated financing strategies, and facilitate the development of project outcomes 1 and 2. In policy aspects, the working group will guide the development of the policy action plan and, when complete, will follow-up on the recommendations. This group is also the core group that will receive advanced training in the “Integrated Financing Strategies” methodologies and procedures. Additionally, it will manage the development and products related to the integrated financing strategy in outcome 2. The development of capacities for policy and financial reform will require that the delegates selected be high profile personalities and recognized for their authority in the area. All products in outcomes 1 and 2 are cleared by the working group before submission to the NSEC and the NCC for discussion and approval.

208. The **Capacity Building Working Group** will focus on the development of awareness surveys (outcome 1) and on the development of outcomes 3 and 4. This group will be comprised of institutions responsible for developing future human resources for the nation, involvement in CACILM Projects, and knowledge management and exchange. The group is instrumental in the development of the National Capacity Building Strategy, in the development and implementation of mentioned awareness surveys, the

capacity building scorecard indicators, upstream and downstream communications, the learning networks, and the development and propagation of learning tools. The individuals that comprise the group should have a demonstrated dedication to capacity building and an ability to perform in-house training in their respective institutions and among peer groups. This working group will work closely with the NCBU and NSEC to incorporate the awareness surveys and scorecard into CACILM Monitoring and Evaluation System.

209. **Technical Support and Backstopping:** In addition to the technical support provided by the GTZ, the Global Mechanism will provide training support, materials, and guidance to the development of Outcomes 1 and 2. The Multi-country Capacity Building Unit and the National Capacity Building Units may respectively recruit international and national contractors as described within the guidelines provided by the project document and the Total Workplan and Budget as approved by the PSC during the development of annual workplans. Staff training by international contractors will be provided to the NCBUs on developing effective training programs, and specialized assistance on the development of a modular training program on Collaborative SLM, and on the DIFS strategy and approach. These will ensure the NCBUs have adequate training and capacity to facilitate the development of the outputs and expand the training modules to larger national audiences as specified in the project document.

210. 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 and GTZ logos should be more prominent -- and separated from the GEF logo if possible. UN visibility is important for security purposes.”

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

211. Project monitoring and evaluation will be conducted in accordance with established UNDP and GEF procedures and will be undertaken by the Multi-country Capacity Building Unit and the UNDP Regional Center in Bratislava (BRC) in coordination with the Project Steering Committee (See Management Arrangements), the MSEC, and in cooperation with the CACILM Steering Committee (CSC), in addition to the MSEC and NSEC Monitoring and Evaluation Specialists. The Strategic Results Framework Matrix in Section II provides impact and outcome indicators for project implementation along with their corresponding means of verification. The M&E plan includes: an inception workshop and report, project implementation reviews, quarterly operational reports, yearly participative evaluation events, and final evaluation, and indicative cost estimates related to M&E activities. The project Monitoring and Evaluation Plan will be presented at the project inception workshop and finalized in the Project Inception Report, following a collective fine-tuning of indicators, means of verification, and the full definition of project staff including M&E responsibilities.

#### **MONITORING AND REPORTING**

##### *Project Inception Phase*

212. A Project Inception Workshop will be conducted with the full project team, relevant governments' counterparts, co-financing partners, UNDP-COs and representation from the UNDP-GEF Regional Coordinating Unit. A fundamental objective of the Inception Workshop is to assist the project team to understand and take ownership of the project's goals and objectives, as well as to finalize preparation of the project's first annual work plan at the national and multi-country levels based on the project's logframe matrix. This will include reviewing the logframe (indicators, means of verification, assumptions/risks), confirming and synchronizing the national-level activities with the multi-country workplan imparting additional detail as needed, and, on the basis of this exercise, finalize the Annual Work Plan (AWP) with

precise and measurable performance indicators in a manner consistent with the expected outcomes for the project. The Inception Workshop will: (i) introduce project staff to the UNDP-GEF-GTZ expanded team that will support the project during its implementation, namely the responsible BRC, UNDP CO, and GTZ staff; (ii) detail the roles, support services and complementary responsibilities of RCU, GTZ, and MSEC 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-Annual Project Report (APR-PIRs) and related documentation, Tripartite Review Meetings, as well as yearly evaluation events and final evaluations. Equally, the Inception Workshop will provide an opportunity to inform the project team on UNDP project-related budgetary planning, budget reviews, and mandatory budget re-phrasings and it 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 reiterated to clarify each party's responsibilities during the project's implementation phase. Project Steering Committee rules and procedures will be discussed and agreed.

#### Monitoring responsibilities and events

213. A detailed schedule of project review meetings will be developed by the Multi-country Capacity Building Unit, in consultation with project implementation partners and stakeholders and incorporated in the Project Inception Report. Such a schedule will include: (i) tentative time frames for Tripartite Reviews, (ii) Steering Committee Meetings or relevant advisory and/or coordination mechanisms, and (iii) project related Monitoring and Evaluation activities.

214. Day to day monitoring of implementation progress will be the responsibility of the Multi-country Capacity Building Unit in coordination with the National Capacity Building Units based on the project's Annual Work Plan and its indicators. The Project Team will inform the Project Steering Committee and the UNDP-BRC 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.

215. The Multi-country Capacity Building Unit in coordination with the MSEC Monitoring and evaluation specialist 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 the UNDP-GEF BRC, GTZ, and GM. Specific targets for progress during the first year of implementation 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 Steering Committee and the Multi-country and National Capacity Building Units.

216. Measurement of impact indicators related to global benefits will occur as part of the CMPF monitoring and evaluation process and will be coordinated with MSEC's Monitoring and Evaluation Specialist. Those related to national and local benefits will be measured through a scorecard approach. The scorecard will be developed by a qualified consultant at the multi-country level and will be locally discussed and approved by the NSEC and MSEC monitoring and evaluation specialists, the NCCs, and the PSC (including UNDP and GTZ during the first quarter of project implementation. The baseline for the scorecard will be measured through (a) the awareness surveys and (b) through the initial implementation of the scorecard with representation from multiple stakeholder groups and 6 months before the completion of the project. These schedules of monitoring events will be defined in the Inception Workshop. The measurement of these will be undertaken by the Multi-country capacity building unit in coordination with the national capacity building units and in coordination with the CACILM monitoring and evaluation specialists, who are independent of the mentioned units and who

will integrate the project monitoring and evaluation actions into the overall CACILM monitoring and evaluation framework.

217. *Periodic monitoring* of implementation progress will be undertaken by the UNDP/BRC through quarterly conference calls with the Multi-country Capacity Building Specialist (Project Manager) preferably during the PSC Meetings, 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.

218. The Project Steering Committee (PSC), a small and active group (see Management Arrangements) will meet on a quarterly basis to advise on the implementation of the workplans, realization of the outcomes, and to maintain country drivenness. The PSC has upstream and downstream communication with the National Coordination Councils (NCCs), who are the national-level steering committees. The Multi-country Capacity Building Units (MCBU) will share information on quarterly progress at the multi-country level and information on the development of national activities as provided by the National Capacity Building Units. Based on this information, the PSC will provide guidance and suggestions for the execution of the workplan during the following quarter. The PSC will circulate a brief report to UNDP, the GTZ, the GM, and the NCCs among other partners as agreed in the Inception Workshop.

219. UNDP COs and UNDP-GEF BRC and/or PSC members will conduct yearly visits to projects that have field sites, or more often based on an agreed upon schedule to be detailed in the project's Inception Report and Annual Work Plans to assess first hand project progress. A Field Visit Report will be prepared by the UNDP BRC and circulated no less than one month after the visit to all PSC members.

220. *Annual Monitoring* is ensured by the CACILM Steering Committee (CSC), which is the highest policy-level meeting of the parties of the CACILM Multi-country Programming Framework. The CSC will gauge the progress of the project with regards to the overall CACILM performance indicators and process and will review project implementation during their annual meetings. The first such meeting will be held within the first twelve months of the start of full implementation. The harmonized Annual Project Report and Project Implementation Review (APR/PIR) will be drafted by the Multi-country Capacity Building Unit in coordination and with approval of the Project Steering Committee. The APR/PIR, which provides the inputs for the discussion during the steering committee meetings, will be formally submitted by the GEF-UNDP-BRC, to the CSC members at least two weeks prior to their meeting. UNDP will present the APR to the CSC, highlighting policy issues and recommendations for the decision of the members. UNDP will also inform the members of any agreement reached by PSC or other stakeholders during the APR/PIR preparation on how to resolve operational issues. Separate reviews of each project component may also be conducted if deemed necessary.

*Terminal Steering Committee Review.* The terminal Steering Committee meeting is held in the last month of project operations. The Multi-country Capacity Building Specialist is responsible for preparing the Terminal Report and submitting it to the UNDP-GEF Regional Coordinating Unit. It shall be prepared in draft at least two months in advance of the Steering Committee meeting in order to allow review, and will serve as the basis for discussions at the meeting. The terminal Steering Committee meeting will consider 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 or formulation.

221. The CACILM Steering Committee has the authority to suspend disbursement if project performance benchmarks are not met. Benchmarks will be developed at the Inception Workshop, based on delivery rates, and qualitative assessments of achievements of outputs.

#### Project Monitoring Reporting

222. The Multi-country Capacity Building Specialist with support from the UNDP COs and UNDP-GEF will be responsible for the preparation and submission of the following reports that form part of the monitoring process. Items (a) through (d) are mandatory and strictly related to monitoring, while (e) through (g) have a broader function. The frequency and nature of the latter is project specific and will be defined throughout implementation.

223. **(a) Inception Report (IR):** 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 Multi-country Capacity Building Unit or consultants, as well as time-frames for meetings of the project's decision making structures. In addition to this, an Operational Work Plan for the duration of the project will also be prepared, that will be reviewed and updated on a yearly basis. The Report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the Annual Work Plans submitted by the countries through a similar process at the national-level, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 months time-frame. 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.

224. When finalized and reviewed by the PSC and the GEF-UNDP-BRC, 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.

225. **(b) Annual Project Report – Project Implementation - APR/PIR:** The APR-PIR is an annual monitoring process mandated by the GEF<sup>23</sup> and UNDP. It has become an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. The APR/PIR is part of UNDP's central oversight, monitoring and project management. It is a self -assessment report by project management to the PSC, BRC, GTZ, and GM as well as forming a key input to the CSC meeting. Once the project has been under implementation for a year, and subsequently each year thereafter, an APR –PIR will be completed by the project team with support from UNDP-GEF 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/PIR will include the results of the scorecard reviews, awareness surveys, or other products as available.

226. The individual APR-PIRs are collected, reviewed and analyzed by the UNDP BRC prior to sending them to the focal area clusters at the UNDP/GEF headquarters. The focal area clusters supported by the UNDP/GEF M&E Unit analyze the APRs by focal area, theme and region for common issues/results and lessons. The focal area APR-PIRs are then discussed in the GEF Interagency Focal Area Task Forces in or around November each year and consolidated reports by focal area are collated by the GEF Independent M&E Unit based on the Task Force findings.

227. **(c) Quarterly Progress Reports:** Short reports outlining main updates in project progress and delivery rates will be provided quarterly by the Multi-country Capacity Building Unit to the Project Steering Committee. These will be forwarded to the UNDP-GEF regional coordination unit, the GTZ, and GM and other partners as determined in the Inception Workshop by the project steering committee based upon a standard format to be provided by UNDP-GEF.

228. **(d) Project Terminal Report:** During the last three months of the project, the project team will prepare the Project Terminal Report. This comprehensive report will summarize all activities,

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23 The GEF M&E Unit provides the scope and content of the PIR. In light of the similarities of both APR (standard UNDP requirement) and PIR (GEF format), UNDP/GEF has prepared a harmonized format - an APR/PIR

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.

229. **(e) Periodic Thematic Report:** As and when called for by UNDP, UNDP-GEF or the Implementing Partner, the project team will prepare Specific Thematic Reports if requested, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNDP and will clearly state the issue or activities that need to be reported on. These reports can be used as a form of lessons learnt exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered. UNDP is requested to minimize its requests for Thematic Reports, and when such are necessary will allow reasonable timeframes for their preparation by the project team.

230. **(f) Technical Reports:** Technical Reports are detailed documents covering specific areas of analysis or scientific specializations within the overall project. 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. Technical Reports may also be prepared by external consultants and should be comprehensive, specialized analyses of clearly defined areas of research within the framework of the project and its sites. These technical reports will represent, as appropriate, 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.

231. **(g) Project Publications:** Project Publications will form a key method of crystallizing and disseminating the results and achievements of the Project. These publications may be scientific or informational texts on the activities and achievements of the Project, in the form of journal articles, multimedia publications, etc. These publications can be based on Technical Reports, depending upon *inter alia* the relevance and scientific worth of these Reports, or may be summaries or compilations of a series of Technical Reports and other research. The Multi-country Capacity Building Unit will determine if any of the Technical Reports merit formal publication, and will also (in consultation with GTZ, UNDP, the government and other relevant stakeholder groups) plan and produce these Publications in a consistent and recognizable format. Project resources will need to be defined and allocated for these activities as appropriate and in a manner commensurate with the project's budget.

### **Independent Evaluation**

232. The project will be subjected to a participatory yearly evaluation process with one independent external evaluation as follows:

233. **(a) Mid-term evaluation:** An independent Mid-Term Review will be undertaken at the mid of the second year of implementation. The Mid-Term Review 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 review will be prepared by the PMCU based on guidance from the RCU and UNDP-GEF.



234. **(b) Final Evaluation:** An independent Final Evaluation will take place three months prior to the terminal review meeting, and will validate the results presented at the annual evaluation meetings and will determine the impact and sustainability of results, including the contribution to capacity development and the achievement of the MCB Project towards the global environmental goals of the CMPF. The Final Evaluation should also provide recommendations for follow-up activities at the country level. The Terms of Reference for this evaluation will be prepared by the Multi-country Capacity Building Unit based on guidance from the UNDP-GEF Regional Coordinating Unit.

### **Audit Clause**

235. The project will be audited in accordance with UNDP Financial Regulations and Rules and Audit policies.

### **Learning and Knowledge Sharing**

236. Results from the project will be disseminated within and beyond the project intervention zone through a number of existing information sharing networks and fora. 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 and through events and information dissemination mechanisms attended or promoted by SPA partner organizations.
- The project will also contribute and participate in the GEF MSP on LD Knowledge Management.
- The project will create national learning networks that will be tied into the SLM-Knowledge Management Network process and through learning events coordinated in outcome 4 of the project document. These will systematize the MCB results into the SLM-KM actions.
- The project will participate in and contribute to UNCCD events as requested by the Multi-country Secretariat and coordinated by the CACILM Steering Committee.
- The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects within the CACILM framework. Project resources are allocated for these in the IFS process (outcome 2) and in the development of proposals for extension and advisory systems (outcome 3).

Table 5: Indicative Monitoring and Evaluation Work plan and Budget

<b>Type of M&amp;E activity</b>	<b>Responsible Parties</b>	<b>Budget US\$ <i>Excluding project team Staff time</i></b>	<b>Time frame</b>
Inception Workshop	<ul style="list-style-type: none"> <li>▪ Regional Project Specialist</li> <li>▪ UNDP COs</li> <li>▪ UNDP GEF</li> </ul>	10,000	Within first two months of project start up
Inception Report	<ul style="list-style-type: none"> <li>▪ Project Team</li> <li>▪ UNDP COs</li> </ul>	None	Immediately following IW
Measurement of Means of Verification for Project Purpose Indicators – scorecard development and awareness surveys.	Multi-country Capacity Building Specialist, CBUs, and NSEC will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members	37,600	Start and end of project (Surveys budgeted to Project Outcome 1)
Development of long-term	Multi-country capacity building	25,000	Immediately following

Capacity Building Indicators and Scorecard	specialist, CBUs, MSEC M+E Specialist and NSEC M+E specialists select consultant, refine scorecard, UNDP approval, and execute to develop a baseline		IW. Scorecard measured at the beginning and end of project. Budgeted to Project Management.
Measurement of Means of Verification for Project Progress and Performance (measured on an annual basis)	<ul style="list-style-type: none"> <li>▪ Oversight by Project GEF Technical Advisor and Multi-country capacity building Specialist</li> <li>▪ Measurements CBU, NSEC, MSEC, and Multi-country Capacity Building Unit in cooperation by working groups.</li> </ul>	None	Benchmarks established in IW and annually during the development of the Annual Work Plan's and review prior to APR/PIR
APR/PIR	<ul style="list-style-type: none"> <li>▪ Project Team</li> <li>▪ UNDP COs</li> <li>▪ UNDP-GEF</li> </ul>	None	Annually
Steering Committee Meetings	<ul style="list-style-type: none"> <li>▪ Multi-country cap specialist and Project Team</li> <li>▪ UNDP COs</li> <li>▪ UNDP-GEF</li> </ul>	10,000	One meeting per year (3) dealing with overall M+E following receipt of APR.
Periodic status reports	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP COs</li> </ul>	None	To be determined by Project team and UNDP
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-GEF.
Mid-term External Evaluation	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP COs</li> <li>▪ UNDP-GEF</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	20,000	At mid-point of project execution in Q6 or 7.
Final External Evaluation	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP COs</li> <li>▪ UNDP-GEF</li> <li>▪ External Consultants (i.e. evaluation team)</li> </ul>	40,000	At the end of project implementation. International Service contract individual or company.
Terminal Report	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP COs</li> </ul>	None	To be completed by CBUs and MCBU. At least one month before the end of the project
Lessons learned (UNDP staff travel costs to be charged to IA fees)	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP COs</li> <li>▪ UNDP-GEF Regional Coordinating Unit</li> </ul>	10,000	Yearly meeting held with CBUs and Project Team at national level
Audit	<ul style="list-style-type: none"> <li>▪ Project team</li> <li>▪ UNDP CO</li> </ul>	15,000 (average \$5000 per year)	Yearly
Visits to field sites (UNDP staff travel costs to be charged to IA fees)	<ul style="list-style-type: none"> <li>▪ UNDP COs</li> <li>▪ UNDP-GEF</li> <li>▪ Government representatives</li> </ul>	10,000 (average one visit per year)	Yearly

<b>TOTAL INDICATIVE COST</b> <i>Excluding project team staff time and UNDP staff and travel expenses</i>	US\$ 187,600	\$87,000 charged to project management. \$90,600 charged to outcomes. Plus \$10,000 co-financed
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## **PART V: Legal Context**

237. This Project Document shall be the instrument referred to as such in Article I of the Standard Basic Assistance Agreement between the Governments of the Kazakhstan, Kyrgyz Republic, Tajikistan, Turkmenistan, and Uzbekistan and the United Nations Development Programme.

238. 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.

239. The UNDP Resident Representative in the Kyrgyz Republic will serve as the Principal Project Resident Representative and is authorized to effect in writing the following types of revision to this Project Document provided that the project steering committee endorses the changes and that he has verified the agreement thereto by the UNDP-GEF Unit:

- 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 Reasoning

#### *Baseline Scenario*

240. The GEF increment builds off the structure established by the CMPF Support Project and sub-projects (SLM-R, SLM-KM, and SLM-IS) and will build off of the previous work of the SRTP and the GMs *Design of Integrated Sustainable Financing Program* which provides initial coordination and planning and create additional actions for collaborative planning and the development of actions and tools needed to enhance the vertical and horizontal integration of experiences from projects and stakeholders experiences. Both of these initiatives form a baseline of information and tools. The MCB utilized the existing CACILM structure as a baseline. The established MSEC, NSECs, and NCCs with their structures and function provides a head start in developing capacity to combat land degradation. However, the clearly articulates the need for an integrated capacity building process to strengthen the framework and the enabling environment. These actions were contemplated in the overall framework because without them, the structure would succumb to the *status quo* of (a) ineffective bureaucracy, (b) little integration between policy makers and land users, (c) disconnect between experiences in the field and policy making; (d) conflicting and diverse policy environment that limits SLM financing and effective use of existing resources. Without increasing the capacity of the CMPF actors and other stakeholder to respond to these drivers, the CACILM process will suffer from limited vision on the part of decision-makers, loss of good experiences, and policy formulation processes that will not reflect the needs and experiences of the ground level.

241. Without the GEF increment to support a dynamic, collaborative, and integrative decision-making and mainstreaming of policies, the potential of the CMPF to result in an effective integrated approach will be limited to the present capacity. The NCCs, NSECs, and MSEC will function, but without clear roles and responsibilities of the member organizations, leading to under-involvement and low levels of integration. The NCCs will be focused on singular projects rather than fulfilling their potential as an innovative decision-making paradigm that will enable them to meet their commitments in response to international agreements such as the UNCCD and the SRAP-CD. This will compromise the sustained management of natural resources and ultimately to sustainable livelihoods as the national-level investments will be un-coordinated, under-financed by national budgets, and likely to become significantly reduced when the CACILM process is concluded. In the long term, this will constrain the efforts of each country to improve their situation as expressed in MDGs, WSSD, and Agenda 21 targets related to poverty and environment will be seriously undermined.

242. The *status quo* therefore implies continued land degradation, deforestation, ecosystem simplification and reduced connectivity, and erosion of ecosystem services leading to increased poverty, declining food and water security. The impact will be greatest at the lowest socioeconomic levels and in rural areas with the least economic alternatives. The upstream – downstream divide in communication and decision-making will likely remain and will lead to lost opportunities in applying lessons learned to new situations and the possible replication of ineffective actions at both multi-national and national levels

243. The structures created under the CMPF are functioning and will continue to evolve. The CMPF Support Project is now providing important tools to facilitate the NCCs in their process to combat land degradation. However, without the GEF increment, the NCCs will be limited to their current understanding and decision-making process and will not have the benefit of innovative methodologies and approaches that will enable them to effectively use the tools as part of a targeted and collaborative approach. Without the increment, land degradation will continue to be addressed through the implementation of site-specific projects lacking clear connections to policy and institutional reforms needed to achieve broad-based and sustainable progress in promoting SLM. This will further compromise

the cost effectiveness of the response to land degradation. Without the GEF increment, the following will be observed:

- The partially and unevenly reformed policy and institutional environment of CACs for SLM, will lead to long-term constraints in the response to land degradation problems. This will contribute to the persistence of economically expedient production practices that contribute directly and indirectly to degradation of soil and biological resources, pollution and sedimentation of water bodies, diminishing carbon stocks, and loss of broader ecological services. The NCC and other authorities will continue to recognize the problem but will continue forward without a clear concept on how to reform the policy environment.
- “Capacity building” will be viewed as simply training without reference to specific functions at the system, institutional, and individual level. These actions will be under funded and un-coordinated and represent short-term fixes or related to projects with training functions. The status quo will lead to long-term shortcomings in the sustainability of the CMPF as key skills and abilities needed to respond to technical, academic, and scientific aspects of land degradation are un-responded due to an uncoordinated approach to land degradation.
- The vertical gap between the grass-roots and decision-makers will remain. There will be ineffective interpretation, planning, and coordination of new efforts once the existing suite of CACILM projects are completed. Under this scenario, stakeholder experiences and lessons learned from the CACILM Pilot Projects will not feed into policy-making function at the agency and system levels. Larger and more complicated efforts, such as the development of extension systems, which are long-term endeavors, will remain as an identified need, but will not progress into the design phase.
- Without the GEF increment, the core individual capacities to develop programs, projects, and funding proposals will remain at present levels. This will contribute to the status quo lack of development and under-funding for many important state agencies and institutes, which will further contribute to under-performance by these once strong institutions.

#### *The GEF Increment*

244. **The GEF increment** will provide a long-term programmatic framework and strategy for capacity building. It will provide a demonstrated model for targeting and integrating responses to land degradation by targeting a geographic region, prioritizing land degradation problems, developing integrated approaches, and approaches and catalyzing initiatives and leveraging additional funds, hence ensuring synergies between ongoing and planned activities. This strategic approach will create a methodology or “way of doing business” that will provide the NCCs with a tested strategy for responding to land degradation problems. The GEF increment will provide a long-term capacity building strategy that will institutionalize and provide the pathway for improved human capital with targets and indicators with respect to key functions required by the countries. In addition, human capital will be enhanced through training modules and prepare decision-makers and key actors for participation in a collaborative approach to combating land degradation and develop improved mechanisms for communication between different levels of stakeholders and the first stage of creating a system-level response to the lack of extension or advisory services. Finally, the GEF increment will create a framework that will facilitate the up-scaling and replication of lessons learned from the CACILM pilot projects and others project through learning networks, development of learning tools, and strategies for up-scaling of lessons learned.

245. The MCB project will operationalize the aspects of developing a plan for extension services, providing modular training, and implementing an Integrated Financing Strategy in each country using the GM’s approach. These short term actions will be implemented at both the multi-country and national levels and will be complemented with action planning that will closely identify the long-term capacity

building needs, such as the numbers of future academics, scientists, and technicians needed decades into the future, under-utilized institutional assets, and gaps in stakeholder representation that will be needed to effectively combat land degradation. This includes steps towards long-term system-level capacity development, such as establishing national approaches to extension, which are beyond the system boundary of this project but will provide the NCC with a defined pathway towards long-term capacity building. As such, the MCB project will both contribute to system, institutional, and individual capacities in the short term while acting as a framework project for long term capacity development actions.

246. The GEF increment will: (i) increase capacities of decision-makers to mainstream policies for greater coherence and a decision-making framework for collaborative resource management; (b) increase mobilization of resources, including capacity development for planning and capture of increased resources, (c) improved interaction between state agencies and land users; and (d) increased awareness of SLM through dissemination and replication of best practices, and (e) provide a mechanism for up-scaling lessons learned from CACILM projects.

#### *GEF alternative*

247. The GEF Alternative is comprised of national efforts by member agencies that comprise the NCC, numerous local stakeholder groups participating in the CACILM Pilot Projects in combination with GEF and ADB supported actions through the CMPF Support Project, and international efforts through the SPA to combine assets in developing the actions presented in the outcomes. The alternative builds off of the Sub Regional Training Program in responding to the need to extension services. For Outcomes 1 and 2, the alternative includes inputs from the GM and human resources and materials developed through the DIFS program developed as baseline actions and as co-financing. The alternative includes expertise injected into the NSECs through support to the National and Multi-country Capacity Building Units. This added support is vital to injecting new ideas and innovation into the CACILM structures. This aspect of the alternative is supported by the German CCD initiative. The SPA contribution to the alternative will tie the Capacity Building Units to capacity experiences throughout the world in support of Sustainable Land Management. The alternative will also include existing national components into the learning networks and in learning events. The GEF alternative for the MCB project is highly complementary to the suite of multi-country projects under the CACILM program.

248. The alternative included a large and active role for the NCCs, who are the national drivers for SLM. The MCB Project is designed to enable the decision-makers to better utilize the information and results created by the SLM-Research by ICARDA, SLM-Information System Projects, with inputs from FAO (LADA) as tools that will fit a more comprehensive collaborative decision-making process that will lead to the updating of the National Planning Frameworks. The project will utilize the framework established under the SLM-KM project as a platform for exchange of information and experiences as generated under this project and also benefit the SLM-KM project with more extensive contact at the local level through a more diverse medium. The MCB project will utilize these as elements of a decision-making support system. The MCB project will also provide the conduit for the communication of information and experiences both upstream and downstream through methods and media not included in the SLM Knowledge Management project. The proposed actions will therefore generate more users and information for the SLM Knowledge management network that would otherwise have been generated without this project.

249. The alternative is designed to create the capacities that will complement the mentioned substantial investments by bi-lateral partners, as noted in the baseline, are articulated through an integrated CACILM Multi-country Framework. On another plane, the long term capacity development needs of the participating nations are much larger than the ability of one project to adequately respond to all capacity needs by all pertinent stakeholders. Therefore, the GEF alternative seeks to develop both short-term actions to catalyze the capacity building process while creating the framework for long-term planning and

investment in the development of core capacities and structures that will respond to the needs of each nation to effectively implement the NPF and adaptively manage the future evolution of the NPF process.

250. The restoration of ecosystem stability, integrity and function will be underpinned by adequate policy and institutional frameworks, increased overall capacity at national and local levels, sustained financing mechanisms, validated sustainable resource/land use practices, and coordination of other initiatives within the watershed promoted through the GEF alternative.

251. Through the development of capacities to achieve Integrated Financing Strategies, the Financial mechanisms will be designed to support continued investments on a long-term basis and within a framework that emphasizes comprehensive resource mobilization and integrating project design in an integrated Natural Resources Management Framework with increased support from national governments and programs. Within this context, the GEF alternative will therefore facilitate and catalyse support from external partners and contribute to the CMPF vision of more effective collaboration and coordination amongst agencies, governments, and international partners.

### Expected Global Benefits

252. The project aims to generate global, national, and local benefits by creating the individual capacities among decision-makers with respect to planning and executing SLM programs. The capacity development actions proposed in the MCB Project will create the enabling conditions that directly contribute to the stated goal of the CMPF of restoration, maintenance and enhancement of the productivity of land in the CACs, improving the economic and social well-being of those who depend on these resources, while preserving the environmental functions and services of the land and contributing to sustainable livelihoods. The MCB Project is one of four complementary multi-country projects that collectively contribute to the stated global benefits for the CMPF, which are generated from sustainable land-use practices that result from the improved enabling policy environment, institutional strengthening, increased individual capacities of decision-makers, and more effective targeting and mobilization of resources including with on-the-ground investments. This capacity building process will complement the CMPF structures and actions and enable national decision makers to better utilize the tools and mechanisms produced by the SLM-Research, Knowledge Management, and Information Systems projects. In doing so, each nation will be in a better position to deliver on the *global benefits* as stated for the CMPF<sup>24</sup>, which are:

- Share lessons learned on the actions taken to contribute to reversal of land degradation and desertification processes (per the UNCCD), vis the stemming desertification and restoration of vegetation on denuded and degraded areas with appropriate species
- Improve the conservation of biodiversity per the CBD through restoration of vegetation and areas that will further reduce further habitat loss, protect ecosystems and landscapes, and improve biodiversity.
- Reduce green house gasses through a reduction in CO<sub>2</sub> emissions through enhanced carbon sequestration and storage per the UNFCCC. The increased vegetation cover and the adoption of more sustainable agricultural and land management practices, e.g., low tillage agriculture, should help stabilize soils, reduce erosion, improve water retention, and reduce the increasing trend toward desertification. The collective impact of these will increase the capture and storage of carbon, improve soil biota, and increase tilth.

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<sup>24</sup> Cite CMPF PRODOC HERE

- Improved management of irrigated lands and lessened soil erosion should improve the quality of trans-boundary rivers and reduce waste and water loss.



**PART II: STRATEGIC RESULTS FRAMEWORK (SRF) AND GEF INCREMENT**

**Project Title: CACILM CPP: Multi-country Capacity Building Project.**

Table 7 Strategic Results Framework

	Objectively verifiable indicators				
<b>Goal</b>	<i>The restoration, maintenance, and enhancement of the productive functions of land in Central Asia leading to improved economic and social well-being of those who depend on these resources while preserving the ecological functions of these lands in the spirit of the UNCCD.</i>				
<b>Objectives/ Outcomes</b>	<b>Indicator</b>	<b>Baseline</b>	<b>Target</b>	<b>Sources of verification</b>	<b>Assumptions</b>
<b>Project Objective:</b> <i>Proposal 1: Increased capacity at the national and cross-country levels to develop and implement an integrated approach and strategies to combat land degradation within operational National Programming Framework.</i>	Overall change in national-level status of compulsory indicators for system, institution, and individual indicators as measured by a capacity building scorecard	To be measured upon development and approval of a scorecard by UNDP and by CACILM M+E specialists.  A model UNDP model scorecard is available but requires adaptation and modification for Central Asian Nations and for consistency with the CACILM M+E Framework.	Demonstrated increase in at least one level for all scorecard areas and criteria. Compulsory indicators to be compared at multi-country level and nation-specific indicators for core skill areas.  Capacity Building Scorecard agreed upon by MSEC and NSECs by Q2.  Scorecard approach incorporated into CACILM M+E System with baseline established by Q4 with monitoring through Q12.	Published scorecard.  Results published on CACILM website and by CACILM M+E specialists.  MSEC includes Capacity Building criteria as part of CACILM M+E system	Continued political commitment of the governments to collaborate in combating land degradation.  All countries are willing to continue to work jointly within the CACILM structure.  No large-scale change (withdrawals) in NCC members during the 3 year project.
	The number of long range Capacity Building Strategies approved and in-force	0 capacity building strategies in-force.	5 National Capacity Building Action Plans approved by NCCs by Q10, Adoption as part of NPF by Q12.  A Capacity Building working group formed by Q2  Capacity needs assessment process completed by Q8	Minutes of deliberation and approval by NCC in each country.  Report of Recommendations for Capacity Building and needs.  Published strategy	

<p><b>Outcome 1:</b> Enhanced policy coherence through mainstreaming of SLM principles into national policies and legislation.</p>	<p>The amount of funds dedicated to cost sharing by national governments to support an updated inter-governmental structure.</p>	<p>The Tashkent Plan of Action provides for cooperation between CACs but does not obligate financing or long-term tangible support to the sustainability of the CACILM structure by national governments.</p> <p>0 National governments provide financing to cover recurrent costs of management of an inter-governmental structure.</p>	<p>100% of recurrent costs of management of the structure shared by National governments by Q12.</p> <p>(1) An updated inter-governmental agreement to provide official status to Sustainable Land Management</p> <p>(1) A confirmed inter-governmental structure to promote sustainable land management at the multi-country and (5) national levels by Q12</p>	<p>Inter-governmental MOU or treaty.</p> <p>National-level budgets provide for NSEC expenditures.</p>	
	<p>The number of NCCs with updated organizational roles in relation to defined functions in policy, finance, and capacity building actions.</p>	<p>CACILM structure is viewed positively by stakeholders.</p> <p>0 countries have defined roles in relation to SLM functions or responsibilities for their member institutions in the areas of capacity building or integrated financing.</p>	<p>5 NCCs have re-defined roles and updated functions for NPF implementation, policy-making, financing, and capacity building by Q6.</p> <p>5 NCCs approve updated roles and functions of member organizations by Q8</p>	<p>Completed Capacity Needs Assessment.</p> <p>Minutes from NCC workshop to adopt recommendations.</p>	.
	<p>Number of ratified action plans for policy development and improvement</p>	<p>0 countries have a defined methodology for determining the pathway for policy reforms and mainstreaming of SLM.</p> <p>Different degrees of mainstreaming occur in each country. All countries require policy development in the form of effective regulations and enforcement.</p>	<p>5 action plans ratified for policy development and improvement by Q6</p> <p>Policy recommendations approved by NCC by Q8.</p>	<p>Published Action Plans</p> <p>Minutes from NCC meetings demonstrating approval/adoption of action plans.</p>	<p>The NCCs will reach a consensus on the approval on completion of policy strategy and capacity strategy.</p>
	<p>% increase in awareness of importance of SLM and Collaborative Resource Management approaches in enabling the development needs of</p>	<p>Level of awareness to be documented during inception phase of the project through a baseline Awareness Survey.</p>	<p>High level (&gt;80%) of responses to awareness survey by State level and oblast level agencies demonstrate awareness by</p>	<p>Results of awareness surveys at the national level with stratification at the inter-agency level. Surveys</p>	<p>All targeted groups in awareness survey actively and honestly respond to survey questions.</p>

	different sectors and stakeholder groups to be met.	Initial baseline assessment indicates a general low level of awareness among decision-makers who are not in close contact with SLM themes, information is aggregated and does not permit targeting messages to pertinent decision-makers  Awareness of, and the need for, collaborative SLM approaches is recognized as low. Resource users are not involved in the upper levels of policy-making.	Q12. Information materials and knowledge building activities developed that respond to the needs of decision-makers, who range from national to local –level authorities by Q8.	undertaken twice, at Q2 and Q12. Information materials.	
<b>Outcome 2:</b> Resources Effectively Mobilized to support SLM initiatives	The amount of new national funding commitment for SLM above the baseline yr. 2008.  Baseline to be defined by project	Baseline to be more accurately determined by project.  Budgets to ministries do not always support SLM. A line-item identification of the baseline in support of SLM will be taken as part of an integrated financing strategy.	Determination of baseline financial flows to SLM by Q4.  Increase in baseline financial flows by 20% by Q12	Consultant Reports on financial flows detailing National development and republican budget line items for tracking inputs to SLM and NGO investments to NCC.  Integrated Financing Action Plan demonstrating baseline and financing targets.	No unforeseen cataclysmic economic or natural events that occupy large and unplanned shares of national budgets.  Inflation rates and values of national currency remain within predictable ranges.
	The number of persons in each country qualified to develop Integrated Financing Strategies	10 persons trained in overall IFS methodology by GM, 2007.	Development of training modules for IFS by Q 4  250 persons trained in IFS methodology (50 per country) by Q8	Published training modules for distribution.  Record of nomination of participants.  Training certificates	Members of national IFS task groups remain in the task groups.
	The number of Integrated Financing Strategies approved by NCC and other governmental representatives	0 Integrated Financing Strategies	5 integrated financing strategies ratified by NCC and appropriate national authorities by Q10.	Letters of endorsement. NCC meeting minutes Published IFS.	No changes in national budgets processes that could change the framework.

<b>Outcome 3:</b> Improved interaction between state agencies and land users through human resource development	The number of Capacity Building Strategies approved by NCC	0 Capacity Building Strategies.	5 Capacity Building Strategies approved by NCC A Capacity Building working group formed by Q2 Capacity needs assessment process completed by Q6 A completed draft HRD strategy by Q8 Ratification by NCC by Q10		NCC member organizations are open to accepting recommendations for capacity building.
	The number of Communication and coordination action plans approved and under implementation	0 communication actions plans to improve vertical communication and coordination between different levels of stakeholders.	5 Communication and coordination action plans One National Forum implemented in each country by Q4 A Communications Action plan drafted by and approved by the NCC by Q5.	Documented results of national forum. Published communication and coordination action plan.	
	The number of people trained in improved communication and coordination under Collaborative SLM modular training program	No systematic training in improved Collaborative SLM practices and principles.	Total of 1,250 persons trained in 3 modular training programs (collaborative land-use planning, Designing Integrated Financing Strategies, Participatory SLM Project Design Basics) developed by Q5 10 trainers/ country trained by Q5	Published training modules for distribution. Record of nomination of participants. Training certificates	Each participant successfully completes each module in the training courses.
<b>Outcome 4:</b> Learning, dissemination and replication of best practices in collaborative SLM developed and strengthened	The number of learning networks established and functioning to support SLM	0 consolidated national-level learning networks. Existing multi-country networks exist for enhanced communication between mountain communities (AGOCA), and structures for water users and farmers federations. These are not necessarily learning networks	5 National-level learning networks to support SLM learning established by diverse stakeholder groups by Q4.	Press from inaugural meetings. Agreements between members to form networks. Learning events and products Action plan.	The CACILM pilot projects produce results that are replicable to different regions or under different conditions. Willingness of different agencies, NGOs, or others to share information and

		but provide connectivity and a base structure. Electronic networks are CAREC, SLM-KM multi-country and national-level networks to be formed provides access to people with access to computers.			results, especially failures
	The number of learning events implemented to support exchange of learning and showcase learning tools	1 “dare-to-share-fair” implemented by CAMP-ALATOO et.al in Dushanbe 2008.	5 learning events (one per country) implemented by the end of 2010.	Budget Press releases Invited groups and organizations to share experiences.	
	Number of recommendation adopted by Policy makers in each country and /or number of replication of lessons learned from pilot projects.	CACILM pilot project and national initiatives providing lessons learned and suggestions for up-scaling	5 recommendations and 3 replications Initial scoping of good practices/ results by Q4 2 <sup>nd</sup> National forum selects from projects and initiatives best practices for up-scaling and/or replication by Q10 NCC deliberations select at least one recommendation for up-scaling and assignment of responsibilities by Q 12.	Action Plan from National Forum.  Minutes from NCC meetings.	

Table 8: Indicative Workplan

<b>Indicative Work Plan</b>	Q1 2009	Q2	Q3	Q4	Q1 2010	Q2	Q3	Q4	Q1 2011	Q2	Q3	Q4
<b>1.1 A strengthened inter-governmental structure to support SLM</b>												
1.1.1. Multi-country: Delegate selection and formation of a multi-country working group to develop inter-governmental structure		■										
1.1.2. Multi-country workshop to develop a proposal for an inter-governmental structure including financing commitments and mechanism.			■									
1.1.3. Negotiations, multi-country meeting for memorandum of understanding or treaty.				■	■	■						
<b>1.2. Fortified CACILM national level structure and mechanism to support for mainstreaming</b>												
1.2.1. Nomination and formation of Capacity Building Working (task) Group to guide the Capacity Building Process.	■											
1.2.2. Organizational and Capacity needs analysis of assets and functions of CACILM NCC member organizations: system analysis, SWOT, Stakeholder Analysis.		■	■									
1.2.3. National- level NCC workshop to make recommendations and ratify roles and responsibilities for NCC member organizations for key functions.				■								
<b>1.3 Approved strategy for enabling policy, legislative, and incentive structures to mainstream SLM and operationalize innovative financing.</b>												
1.3.1. Selection and training of Policy and Finance Working Group in methodology for assessing enabling policy, legislative, and incentive structures.	■	■										
1.3.2. Assessment and recommendations of policy, regulatory and incentive frameworks.		■	■	■								
1.3.3. Publication and circulation of Issues and Options Discussion Paper.				■								
1.3.4. National NCC retreats for consultations to adopt/adapt recommendations for actions in policy, regulatory, and incentive frameworks- definition of actions by NCC members.					■							
<b>1.4 Awareness of decision-makers of SLM goals, objectives and principles increased</b>												
1.4.1. Implement Knowledge and Attitudes Survey		■									■	
1.4.2. Promotional materials to raise awareness of SLM and			■	■	■	■	■	■	■	■	■	







development of learning products learning products.													
4.1.5 Coordination with SLM-KM project for multi-country dissemination													
<b>4.2 Learning and dissemination on best practices in collaborative SLM enhanced and strengthened among all relevant stakeholders.</b>													
4.2.1 Identify and assess best practices on collaborative SLM on national and multi-country level.													
4.2.2. Organise and execute learning events.													
4.2.3. Learning products developed and utilized for dissemination													
<b>4.3 Effective system of up scaling and replication of best practices in collaborative SLM on national and regional level established and functional.</b>													
4.3.1. Initial scoping of good practices in collaborative SLM													
4.3.2. Second National Forum: Up-scaling and Replication													
4.3.3 Elaborate up scaling and replication strategy of experiences and lessons learnt on best practices in collaborative SLM.													
4.3.4 Action planning by NCC members on up-scaling and replication.													
Project Management													
1. Establishment of the Multi-country Capacity Building Unit													
2. Development of Monitoring and Evaluation Scorecard													
3. Participatory monitoring and evaluation using scorecard													
4. Final Evaluation													

### SECTION III. TOTAL BUDGET AND WORK PLAN

Table 9: Total Workplan and Budget

<b>Award ID:</b>	00057553
<b>Award Title:</b>	PIMS 3790 LD FSP CACILM Multi-country Capacity Building Project
<b>Business Unit:</b>	KGZ10
<b>Project Title:</b>	PIMS 3790 LD FSP CACILM Multi-country Capacity Building Project
<b>Project ID:</b>	00071171
<b>Implementing Partner (Executing Agency)</b>	UNDP

GEF Outcome/Atlas Activity	Responsible Party/ Implementing Agent	Fund ID	Donor Name	Atlas Budgetary Account Code	ATLAS Budget Description	Amount Year 1 (USD)	Amount Year 2 (USD)	Amount Year 3 (USD)	Total (USD)	See Budget Note:
<b>OUTCOME 1: Enhanced policy coherence through mainstreaming of SLM principles into national policies and legislation</b>	<b>UNDP</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	22000	23000	23000	68000	1
				71300	Local Consultants	25100	25100	25100	75300	2
				71400	Contractual services – Individuals	36000	0	0	36000	3
				71600	Travel	51150	33600	2500	87250	4
				72100	Contractual Services-companies	105925	2500	0	108425	5
				72300	Materials & goods	3000	3000	3000	9000	6
				74200	Audio Vis/Print prod.	9000	8500	0	17500	7
				74500	Miscellaneous	4000	14000	3000	21000	8,9
				<b>Sub-total</b>	<b>256175</b>	<b>109700</b>	<b>56600</b>	<b>422475</b>		
<b>OUTCOME 2: Resources effectively mobilized to support SLM initiatives</b>	<b>UNDP</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	61000	62000	21000	144000	10
				71300	Local Consultants	25100	25100	25100	75300	11
				71400	Contractual services – individuals	39000	39000	0	78000	12
				71600	Travel	27200	28200		55400	13
				72100	Contractual Services-Companies	40500	40500	69375	150375	14
				72300	Materials & goods	4000	4250	1000	9250	15

				74200	Audio vis & print	1250	3750	0	5000	16
				74500	Miscellaneous	4000	4000	3000	11000	17
					<b>Sub-total Outcome 2</b>	<b>202050</b>	<b>206800</b>	<b>119475</b>	<b>528325</b>	
<b>OUTCOME 3: Improved interaction between state agencies and land users through human resource development</b>	<b>UNDP</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	23000	23000	24000	70000	18
				71300	Local Consultants	25100	25100	25100	75300	19
				71400	Contact serv. Ind.	96000	39000	0	135000	20
				71600	Travel	109700	89200	76400	275300	21
				72100	Contractual services – companies	215000	222750	41075	478825	22
				72220	Equip & Furn.	45000	0	0	45000	23
				72300	Materials & goods	5000	5250	2000	12250	24
				72400	Com & AV Equip	45000	0	0	45000	25
				73200	Premises Alternations	15000	0	0	15000	26
				74200	AV & Print Prod.	3750	25000	0	28750	27
				74500	Miscellaneous-	4500	4500	3000	12000	28
					<b>Sub-total Outcome 3</b>	<b>587050</b>	<b>433800</b>	<b>171575</b>	<b>1192425</b>	
<b>OUTCOME 4: Resource Mobilization</b>	<b>UNDP</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	22000	21000	21000	64000	29
				71300	Local Consultants	25100	25100	25100	75300	30
				71400	Contractual services – individuals	0	36000	36000	72000	31
				71600	Travel	0	33200	35900	69100	32
				72100	Contractual services-companies	35000	34375	0	69375	33
				72300	Materials & Goods	0	28000	28000	56000	34
				74200	Audio Vis/Print prod.	0	12500	0	12500	35
				74500	Miscellaneous	0	8500	8500	17000	36
					<b>Sub-total Outcome 4</b>	<b>82100</b>	<b>198675</b>	<b>154500</b>	<b>435275</b>	
<b>Project management</b>	<b>UNDP</b>	<b>62000</b>	<b>GEF</b>	71200	International Consultants	14000	15000	15000	44000	37
				71300	Local Consultants	32200	32200	32200	96600	38
				71400	Contractual services-individuals	0	25000	45000	70000	39

			71600	Travel	2900	3500	3500	9900	40
			72100	Contract Serv. Companies	8000	8000	8100	24100	41
			72200	Equipment& Furn	9000	0	0	9000	42
			72300	Materials & Goods	3600	0	0	3600	43
			72400	Comm & AV Equip.	4000	0	0	4000	44
			73200	Premises Alternations	6000	0	0	6000	45
			74500	Miscellaneous	7000	7000	5300	19300	46
				<b>Total Management</b>	<b>86700</b>	<b>90700</b>	<b>109100</b>	<b>286500</b>	
<b>PROJECT TOTAL</b>					<b>1214075</b>	<b>1039675</b>	<b>611250</b>	<b>2865000</b>	

**Budget notes:**

*Notes are completed through outcome 2. Calculations are available for all outcomes and will be added after cutting the budget down to 3M USD.*

- (1) *Multi-country Capacity Building Specialist: 34 weeks to provide support to national teams in the execution of outcome 1. Coordination of strengthened inter-institutional governmental support structure( output 1.1) Develop methodologies and protocols for system analysis, SWOT, and Full Stakeholder Analysis (output 1.2), Coordinate the multi-country training program for output 1.3 and draft Awareness Surveys and methodology for output 1.4..*
- (2) *Local consultant inputs include 390 pers-weeks:*
  - (a) *5-National capacity building coordinators – one per country – 39 pers-weeks x 5 national coordinators = 195pers-weeks- to support the development of national-level aspects of output 1.1. To implement the recruiting process for a national firm for output 1.2 an oversight of the system analysis, SWOT, and Full Stakeholder Analysis. Coordinate actions of other individual contractors in support of output 1.3 including the production of an updated description of organizational functions for approval by the NCC. Under Output 1.4, participate in the development and implementation of awareness surveys;*
  - (b) *Administrative finance assistant- one per country- total 39 pers-weeks x 5nations = 195 pers- weeks to support all logistical aspects of output 1.1, coordination of service contractors for output 1.2; logistics for training events under output 1.3, and logistical support to National capacity building coordinators in the implementation of awareness surveys;*
- (3) *Contractual Services-Individuals include:*
  - (a) *Policy Analyst: 12 Pers-week x 5 analysts= 60 pers-weeks to support the analysis of the enabling environment (output 1.3)*
  - (b) *Resource Economist: 12 Pers-weeks x 5 analysts = 60 pers-weeks to support the analysis of the enabling environment (output 1.3)*
- (4) *Travel: This is multi-national and highly participative project. Travel includes regional airfares between countries is necessary to implement a multi-country workshop on assessing the enabling environment. Also, regional airfares are needed to connect the regional capacity building specialist with the CBUs. Delegates to discuss the inter-governmental structure will require airfares to attend 2 meetings, and the delegates to the project steering committee will meet twice in the first year of the project to work out the issues related to Outcome 1. Travel includes driving costs between several countries, e.g. Kazakhstan and the Kyrgyz Republic and accommodates in country airfares, especially for Kazakhstan, whose NSEC and NCC are located in separate regions of the*

- nation. Travel includes costs of the implementation of the awareness surveys. Teleconferences will be utilized whenever possible to reduce the high costs of travel within this extensive region.
- (5) Service Contracts to Companies or organizations involve the development of the institutional needs analysis (output 1.2) that involves the Systems Analysis, SWOT, and the complete stakeholder analysis, plus drafting of the recommendations. 1 contract per country. In addition, 2- intergovernmental meeting (output 1.1); contracts for the implementation and logistics of int'l IFS workshops and National IFS meetings and national NCC.
  - (6) Materials and goods: basic office supplies and paper goods to support training programs estimated at 12months x \$100/month per country for outcome 1
  - (7) Audio-Visual and Print Production Costs: Outcome 1: publication of Issues and Options Paper, Promotional materials, and IFS training materials for initial Multi-country workshop and 5 national-level workshops.
  - (8, 9) Miscellaneous expenses are calculated to cover meeting costs as follows: (7) Misc expenses 9,000; (8) meeting costs: Steering committee meetings for outcome 1 ( \$2,000); NCC Retreats to develop policy strategy per outcome 1 (5meetings) \$10,000.
  - (10) International consultants total 72 pers- weeks:
    - (a) Regional Capacity Building Specialist -32 pers-weeks – to direct the regional aspects of the Integrated Financing Strategies. Coordination of the multi-country workshops and steering committee meetings to define and develop the process and oversight of the international consultants and liaise with the GM in the development of the DIFS process.
    - (b) International Financing Consultants: 20 pers-weeks @ 2,000/wk. Expert advice, information, and training in financing mechanisms and instruments (output 2.2, Integrated Financing Action Plan).
    - (c) SLM Project Design Support: 20 pers-weeks @2,000/wk. SLM project design support in developing the SLM investment program (output 2.3 SLM investment plan).
  - (11) Local consultant inputs include 390 pers-weeks:
    - (a) 5-National capacity building coordinators – one per country – 39 pers-weeks x 5 national coordinators = 195pers-weeks- to manage the DIFS process with the Policy and Financing Group. Coordinate the preparation of the working group in cooperation with the multi-country capacity building specialist. Oversight of resource economist and responsible for the completion of the integrated financing action plan, the SLM investment plan, and in developing the summary Integrated financing strategy.
    - (b) Administrative finance assistant- one per country- total 39 pers-weeks x 5 national coordinator to support all logistical aspects of output 2.1, coordination of logistics for the Capacity building specialist and the resource economists. Support logistics and coordination of all sector workshops under outcome 2.
  - (12) Contractual Services-Individuals: 260 pers-weeks for Resource Economists- 52 pers weeks x 5 nations to implement to provide analysis and recommendations under output 2.2 –the Integrated Financial Action Plan- and the SLM investment strategy (outcome 2.3). Participate in the summary IFS.
  - (13) Travel: Travel support for International experts, 4 trips for project director to provide technical support to DIFS process, 2 steering committee meetings for outcome 2 guidance, In-country travel for National Capacity Building expert and resource economist.
  - (14) Contractual Services-Companies: Service contracts to facilitate the IFS International Workshop; 5 National Workshops; 15 sector project ID workshops; and National Meeting facilitation to develop Integrated Financing Action Plans.
  - (15) Materials and Goods: Office supplies and Training materials for national workshops to target regions for the IFS program and for sector related workshops under output 2.3.
  - (16) Audio visual and print production costs: Printing of workshop materials and modules

- (17) *Miscellaneous: Misc. Expenses for Outcome 2 include general misc. expenses evaluated at 150.00/mo/country = \$9,000 and steering committee meeting costs related to Outcome 2 at @2,000.*
- (18) *Multi-country Capacity Building Specialist: 35 pers weeks@2,000/wk to provide support to national teams in the execution of outcome 3. Coordination of Multi-country trainer of trainer events, and recruitment of service contractors for collaborative land use training and for support to IFS.*
- (19) *Local consultant inputs include 390 pers-weeks:*
- (a) *5-National capacity building coordinators – one per country – 39 pers-weeks x 5 national coordinators = 195pers-weeks- to support the development of national-level aspects of output 1.1. To implement the recruiting process for a national firm for output 1.2 an oversight of the system analysis, SWOT, and Full Stakeholder Analysis. Coordinate actions of other individual contractors in support of output 1.3 including the production of an updated description of organizational functions for approval by the NCC. Under Output 1.4, participate in the development and implementation of awareness surveys;*
- (b) *Administrative finance assistant- one per country- total 39 pers-weeks x 5nations = 195 pers weeks to support all logistical aspects of output 1.1, coordination of service contractors for output 1.2; logistics for training events under output 1.3, and logistical support to National capacity building coordinators in the implementation of awareness surveys;*
- (20) *Service Contracts- Individuals: Scorecard development \$33,000; Capacity Building Specialist: 52pers-weeks @ 300/wk.; Communications Plan Developer: 16 pers-wks @300.00/wk;*
- (21) *Travel: Travel support for International experts, 4 trips for project director to provide technical support to development of modular training programs; 2 steering committee meetings for outcome 3 guidance, support to travel costs for trainees participating in training products at the national-level*
- (22) *Contractual Services-Companies: (a) A service contractor to provide Multi-country and in-country Training of Trainer Workshops on Training design, methodology, and delivering effective training includes contractor costs, 1 int'l workshop, and 5 national workshops of 3 modules (b) Collaborative land use-TOT workshop with 5 national workshops (c) IFS workshops for extending IFS concepts to a wider audience. TOT workshops plus 5 national-level workshops; (d) Project Design and business planning workshops- multi-country and in-country training.*
- (23) *Equipment and Furniture: CBU office equipment in each of 5 countries.*
- (24) *Materials and goods: Office supplies \$6,000; Training materials \$6,250*
- (25) *Comm. And AV Equipment: 5 offices x 3,000 per office x 5 countries for acquisition of basic presentation and visualization equipment.*
- (26) *Premises Alterations: Light repairs and improvements to establish office space to set up CBUs in each CAC \$3,000 x 5 countries.*
- (27) *Audiovisual and Print costs: Printing of workshop modules, Dissemination of Fora information, and Concept paper dissemination*
- (28) *Miscellaneous expenses related to outcome 3 \$10,000 plus costs to support steering committee meetings related to outcome 3 @ \$2,000.*
- (29) *Multi-country Capacity Building Specialist: 32 pers weeks@2,000/wk to provide support to national teams in the execution of outcome 3. Coordination of Multi-country trainer of trainer events, and recruitment of service contractors for collaborative land use training and for support to IFS.*
- (30) *Local consultant inputs include 390 pers-weeks:*
- (a) *5-National capacity building coordinators – one per country – 39 pers-weeks x 5 national coordinators = 195pers-weeks- to support the development of national-level aspects of output 1.1. To implement the recruiting process for a national firm for output 1.2 an oversight of the system analysis, SWOT, and Full Stakeholder Analysis. Coordinate actions of other individual contractors in support of output 1.3 including the production of an updated description of organizational functions for approval by the NCC. Under Output 1.4, participate in the development and implementation of awareness surveys;*

- (b) *Administrative finance assistant- one per country- total 39 pers-weeks x 5nations = 195 pers weeks to support all logistical aspects of output 1.1, coordination of service contractors for output 1.2; logistics for training events under output 1.3, and logistical support to National capacity building coordinators in the implementation of awareness surveys;*
- (31) *Service Contracts- Individuals: (a) 5-learning network support specialists 24 pers-wks @300.00; (b) 5-specialists to analyze replication and up-scaling 24 pers-weeks @300.00*
- (32) *Travel: 2 trips to CACs for project director to promote learning networks and recruit contractors and review plans once completed and establish following steps. 2 steering committee meetings related to Outcome 4; Travel expenses for rural participants to offset travel costs to attend learning network events and 2<sup>nd</sup> national forum.*
- (33) *Contractual Services-Companies: (a) A service contractor to provide learning events organization and logistical support;*
- (34) *Materials and goods: Supplies for establishment of learning networks and materials for development of learning tools*
- (35) *Audiovisual and Print costs: Dissemination of information from learning events.*
- (36) *Miscellaneous: General miscellaneous expenses \$15,000 and 2 steering committee meetings related to outcome 4;*
- (37) *International consultants total: Regional Capacity Building Specialist -22 pers-weeks – to direct the project and dedicated to project management responsibilities.*
- (38) *Local consultant inputs include 390 pers-weeks:*
- (a) *1 Project Administrator–156 pers-weeks @300/wk. to manage schedules, logistics, and assist with reporting and management.*
- (b) *1 secretary - 156 pers-weeks @ 150.00/wk..*
- (38) *Contractual Services-Individuals:*
- (a) *Scorecard development 1 service contract*
- (b) *Mid-term evaluation: 1 service contract*
- (c) *Final evaluation: 1 Service contract*
- (39) *Travel: Travel support for 3 trips (regional capacity building specialist) to CACs, 3 project steering committee meetings on overall performance of project and preparation of reports and feedback.*
- (40) *Contractual Services Companies: Utilities, phone, data.*
- (41) *Equipment and Furniture: MCBU office equipment*
- (42) *Materials and goods: Office supplies \$3,600;*
- (43) *Comm. And AV Equipment: \$4,000 for acquisition of basic presentation and visualization equipment.*
- (44) *Premises Alterations: Light repairs and improvements to establish office space to set up MCBU.*
- (46) *Miscellaneous- (a) \$15,000 over 3 years; (b) 3 steering committee meetings @ 1,000 ea.*

### Cost-effectiveness

257. In order to respond to the barriers, an effective national response is necessary. However, the CACs have proposed similar needs and activities. The project strategy presented that will take advantage of the commonalities expressed by the CACs to develop a multi-country support strategy that will share the cost of development of framework activities, approaches, and tools that will support capacity building as an integral part of the National Programming Framework and by providing the NCC and stakeholders with the tools needed to develop a targeted and collaborative approach to SLM. In doing so, the project strategy fully takes advantage of the opportunity to share the development costs of the needed frameworks, which, when completed, will be put into practice at the national-level. For example, many of the training modules in the project can be developed at the multi-country level for adaptation and execution at the national level. The project design includes task groups and training of trainers activities to create effective multipliers at the national level that may continue to implement the training programs to a wider audiences once the project is finished. This will provide a cost effective approach to developing project actions.

258. In the development of the project strategy, the decision to focus on framework-type activities and to focus on system-level and institutional-level development was an economic decision. It would not be cost-effective for one capacity building project to respond to the extensive individual capacity needs. These are better responded to by the targeted pilot projects within CACILM and others financed by the government. A framework approach will lead to more national attention and investment in capacity building and will provide a connectivity between the multiple projects with capacity building components. The project seeks to attain that end by institutionalizing capacity building and human resources development within the National Programming Frameworks and by laying out the long-term capacity development strategy and individual programs for each country.

259. In addition, Outcomes 1 and 2 specifically work towards a targeted approach to planning and financing SLM and will provide the CACs with tools to identify waste and duplication in their financial flows in combating land degradation. The CACs and SPA will also have a reliable set of financial indicators to gauge these efficiencies in the future. In addition to these factors, cost-effectiveness additional cost effectiveness will be achieved through project administration at the multi-country level by utilizing to the maximum existing structures.

260. To enhance cost effectiveness, the investment in the development of training modules will take place at the multi-country level. A trainer-of- trainers process will place multipliers at the national level who can respond to the particular needs of trainees from 5 different countries. This will mitigate many of the challenges and costs associated with delivering training at the multi-country level.



**SECTION IV: ADDITIONAL INFORMATION**

**PART I: Other agreements**

Endorsement letters are attached as a separate file.

## **PART II: Terms of References for key project staff**

### **Multi-country Capacity Building Specialist (1)**

The Multi-country Capacity Building Specialist (MCBS) is the multi-country project manager and is also a capacity building expert who will be responsible for providing critical technical input and guidance to multi-country and national project implementation, in addition to overall management and supervision of the GEF project. S/He will manage and provide overall supervision for all GEF staff in the Project Management Unit (PMU). S/He will be responsible to the Regional Coordinator UNDP-GEF in Bratislava and will coordinate closely with the Principal Project Resident Representative and liaise with the UNDP country officers in the Central Asian Countries, Senior Representatives of partner agencies, as well as the Multi-country and national secretariats (NSEC), and National Coordination Council (NCC) heads, including National Focal Points (NFPs) and other project partners in order to develop and oversee the execution of the annual work plans for the project..

The MCBS will have the following specific duties:

#### Management

- Supervise and coordinate the project to ensure conformity of results with the Project Document and all UNDP rules and procedures established in the UNDP Programming Manual;
- Responsible for a harmonious and coordinated project execution including budget preparation and management, planning and general monitoring of the project, the PMU, its Multi-country and national-level staff located in the five CACs. Countries.
- Ensure adequate information flow, discussions and feedback among the various stakeholders of the project according to the management arrangements established in the Project Document and to the project and CACILM Steering Committees;
- Prepare and coordinate annual work plans at the Multi-country and national levels and execution of project activities in full consultation with the UNDP Regional Coordinator and the Project Steering Committee. Ensure adherence to the project work plan, which will guide the day-to-day implementation of the project document, prepare revisions if required, and coordinate with other projects and integration with donor funded parallel initiatives.
- Assume overall responsibility for the proper handling of logistics related to project workshops and events;
- Prepare GEF quarterly project progress reports, as well as any other reports requested by the Executing Agency and UNDP;
- Oversee and guide the recruitment and work of consultants and subcontractors;
- Monitor the project expenditures, commitments and balance of funds under the project budget lines, and draft project budget revisions in accordance and cooperation with UNDP's ATLAS system including the reporting on project funds and related record keeping;
- Liaise with project partners to ensure their co-financing contributions are provided within the agreed terms;
- In cooperation with the UNDP country offices, participate in the recruitment of and coordinate, facilitate and supervise the work of the National capacity building coordinators, consultants, including preparation of TORS, contracts and stakeholder inputs.
- Arrange for the timely recruitment and procurement of quality services and equipment and for implementation of project activities of in accord with applicable rules, regulation and standards

- Represent the project at the Steering Committee meetings, technical meetings and other appropriate fora in coordination with UNDP.

Technical Input:

- The Project Management Unit requires a leader who is also technically qualified in capacity building programs and/or in the development of training and human improvement programs. S/he will provide critical capacity building and training-related technical input and mentoring to National capacity building coordinators that will support project implementation based upon professional background and experience. This technical input to be agreed and detailed with UNDP at project inception.
- Provide overall technical guidance and consistency of vision for project's collaborative management approach and recruit partners and contractors for the development of training modules to support that approach at the national-level
- Design and execute a training-of-trainers workshop in curriculum development and action learning techniques to all national project staff. Mentor the development of modular training programs at the national-level in cooperation with trainers from partner organizations, such as the Global Mechanism;
- Oversee and participate in the coordination of all multi-country training and capacity building workshops in coordination with partner organizations, including the development of modular training packages.
- Foster and establish technical best-practice links with other related Caspian initiatives and, where appropriate, with other regional International Waters programmes.
- Interact on a technical, substantive level with the Multi-country Secretariat and with the Project Managers of the CACILM Multi-country Projects: SLM Knowledge Management, SLM Research, and SLM Information Management to advance the common objectives of CACILM and the CACILM Multi-country Partnership Framework.
- Supervise and assist in the development of the Integrated Financing Strategies and in the connectivity of national learning networks to the SLM Knowledge Management Project.
- Liaise with SLM-KM to incorporate project information into the CACILM web-site seeking and incorporating data and information from all project partners;
- Serve as the National Capacity Building Expert for the Kyrgyz Republic per TOR for that post.

Skills and Experience Required

Post-graduate degree in Environmental Education, Human Resource Development, or a related field with commensurate experience in the development of capacity building programs, Knowledge networks, or extension and training including ten years of experience at a senior project management level. Must be able to demonstrate ability to make significant technical and managerial contributions to project Outcomes 1 and 2. Demonstrated diplomatic and negotiating skills; familiarity with the goals and procedures of international organizations, in particular those of the GEF partners; excellent knowledge of English and Russian. Familiarity with the Central Asian Countries and a national language is an asset.

Duty Station: Bishkek, Kyrgyz Republic

Duration: Three years on a fixed-term contract

Suggested Grade: P4 (TBD)

## **Chief Technical Advisor and Capacity Building Expert (CTA, international long-term staff)**

**General Responsibilities:** 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 focused on overall results in addition to the day-to-day implementation concerns of supporting project implementation on national level; and (iii) to emphasize a learning and adaptive approach to project management and implementation. The Chief Technical Advisor will work closely with the Multi-country Project Manager and will deputize him/her when necessary. He/she will be recruited by GTZ and will be put at the disposal of the PMU. All personal emoluments of the CTA will be at GTZ charges. He/she will report to GTZ.

### **Scope of Work:**

1. Provide support to the Multi-country Project Manager (MPM) 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;
2. Support and facilitate reflective practice on the part of project staff and implementation partners by taking part in and contributing to workshops/round table discussions that cultivate lessons learnt and adaptive management;
3. Identify, analyze and communicate lessons learnt that may be useful in design and implementation of similar projects. The duty of identifying and analyzing lessons learnt is an ongoing one, and the duty to communicate those lessons is on an as-needed basis;
4. Assist MPM in completing annual Project Implementation Review (PIR) and other monitoring and evaluation requirements (as necessary).
5. Establishing a continuous firm link between the national level stakeholders and the project;
6. Develop stakeholder engagement plan for the multi-country level and undertake consultations;
7. Generating and compiling necessary data and information, making necessary updates to the project design;
8. Define and propose for approval TOR and profile of a company or an NGO to which the PMU will subcontract specific tasks in terms of modular training as well as learning and knowledge sharing.
9. Define and propose to the PMU TOR and profiles of short term expertise necessary for the project (curriculum development, modular trainings, human resource development strategy, facilitation of round tables on improved communication and interaction, preparation and facilitation of interactive learning events, etc).

### **Professional Skills and Experience**

1. Human resource development specialist with hands-on experiences in developing and strengthening human capacities in a multi stakeholder context.
2. Familiarity with sustainable land management;
3. Good knowledge of and a good record of practical experiences with participatory training approaches and methods;
4. Good knowledge of and a good record of practical experiences with modular training approaches.
5. Good knowledge of and a good record of practical experiences with concepts and practices of networking for learning, dissemination and replication.
6. Familiarity with the socio-economic and political context of Central Asia;
7. Strong interpersonal and communication skills;
8. Work experience with projects funded by international donors;
9. Excellent knowledge of Russian and English.

### **National capacity building coordinators (4)**

The National capacity building coordinator (NCBS) is the national project manager and is also a capacity building expert who will be responsible for providing technical inputs to national project implementation. S/He will manage and provide overall supervision for all GEF staff in the Project Management Unit (PMU). S/He will be responsible to the designated UNDP Country Officer in each CAC and will coordinate with the Regional Coordinator UNDP-GEF in Bratislava if needed. On a technical level, the S/he will coordinate with the Multi-country Capacity Building Specialist (Multi-country project Manager) and with the Multi-country Technical Advisor. S/he will work in direct contact with the CACILM national secretariats (NSEC), and National Coordination Council (NCC) heads as required by NSEC, including National Focal Points (NFPs) and representatives of other financing and project partners in order to develop and oversee the execution of the annual work plans for the project..

The National capacity building coordinator will have the following specific duties:

#### Management

- Supervise and coordinate the project at the national level to ensure conformity of results with the Project Document and all UNDP rules and procedures established in the UNDP Programming Manual;
- Responsible for a harmonious and coordinated project execution including budget preparation in the form of annual work plans and management, planning and general monitoring of the project, and the CBU, its national-level staff located in the five CACs. Countries.
- Ensure adequate information flow, discussions and feedback among the various stakeholders in coordination with NSEC per the management arrangements established in the Project Document and to the project working groups and to the National Coordination Council;
- Prepare and coordinate annual work plans at the country- level and the execution of project activities in full consultation with the UNDP Country Officers and the Multi-country project management specialist. Ensure adherence to the project annual work plans, which will guide the day-to-day implementation of the project document, prepare revisions if required, and coordinate with other projects and integration with donor funded parallel initiatives.
- Assume overall responsibility for the proper handling of logistics related to project workshops and events;
- Prepare GEF quarterly project progress reports, as well as any other reports requested by the Executing Agency and UNDP;
- Oversee and guide the recruitment and work of consultants and subcontractors in coordination with UNDP and NSEC and assist in the preparation of TORs and contracts as required;
- Monitor the project expenditures, commitments and balance of funds under the annual work plans and budgets, work in close cooperation with UNDP country officers to report delays and to rectify problems;
- Work with NSEC and NCC to create specialized task groups as described in the project document.
- Liaise with project partners to ensure their co-financing contributions are provided within the agreed terms;
- Arrange for the timely recruitment and procurement of quality services and equipment and for

implementation of project activities of in accord with applicable rules, regulation and standards

- If required, represent the project at the National Coordinating Council technical meetings and other appropriate fora in coordination by NSEC, NCC, or UNDP, with UNDP.

#### Technical Input:

- The Capacity Building Unit requires a leader who is also technically qualified in capacity building programs and/or in the development of training and human improvement programs. S/he will provide critical capacity building and training-related technical input and mentoring to National capacity building coordinators and will work directly in the design and implementation of training programs and trainer-of-trainer programs. This technical input to be agreed and detailed with UNDP Country Officers at the inception of the project and at annual work planning sessions.
- Provide overall technical guidance and consistency of vision for project's collaborative management approach and recruit partners and contractors for the development of training modules to support that approach at the national-level
- Design and execute workshops in Integrated Financing Strategies in coordination with the Global Mechanism, and Modular training programs in project development, proposal preparation, curriculum development and action learning techniques. Coordinate the development of training modules with international trainers and contractors;
- Foster and establish technical best-practice links with other related initiatives and, where appropriate, with other regional networks, particularly the SLM Knowledge Management Network to incorporate project information into the CACILM web-site seeking and incorporating data and information from all project partners. Interact on a technical, substantive level with the Multi-country Secretariat, NSEC Monitoring and Evaluation Specialists and with the Project Managers of the additional CACILM Multi-country Projects: SLM Research, and SLM Information Management to advance the common objectives of CACILM and the CACILM Multi-country Partnership Framework.
- Supervise and assist in the development of the Integrated Financing Strategies and in the connectivity of national learning networks to the SLM Knowledge Management Project and of the project awareness surveys and capacity scorecard into the CACILM Monitoring and Evaluation System.

#### Skills and Experience Required

Post-graduate degree or at least 5 years experience in Environmental Education, Human Resource Development, or a related field with commensurate experience in the development of capacity building programs, Knowledge networks, or extension and training including at least 5 years of experience at a the project management level. Must be able to demonstrate ability to make significant technical and managerial contributions to project Outcomes 1 and 2. Demonstrated diplomatic and negotiating skills; familiarity with the goals and procedures of international organizations, in particular those of the GEF partners; excellent knowledge of English and Russian. Familiarity with the Central Asian Countries and a national language is an asset.

Duty Station: Tashkent, Uzbekistan; Dushanbe, Tajikistan; Ashgabat, Turkmenistan; and Almaty, Kazakhstan.

Duration: Three years on a fixed-term contract

Suggested Grade: (National Expert per qualifications)

### **3. Administrative Finance Assistant**

#### ***General Responsibilities:***

As part of the Artibonite Project Coordination Unit (PCU), the Administrative finance assistant (AA) will perform a variety of secretarial, coordinating, monitoring and administrative services to ensure the efficient daily running of the PCU and in support of project/programme activities. The AA will work within the PCU, ensuring the smooth functioning and continuity of the projects/programmes and will receive directions from the Regional Project Specialist (RPS) on technical matters.

#### ***Specific Duties:***

- Draft correspondence and documents of an administrative nature in consultation with the RPS;
- Coordinate the procurement activities for the PCU and support the financial control and monitoring activities of the PCU;
- Establish and maintain the filing system of technical documents and general internal and external correspondence;
- Make administrative arrangements with regard to recruitment of additional consultants or experts for the Project; and
- Assist in the organization of meetings held by PCU (Steering Committee, working groups, etc) and provide administrative and secretarial support during the meetings.

#### ***Qualifications and experience:***

- Equivalent to graduation from secondary school or equivalent technical or commercial school;
- Specialized training in secretarial/administrative training, or equivalent work-related experience including typing and proven skills on standard office software;
- Fluent in Spanish/French and a good knowledge of English, particularly written;
- At least 5 years relevant experience;
- Demonstrated managerial and communication skills;
- Sound computer skills and experience with computerized systems and databases; and,
- Previous experience within the UN system or with GEF projects will be an asset.

### PART III: Stakeholder Involvement Plan

Table 10 Stakeholder Participation Matrix

Stakeholder	Description	Role in project implementation
<b>Multi-country level/National</b>		
Existing CACILM structure	Comprised of a multi-stakeholder National Coordination Council (NCC) and a National Secretariat (NSEC) and Multi-country Secretariat (MSEC) On the multi-country level the CACILM structure translates into the CACILM steering committee and the Multi country Secretariat being located in Bishkek.	CACILM Steering Committee is the overall governing body at the International level. NCC is steering committee at the national level. NSEC is a coordinator with the rest of the CACILM structure and the capacity building focal point at the national level. MSEC integrates in the monitoring and evaluation activities.  NCC is beneficiary of system-level organizational development activities.
<b>National level</b>		
Ministries of Finance	With an emphasis put on financing of SLM the Ministries of Finance in the CAC will act as major stakeholders. Mainstreaming SLM into national budget will have to be piloted by this ministry.	Participation in IFS working group that is responsible for elaborating the integrated financing action plan.  The IFS team will lead the mainstreaming process and promote the Integrated Financing Strategy. Will also participate in project design process involving individual agencies within the NCC to develop the project concepts, rough design, and approximate costing.
Line-ministries for technical sectors relevant to SLM (Agriculture, Forestry, Water Resources Environment, etc.)	Typically, the lead state institutions on SLM are the Ministries of Agriculture and/or Forestry, State land registers, Environment and Water Resources, with their land, water and forest management departments or services, which manage state programs, projects and other activities supporting SLM.	Participation in a capacity building working group Contributions to capacity needs assessment Participation in policy and finance core team Contribution to national level short term HRD strategy Contribution to national level long term HRD strategy
State agencies and/or	In the CAC state agencies and/or committees implement government policies regarding SLM. Generally,	Beneficiaries of HRD activities Beneficiaries of awareness raising and skill development activities



committees and their territorial organisations	the state agency/committee for land resources plays a major role. With variations among the CAC forestry, range management, water management is attributed to specialized agencies/committees.	Participation in high level policy dialogue events Participation in national stakeholders fora Participation in learning events
Civic organizations	An increasing number of civic organizations are involved in SLM (with and without international NGO support). These NGOs perform a range of important functions, from information dissemination and awareness raising, to training and capacity building and project formulation and implementation activities. There are considerable variations among the CAC according to the role of civic organizations SLM. While civic organizations play a major role in Kazakhstan, Kyrgyzstan and Tajikistan, their role in Turkmenistan and Uzbekistan is only emerging.	Beneficiaries of HRD activities Participation in national stakeholders fora Participation in learning events Participate in developing strategy for replication and up-scaling of CACILM projects.
Decision makers in relevant ministries and state agencies,	Decision makers in relevant ministries and state agencies play a major role in shaping policies regarding SLM. Mainstreaming of SLM into existing policies and sectoral programs will require their active commitment. Decision makers comprise ministers, deputy ministers, state secretaries as well as directors/heads of state agencies/committees.	Beneficiaries of awareness raising and skill development activities Participation in high level policy dialogue events Participation in national stakeholders fora Participation in learning events
Professionals in relevant state agencies/committees.	Professionals in relevant state agencies/committees need to practice improved communication and interaction with relevant stakeholders on lower levels. They are therefore the primary target group for modular trainings.	Participation in national stakeholders fora Beneficiaries of modular trainings Participation in Learning networks Participation in learning events
Professionals in relevant civic organisations	Professionals in relevant civic organisations play an important role in contributing to collaborative SLM.	Participation in national stakeholders fora Beneficiaries of modular trainings Participation in Learning networks Participation in learning events

Specialists in the scientific and academic community (research institutes, universities and other academic institutions)	Organizations of the scientific community play an important role in SLM through the conduct of adapted research programs. These organizations also provide training and extension services on a limited scale. They also support state institutions through technical expertise and through performing the applied research necessary in order to keep them abreast of emerging practices and technologies.	Participation in national stakeholders fora Participation in Learning networks Participation in learning events Participants in the capacity needs assessment and determining the capacity action plan for their sector and areas for future growth, programs, and types of HR needed for the future.
Members of local self governing bodies and councils	Local self governing bodies play an increasing role in the CAC. However, there are considerable variations among the different countries. Local self governing bodies play a key role in collaborative SLM not only as one among different stakeholders but as the one being in the driving seat.	Participation in national stakeholders fora Participation in learning events
Land users and their professional associations	Land users and their professional association are the ultimate beneficiaries of collaborative SLM. Their active role in collaborative SLM is a key success factor for making it work.	Beneficiaries of CACILM pilot project. They will therefore not benefit directly from the MCBP. Participation in national stakeholder's fora through representatives. Participation in learning events
HRD professionals	There is a limited number of HRD professionals in the CAC with considerable variations among the five countries. HRD professionals work in training institutions, consulting firms or as freelancers.	Contribution to national level short term Capacity Building strategy Contribution to national level long term Capacity Building Strategy Participation in national stakeholders fora. Participation in Learning networks. Participation in learning events.
CACILM projects	As part of the implementation of CACILM CMPF project have been established in all five CAC. They play a key role in developing concepts and practices for collaborative SLM. These projects have land users and their professional association as their direct beneficiaries.	Participation in national stakeholders fora Participation in Learning networks Participation in learning events
International	UND acts as implementing partner	Major functions in project

partners	with GTZ being the main cooperation partner. GM plays a major role regarding financing strategies for SLM. Other partners include ADB, FAO and IFAD.	implementation (UNDP, GTZ) Support of selected activities (GM, ADB, FAO, IFAD) Participation in national stakeholders fora Participation in learning events
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### **Stakeholder, consultation, and similar activities during PPG**

Broad stakeholder involvement in the design of the project was assured through a participative process. Representatives from NCC participated through NSEC at the inception workshop in May, 2008. An international SRF-workshop was held in July, 2008 with participation of NCC representatives and NSEC Monitoring and Evaluation Specialists from the five CACs. The SRF workshop triggered deliberations between NSEC and NCC about objectives, outcomes and outputs of the project. The teams of national experts consulted different stakeholders as part of the national consultation process. In all CACs (Kazakhstan, Kyrgyz Republic, Tajikistan, Turkmenistan, and Uzbekistan) project formulation support missions were conducted to support national teams in developing the baseline information for the project. Three additional missions to Tajikistan, Turkmenistan, and Uzbekistan were held to define activities in support of outputs and to provide estimates of the costs. As part of these mission national level planning workshops were conducted in which the participation of different stakeholders, being members of the respective NCC, was assured. Comments on the Project Document were solicited from all five participating nations in February, 2009. The current project design responds to these suggestions.

### **Activities planned during implementation and evaluation**

As presented in above in the Stakeholder participation table, ample mechanisms have been developed to assure stakeholder participation throughout the project implementation phase and beyond. The CACILM structure is a multi-stakeholder structure. The project will work to fortify the capacities of the members of the NCC and additionally, work to better connect the NCC decision-makers to the experiences of the CACILM projects in the field. Outcome 3 is designed to close the vertical gap between decision-makers at the national level and local authorities and practitioners involved in the CACILM projects. The project will also facilitate efforts to make the NCC more representative and to enhance the diverse talents of the institutions that comprise the council. This will enhance the inclusion of the NCC to stakeholders being under-represented within the forum. A communications strategy and a capacity building working group will be developed with the aim of facilitating communication between state agencies, civic organisations, research institutions and local level stakeholders. The membership of the stakeholder group will comprise members of the NCC as well as representatives from key organisation representing the above mentioned stakeholders. National level stakeholders will be offered the opportunity to participate in the core team to design the Integrated Financing Strategy promoted in Outcome 2. In addition, the NCC has been given a large role in the approval of all project actions placing diverse stakeholders within the decision-making chain of the project.

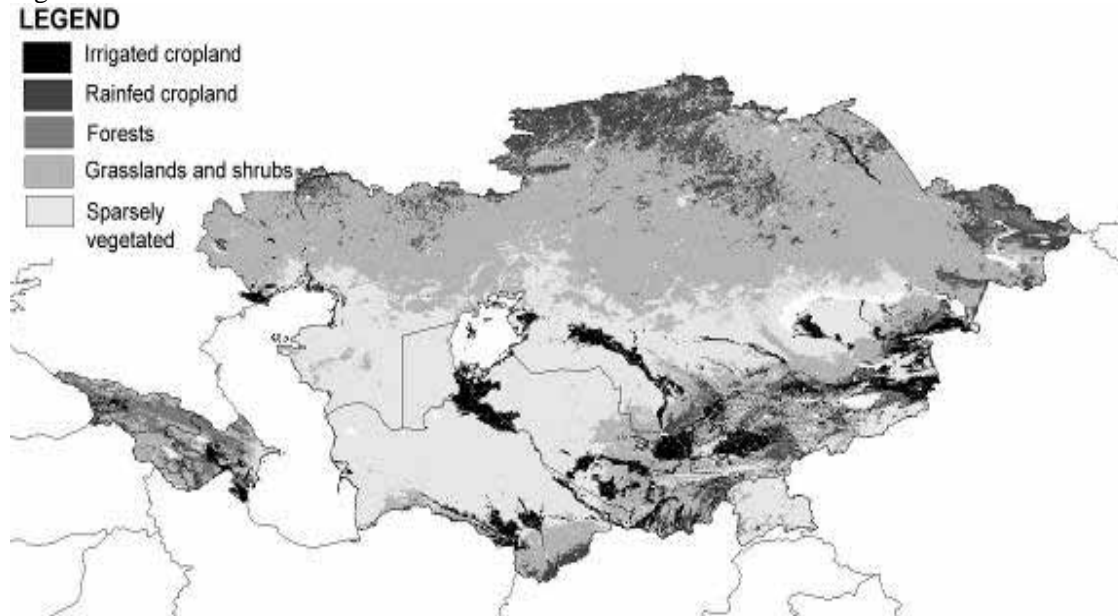
The project will organise national-level stakeholder forums. One to be conducted in the early stages of project implementation will focus on improved communication and interaction between national and local level stakeholders in collaborative SLM. In the final stage of the project a national level stakeholder forum will be organised in order to draw lessons learnt from best practices in collaborative SLM. These forums will provide opportunities to enhance stakeholder participation also through follow up activities to be defined during the course of these events.

The project will enhance national learning networks as other mechanisms for active stakeholder involvement. The national learning networks will bring together the principal SLM practitioners,

beneficiaries, and target groups. These networks will focus on personal and face to face interaction in a way that reaches the majority of the stakeholders, many of whom do not have access to computers or electronic networks and tie these stakeholders into the SLM-KM network. The networks will provide forums and mechanisms for learning and dissemination to take place. Interactive learning events like a dare-to-share fair will be at centre stage. These interactive learning events will take place on the national as well as on the regional level with the goal of bringing together actors from different regional and operational spheres to exchange knowledge, experiences, and best practices in a particular field of development, e.g. SLM.

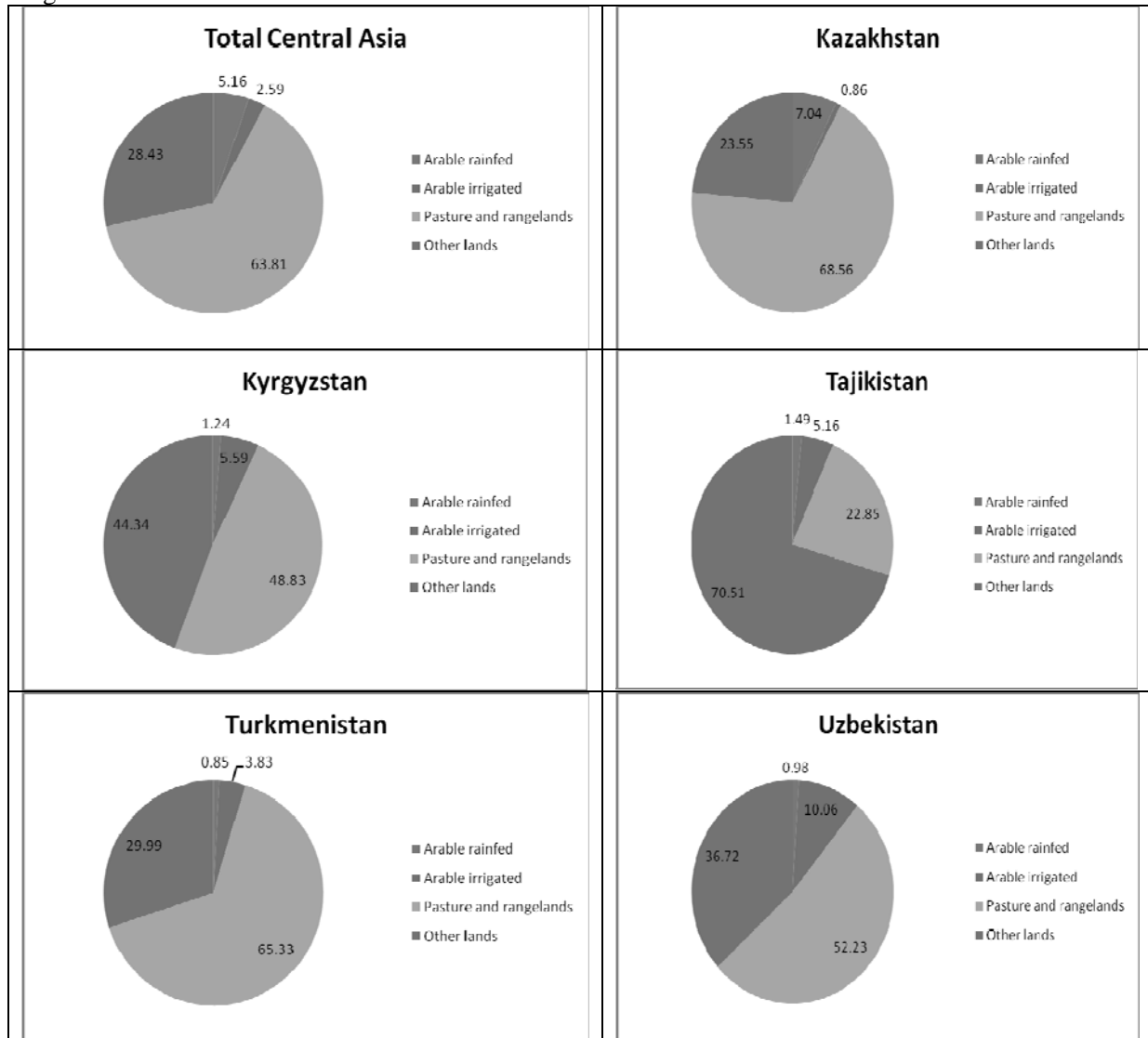
**Part IV: Land Use and Land Degradation Supplemental Information.**

Figure 1. Land use in Central Asia and the Caucasus



Source: ICARDA-PFU (2008)

Figure 2: Land Use in Central Asia



Source: IFPRI-ICARDA, 2008 based on FAO (2006)

## Land Degradation in Tables

Table 11. Share of land with soil degradation

<b>Country</b>	<b>Salinity</b>	<b>Erosion</b>
	% of area affected	
Kazakhstan	7.91	2.87
Kyrgyzstan	0.50	28.21
Tajikistan	4.89	25.86
Turkmenistan	14.91	1.43
Uzbekistan	14.13	2.92
<b>Central Asia</b>	<b>8.99</b>	<b>4.78</b>

Source: Based on Bot, et al. (2000)

Table 12. Land Salinization in Central Asia

Country/region	% of irrigated area affected by salinization
Kyrgyz Republic	11.5%
Tajikistan	16.0%
Kazakhstan	>33.0%
Turkmenistan	95.9%
Uzbekistan	50.1%
Total Central Asia	47.5%

Source: Bucknall, et al. (2003)

Table 13. FAO estimates of degraded land area, 1981-2003

<b>Country</b>	<b>% of area degraded</b>	<b>% of population affected</b>
Kazakhstan	17.93	13.31
Kyrgyzstan	11.68	12.71
Tajikistan	5.88	2.39
Turkmenistan	0.26	0.33
Uzbekistan	1.34	2.22
<b>Central Asia</b>	<b>13.17</b>	<b>6.00</b>

Source: Based on Bai, et al. 2008

## Land Degradation Effects by Source extracted from (INFPRI, 2008)

*Salinity and waterlogging:* Between 40 percent and 60 percent of irrigated croplands in Central Asia are salt-affected and/or waterlogged (Qadir, et al. 2008). The groundwater table is less than 2 meters deep in about one third of the irrigated lands of Uzbekistan, and in some regions the share of waterlogged lands is as high as 92 percent (CACILM 2006e). Salinization is particularly acute in the downstream areas closest to the Aral Sea: 90 – 94 percent of the irrigated land in Karakalpakstan, Khorezm and Bukhara provinces of Uzbekistan is salinized (Bucknall, et al. 2003). In Turkmenistan, nearly all of the irrigated area is affected by salinity (Table 2).

*Soil erosion by water:* In Uzbekistan, some 800,000 ha of irrigated cropland are estimated to be subject to serious soil erosion due to poor agricultural practices (poor land leveling, poor irrigation practices, etc.), with annual soil losses of up to 80 tons per ha of fertile topsoil (CACILM 2006e). More than 50 percent of farmland in Uzbekistan is estimated to suffer from serious wind erosion (Ibid.). In Turkmenistan, water erosion is a serious problem on mountain slopes and sloping foothill plains, covering an area of about 690,000 ha (CACILM 2006d). Erosion caused by irrigation is particularly serious in Ahal province, where some 300,000 ha were affected by the mid 1990s (Ibid.). In Kyrgyzstan, almost 60 percent of arable land is considered to be subject to serious soil erosion by water and wind (CACILM 2006b). Soil erosion in croplands is also a major concern in Kazakhstan and Tajikistan, especially in sloping areas (CACILM 2006a, 2006c)

*Soil Compaction:* In Uzbekistan, more than 51 percent of irrigated lands are characterized by a moderate to high degree of soil compaction and crust formation (CACILM 2006e). The permeability of soils in Syr Darya, Djizak and Kashkadarya steppes and other regions have decreased by a factor of 5 to 8 (CACILM, 2006c).

*Soil Fertility loss in irrigated areas:* Soil fertility is low and declining in many irrigated areas of Central Asia. For example, cotton yields in Uzbekistan are well below yields in other cotton exporting countries, and yields have declined over the past decade (CACILM 2006e). According to CACILM (2006e), soil organic matter has declined by 30 to 40 percent in Uzbekistan, and soil micro flora are being depleted. In Kyrgyzstan, extraction of soil nutrients is reportedly four times the application of nutrients in the form of fertilizers (CACILM 2006b). Soil quality decline is one of the most critical land degradation issues cited by farmers in irrigated mixed mountain cropping systems of the Western Pamirs of Kyrgyzstan (Hoeck, et al. 2005). Causes of soil fertility depletion include mono-cropping of cotton and wheat, insufficient inputs of fertilizers (especially on household plots or among poorer farmers with limited ability to purchase inputs), lack of information on soil fertility problems or appropriate remedies, lack of use of organic sources of soil fertility, tillage practices, soil erosion and leaching of nutrients due to irrigation practices.

*Soil erosion:* Soil erosion is particularly severe in hilly and mountainous areas of Kyrgyzstan and Tajikistan, with more than one fourth of the area of these countries estimated to be affected by erosion (Table 1). Of course this includes uncultivated land as well as arable land. Almost 60 percent of arable land in Kyrgyzstan is seriously affected by water and wind erosion (CACILM 2006b); this likely includes most rainfed cultivated areas. Rainfed crop cultivation in Tajikistan occurs on slopes of up to 25 percent without conservation measures (CACILM 2006c). Even where investments in soil conservation measures such as terraces have occurred, poor construction and maintenance contribute to soil erosion in many cases (Ibid.). In plain areas of Kazakhstan, wind erosion is a major problem, while water erosion is more of a concern in foothill areas (CACILM 2006a). In northern Kazakhstan about 12 million ha of plowed land needs erosion protection, and about 5 million ha are subject to severe erosion (Gan, et al. 2008). It is estimated that yield losses on highly eroded soils can be as high as 50 percent (Suleimenov 2006).



*Soil fertility in Rainfed Areas:* depletion is also caused by limited use of inorganic or organic sources of fertility to replenish nutrients lost from the soil through crop harvests, erosion, leaching and other forms of losses. In addition, intensive tillage leads to losses of soil organic matter. In Kazakhstan, the soil organic matter content of soils in many sites has declined by 10 to 20 percent in the past 30 years as a result of poor management (with losses of as large as 40 percent cited in some studies) (CACILM 2006a). Loss of soil fertility due to loss of humus and deflation affects an estimated 11.2 million ha in the rainfed steppes of Kazakhstan (Ibid). This process was most severe in the northern steppe region after the “virgin lands” policy promoted expanded cultivation of rangelands, and there has been some reversal of degradation where cultivation has been abandoned. In Kyrgyzstan, cultivation of virgin lands has caused estimated losses of humus of 20 to 45 percent (CACILM 2006b). Expansion of wheat production into pasture lands and lack of conservation measures in these areas are also major proximate causes of land degradation in Tajikistan (CACILM 2006c).

Due to increased demand for food and feed, many rangeland areas in the region are presently poorly managed leading to lack of feed, land degradation, loss of plant biodiversity, and expanding desertification. The collapse of agricultural input trade mechanisms between the countries of the region after independence has diminished the feed grain supply for livestock production, thus also contributing to pressures on rangelands (Wilson 1997). There is clear evidence of increased degradation around large settlements (Alimaev 2003; Alimaev *et al.* 2006), mainly due to low livestock mobility (Kerven 2003; Farrington 2005; Fitzherbert 2000).

In Central Asia, presently, 24 million ha (13.2% of total) of rangelands are estimated to be degraded at different levels in Kazakhstan, 6.8 million ha (74%) in Kyrgyzstan, more than 90% of the total 3.7 million ha of rangelands in Tajikistan, 20.8 million ha (50%) in Turkmenistan, and about 10 million ha (42%) in Uzbekistan (CACILM 2006a-e). Kharin 2002 indicates from various sources that roughly 5 million hectares of saxaul plantations had been destroyed between the 1940s and 1990s in the desert rangelands, and that in many parts of Kazakhstan, forage production of desert rangelands had been exhausted by the 1960s. (Babu and Djalalov 2006).

## Part V: Socio-Economic Supplemental Information

Table 14: Human development index 2006 and underlying indicators for CACs in comparison with selected countries.

HDI value 2006	Life expectancy at birth (years) 2006	Adult literacy rate (% ages 15 and above) 2006	Combined primary, secondary and tertiary gross enrolment ratio (%) 2006	GDP per capita (PPP US\$) 2006
1. Iceland (0.968)	1. Japan (82.4)	1. Georgia (100.0)	1. Australia (114.2)	1. Luxembourg (77,089)
71. Kazakhstan (0.807)	115. Uzbekistan (66.9)	9. Tajikistan (99.6)	23. Kazakhstan (91.8)	70. Kazakhstan (9,832)
108. Turkmenistan (0.728)	116. Tajikistan (66.5)	10. Kazakhstan (99.6)	71. Kyrgyzstan (77.7)	101. Turkmenistan (4,826)
119. Uzbekistan (0.701)	117. Kazakhstan (66.4)	12. Turkmenistan (99.5)	87. Turkmenistan (74.1)	132. Uzbekistan (2,189)
122. Kyrgyzstan (0.694)	120. Kyrgyzstan (65.7)	16. Kyrgyzstan (99.3)	91. Uzbekistan (73.2)	140. Kyrgyzstan (1,813)
124. Tajikistan (0.684)	133. Turkmenistan (62.8)	36. Uzbekistan (96.9)	107. Tajikistan (70.9)	143. Tajikistan (1,619)
179. Sierra Leone (0.329)	179. Swaziland (40.2)	147. Mali (22.9)	179. Djibouti (25.5)	178. Congo (281)

Source: UNDP, 2009 based on 2006 estimates.

The HDI measures the average progress of a country in human development.

Table 15: Selected indicators of human poverty of 4 CACs (Turkmenistan not available)

Human Poverty Index (HPI-1) 2006	Probability of not surviving past age 40 (%) 2005	Adult illiteracy rate (% ages 15 and older) 2006	People without access to an improved water source (%)2006	Children underweight for age (% ages 0-5) 2006
1. Czech Republic (1.7)	1. Singapore (1.8)	1. Cuba (0.2)	1. Bosnia and Herzegovina (1)	1. Croatia (1)
34. Kazakhstan (7.8)	65. Kazakhstan (11.1)	4. Tajikistan (0.4)	19. Kazakhstan (4)	15. Kyrgyzstan (3)
39. Kyrgyzstan (8.7)	67. Kyrgyzstan (11.7)	5. Kazakhstan (0.4)	48. Kyrgyzstan (11)	22. Kazakhstan (4)
43. Uzbekistan (9.2)	74. Tajikistan (13.1)	9. Kyrgyzstan	52. Uzbekistan (12)	31. Uzbekistan (5)
72. Tajikistan (18.3)	68. Uzbekistan (11.9)	21. Uzbekistán (3.1)	90. Tajikistan (33)	77. Tajikistan (17)
135. Afghanistan (60.2)	135. Zimbabwe (57.4)	127. Mali (77.1)	123. Afghanistan (78)	135. Bangladesh (48)

Source: UNDP, 2009

The Human Poverty Index for developing countries (HPI-1), focuses on the proportion of people below a threshold level in the same dimensions of human development as the human development index - living a long and healthy life, having access to education, and a decent standard of living. By looking beyond income deprivation, the HPI-1 represents a multi-dimensional alternative to the \$1.25 a day (PPP US\$) poverty measure. The HPI-1 measures severe deprivation in health by the proportion of people who are not expected to survive age 40. Education is measured by the adult illiteracy rate. And a decent standard of living is measured by the un-weighted average of people without access to an improved water source and the proportion of children under age 5 who are underweight for their age.

## Part VI: Results of National Capacity Self-Assessments by Country

### Summary Results:

At the *system-level*, capacity building is connected with creating favorable environment conditions: political, economic, legal and control mechanisms of institutions and individuals:

- Establishment of the legislative and normative bases for standardization of land use
- Inter-sectoral coordination and relationships amongst institutions, agencies, and management bodies are not yet efficient hindering the effectiveness of joint activities of the responsible institutions, organizations, and local administrative bodies on fulfillment of the global commitments;
- Capacity of the civil society is underutilized although participation and civil initiatives are crucial for the broad involvement of local communities in program planning and implementation on environment protection;
- Development of the economic mechanisms for the use of environmental services.

At the *institutional level*, capacity building equates to an improvement of general organizational efficiency and its functional opportunities as well as the ability to adapt to change. In addition to the improvement of material aspects (such as infrastructure), institutional capacity building implies a clear definition of tasks, structures, commitments and duties, procedural and communication changes, and the review of labor resource distribution (See also Barriers) in addition to the following:

- Raise the official status of the National Action Plans and for the offices of the focal points to that of a National Development Program aided by state planning and budget allowances.
- Develop clear budget or financing provisions to be made on a regular basis.
- A political and program content should be further developed and formulated as a step-by-step plan for implementation.
- Employees of the key ministries and agencies whose activities relate to UNCCD implementation should be trained and provided with the necessary information on project development to improve the level of cooperation among partners and the access to international financial resources.
- Poor logistical support for the national institutions/agencies and the local management bodies.
- Improvement of the institutional structure for the implementation of liabilities under UN CCD.

At the individual level, capacity building means the process of changing prevailing views and models of behaviour, mainly through knowledge transfer and the development of skills in an educational process. However, it also includes on-the-job training and active participation in the implementation of measures aimed at the achievement of improved results through a change of management, incentives, attitudes and increased responsibility and accountability.

Results by country based on GEF-UNDP PPG Gap Analysis<sup>25</sup>

**Kazakhstan:**

The **Kazakh** NCSA Report referred back to the NAP when discussing capacity for the UNCCD, but in view of the long list of aspirations, and following consultations by experts, two blocks of priorities emerged as follows:

*Block 1: Priorities of the local level (technological, optimization, etc.):*

1. Introduction of the water-saving technologies.
2. Improvement of the territorial development.
3. Improvement of grazing and grasslands.
4. Recovery of plough-land fertility.
5. Development of traditional business and skills in areas damaged by desertification.
6. Prevention of the wind and water erosion of soil.
7. Mining and biological reclamation of damaged lands.

*Block 2: Priorities of the system level (optimization-managerial and institutional-organizational):*

1. Establishment of the legislative and normative bases for standardization of land use, development of the economic mechanisms for the sparing nature use.
2. Information system development regarding CD.
3. Creation of conditions for the involvement of the scientific capacity and business for participation in the activity regarding CD.
4. Improvement of the institutional structure for the implementation of liabilities under UN CCD.
5. Training, education and information of the society.

The second block, comprising priorities at system level, is particularly relevant for the MCB FSP.

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<sup>25</sup> Based on GEF-UNDP Capacity Gap Analysis

### **Kyrgyz Republic:**

The **Kyrgyz** NCSA review of capacity for UNCCD implementation, also referred back to the NAP and noted the priority actions recommended. It then determined that there are three main barriers to the implementation of the UNCCD. These barriers are:

1. The National Action Plan of the Kyrgyz Republic is a document that lacks the official status of a National Development Program aided by state planning and budget allowances. The document does not contain any clear budget or financing provisions to be made on a regular basis. Its political and program content should be further developed and formulated as a step-by-step plan for implementation.
2. The Office of the National Coordinator on UNCCD implementation is an informal organization that needs official status, equipment, facilities and financial support.
3. Employees of the key ministries and agencies whose activities relate to UNCCD implementation should be trained and provided with the necessary information on project development to improve the level of cooperation among partners and the access to international financial resources.

### **Tajikistan:**

The **Tajik** NCSA report and action plan places emphasis on the synergy that exists between the three conventions and discusses the potential benefits of adopting a comprehensive perspective.

It identifies three levels where capacity building is required. At the systems level, capacity building is connected with creating favourable activity conditions – political, economic, legal and control mechanisms of institutions and individuals.

At the institutional level, capacity building equates to an improvement of general organizational efficiency and its functional opportunities as well as the ability to adapt to change. In addition to the improvement of material aspects (such as infrastructure), institutional capacity building implies a clear definition of tasks, structures, commitments and duties, procedural and communication changes, and the review of labour resource distribution.

At the individual level, capacity building means the process of changing prevailing views and models of behaviour, mainly through knowledge transfer and the development of skills in an educational process. However, it also includes on-the-job training and active participation in the implementation of measures aimed at the achievement of improved results through a change of management, incentives, attitudes and increased responsibility and accountability.

The report concluded that the main constraints (barriers) in the area of desertification were a lack of funds and limited access to information.

### **Uzbekistan:**

The **Uzbek** NCSA Report also sees many similarities between the three conventions and makes no distinction between them when making recommendations for action to address capacity problems. It proposes a strategic approach which identifies the main barriers as –

- weak governmental institutional network focused on implementation of the commitments under conventions, lack of clear inter-institutional and inter-sectoral mechanisms of coordination

- nature protection activities, identified by the global commitments, are not systematized and do not adequately meet the requirements of CBD, CCD and FCCC
- local authorities, commercial structures, NGOs and the public are not well aware of and are not interested in meeting the requirements of the three Conventions
- synergistic principles, policies and measures of the Conventions are insufficiently used while developing the main branches of economics though they can provide significant ecological and economic benefits at the local, national and global levels

The Report also identifies the following “*limitations and shortfalls of the current management structure*”:

- Inter-sectoral coordination and relationships amongst institutions, agencies, and management bodies are not efficient enough. This impedes joint activities of the responsible institutions, organizations, and local administrative bodies on fulfillment of the global commitments;
- Capacity of the civil society is used insufficiently, although its activities and initiatives are crucial for the broad involvement of all the Parties concerned and the local communities in implementation of the programs and action plans on environment protection;
- Poor involvement of mass media, the capacity of scientific community and civil society in the public awareness campaigns, the cultivation of the national self-consciousness and responsibility for the global commitments, as well as for advocating of ideas and specific actions on achievement of safe natural resources use.;
- Lack of institutions for environmental education of public and local communities, and permanent ecological training courses for the staff of executive and coordinating management agencies;
- Poor financial and legal support for executive and coordinating agencies, and supervision over progress with implementation of the sectoral programs and action plans conducted within the framework of the three conventions;
- Insufficient external technical assistance on the common sectors and areas of the three conventions;
- Poor logistical support for the national institutions/agencies and the local management bodies.

## **Part VII: Sub-regional Training Summary.**

### **Overview of Regional Training Needs and Training Capacity for SLM**

As part of the preparation of the SRTP, the SRTP Secretariat contracted national experts in each of the Central Asian countries to prepare national reports on the training needs and available training capacity for promoting sustainable land management. The following provides an overview of the findings in the national reports with respect to these questions. The reports themselves are provided in the annex.

#### **A. Regional Training Needs Identified**

1. The national reports assessed the training needs for SLM in each country in six critical areas: (1) policy formulation and legislative development, (2) programme/project planning and management, (3) monitoring and evaluation, (4) information management, (5) public awareness and environmental education and (6) science and technology development. The following overview of the assessments in the national reports addresses each critical area.

**Policy Formulation and Legislative Development** As a rule, the national reports found reasonably strong national capacity with respect to the formulation of national policies, strategies and plans to address land degradation problems, citing the most recent efforts in national policymaking in the context of implementation of the UNCCD, CACILM and GEF programs. The reports concluded much the same with respect to national capacity for developing the appropriate legislative framework for promoting SLM, although recognizing that, in many cases, effective execution of the legislation has been constrained by the lack of subsidiary legislation, administrative regulations or implementing mechanisms necessary for effective implementation. This is not to say that there are no recognized training needs in the areas of policy formulation or legislative development. On the contrary, given the emerging nature of the SLM field and the increasing recognition of the impacts of land degradation in all its forms in Central Asia, the reports recommend targeted training interventions and study of international practice to address recognized needs among national policymakers and legislators.

One of the primary needs in the region, for example, is to integrate policies and strategies to provide a systemic and comprehensive approach to SLM, incorporating international best practices in policy formulation (Turkmenistan). As the Tajikistan national report states:

At present, specialists that develop policies, programmes and plans for agriculture, pastures and forestry development, do not follow principles, recommendations and approaches that ensure sustainable land management. The reason for this state of affairs is that there is yet no clear concept of sustainable land management in place, including clear approaches and recommendations for sector policies. There is not yet sufficient capacity in knowledge and skills that would allow implementing relevant approaches and methodology amongst professionals, national and local administrations. Similar situation is observed in development of financial strategies. The above discussion implies that training to build capacity in formulating general and financial strategies will be needed.

Thus training in international best practices in the elements of policy formulation (problem definition, situation analysis, data collection and database processing, use of technical facilities, database creation) should be part of a comprehensive training program for national policymakers (Turkmenistan, Uzbekistan). Furthermore, effective policy formulation on SLM depends heavily on the elaboration of sound financing strategies to ensure that adequate resources are available to operationalise these policies. In this regard, financing strategies that facilitate the identification and approaches for mobilisation of a mix of financial resources to fund programs and projects related to SLM is fundamental. These strategies



should assist with accessing the appropriate blend of funds, namely internal, external and innovative. The strategies should also uncover barriers to resource identification, allocation, and disbursement such as, aspects relating to the policy, fiscal, legal, institutional, budgetary and human resource contexts. The Global Mechanism is well positioned to support the countries in this regard as it has already developed a knowledge exchange and capacity enhancement programme that focuses on Designing Integrated Financing Strategies for Combating Desertification (DIFS) for the West Asia and North Africa (WANA) region and is currently adapting this programme to suit other regions<sup>26</sup>. The programme is being enhanced further to simulate actual negotiations with donors through the engagement of in-country donors in the training initiative. The Central Asian Countries could benefit from this programme being adapted to suit the specific context of Central Asia region.

Among the recognized needs in terms of legislative development is training in the latest international standards, practices and experiences in land management and nature protection legislation (including land tenure, cadastre systems, monitoring and information systems, etc.). Furthermore, special emphasis should be given to creating economic incentives in the legislative and economic frameworks governing SLM (Kazakhstan, Tajikistan, Turkmenistan and Uzbekistan). This leads to the inevitable conclusion that the existing normative and legislative framework for natural resources management, including sustainable water and land management, requires further modernisation and revision to be in line with international standards.

2. Program/Project Planning and Management Overall, the national reports indicate that there is a certain level of capacity in Central Asia for planning and implementing programs and projects promoting SLM, along with certain accumulated experience and knowledge in project planning and management. These are demonstrated by the large number of projects funded by international financing institutions (IFIs) and bilateral donors in Central Asia. An assessment of the planning and management of projects and programs envisaged by the various National Framework Programmes, however, suggests the need to strengthen existing capacity through training in order to facilitate understanding of the complex approaches to resolution of problems related to sustainable land and water management (Kyrgyzstan). In the end, effective implementation of projects and programs requires knowledge of good planning and management practices, which will contribute to increased results from actions taken on SLM. Of particular importance is training on advanced approaches in strategic and current planning of programs and projects for key specialists who are involved in activities on land resources management (Uzbekistan).

A principal need in this area is training in mechanisms for inter-sectoral and inter-departmental collaboration on SLM. The reports make the point that the multidimensional aspects of SLM must be accepted at the highest levels of planning and management and reinforced through coordination mechanisms (Kazakhstan). The efforts of the Central Asian countries in global environmental protection would benefit from a training process that implements a comprehensive approach to solving problems in sustainable land and water management. Specialists responsible for planning, financing and managing SLM activities should work in close cooperation with each other. Therefore, any training efforts should bring them all together and organise training activities with due consideration of these needs (Kyrgyzstan). There is high demand for training on planning and management of SLM activities, organization of international cooperation, coordination and interaction of structures at the national level. In order to highlight all of the issues mentioned, any training provided should include officials and staff from all of the management positions in the national level institutions already involved into land management (Turkmenistan).

In order to introduce SLM principles successfully, there is a basic need to have a solid understanding of these principles by all the participants in the institutional structure, those who are directly and indirectly

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<sup>26</sup> [http://news.global-mechanism.org/u/gm.php?prm=LJJwd4NkJh\\_110986870\\_70675\\_1540](http://news.global-mechanism.org/u/gm.php?prm=LJJwd4NkJh_110986870_70675_1540)

involved in land resources management. For the formulation of this general understanding, therefore, training on allocation and use of financial resources, preparation of improved legislative proposals, as well as training on understanding of SLM principles, planning and management of SLM activities is highly important (Uzbekistan). A major need for institutional development training lies at the local level, training on development of local initiatives, coordination and collaboration between organizations at the local level and extended understanding of SLM principles. In order to implement training on understanding SLM at the local level, it will be necessary to conduct some preparatory work on increasing the awareness of local SLM participants. The lack of information at the local level on all aspects of land use is of special concern, including the lack of copies of existing laws and regulations on land management (Turkmenistan).

3. Monitoring and Evaluation The national reports all agree that it is necessary to create a system of monitoring and evaluation of the impacts of measures taken in the area of SLM and that extensive training is needed in this area. Too often monitoring systems and associated training for implementing them are only linked to projects financed by external sources. There is widespread agreement, however, that routine monitoring should be conducted during the implementation of SLM measures in order to be able to make adjustments to the measures taken so as to better achieve the desired results. The monitoring of lands and land cadastre actions are a key tool for making appropriate decisions in combating desertification and land degradation.

There is a clear need to build capacity in the Central Asian countries on monitoring systems, monitoring methods and monitoring system organization based on international best practice. Specialists of national organizations cooperating with donor-financed projects often have insufficient knowledge of the monitoring systems and monitoring methodology for assessment of project results. Further, the general understanding of the role of monitoring in development of SLM remains inadequate. In most of the Central Asian countries there is a shortage of specialists who have a clear understanding of monitoring and impact evaluation methodologies. Therefore, there is high demand for training on monitoring and impact evaluation of various activities in the development of SLM (Turkmenistan, Uzbekistan).

4. Information Management The national reports suggest that general information in the region on the problems of desertification, biological diversity, land degradation and climate change is, on the whole, available and accessible to the public. There are a number of research institutes in the region engaged in the assessment of biodiversity, trends in desertification, land degradation and climate change. However, the results of monitoring in these fields are not always readily available or accessible to the wider public. In most countries insufficient attention is given to questions of information management, whether for internal policymaking use or for external public awareness and education purposes, which suggests the need for training and capacity building in information management strategies and systems.

The mass media in the Central Asian countries often give distorted information and public institutions too often do not pay sufficient attention to the dissemination of such information. The result is that the general population in the countries is poorly informed on issues of the consequences of the use of biodiversity, the degradation of lands and the impacts of climate change, much less on appropriate practices and technologies for prevention of these impacts. Thus, there is widespread demand for training in information management and dissemination (Turkmenistan). Furthermore, training environmental journalists is an important requirement for knowledge transfer and environmental education of the society. A number of higher education institutions have recently introduced environmental journalism as a discipline, but much remains to be done to raise the level of environmental reporting in the Central Asian countries (Uzbekistan).

5. Public Awareness and Environmental Education According to the national reports, in spite of the presence of considerable educational and scientific capacity in the region, activities directed at raising public awareness and promoting environmental education on SLM remain ineffective. This is largely due to (i) the limited training of personnel, (ii) the absence of specialized educational courses and disciplines,

(iii) the weak motivation of training personnel of basic educational establishments to introduce innovative technologies in the educational process, etc. (Kazakhstan). Thus, there is high demand for training in the area of generating public awareness on land degradation and fostering environmental protection and ecological education on SLM. The efforts of research institutes, individual projects and organizations conducting environmental protection activities will not achieve their goals unless there is wider participation and a deeper understanding of environment protection activities by all population groups (e.g. land users, youth, elderly population, etc.). This can be achieved by organizing more extensive work on ecological education.

Currently, there is a need for urgent reorganization of the system of environmental education and training of the population by developing and introducing a uniform system of general continuous environmental education and training, including preschool and public educational institutions, high schools, vocational education system and regular retraining of managers and teaching staff in the system of post-graduate education (Tajikistan). Professional training is only possible on the basis of well-equipped and organized higher educational institutions. Therefore, one of the urgent needs is to open specialized faculties and branches at universities with partial involvement of foreign teachers and continuous exchanges of undergraduate and post-graduate students with foreign universities.

One idea is to create, on the basis of leading universities, regional environmental training centers for preparation and training of experts based on the principles of interdisciplinary training aimed at resolving a set of regional problems, providing access, during training, to all modern reliable scientific information on the environment. This also applies to all forms of general environmental education (Tajikistan).

6. Science and Technology Development and Transfer and the national reports identify a critical gap between the scientific research institutes dealing in land management issues and the potential beneficiaries in the Central Asian countries (Kyrgyzstan). As a result, there is a need to establish mechanisms for transferring existing and new technologies directly to the land and natural resources users. At present, there is almost no activity conducted in introducing biological innovations; seed breeding, for example, is neglected. Access to scientific agricultural information (use of crop rotation, good agricultural practices, etc.) by ordinary farmers and land users is hindered. There is a recognized need for training to help in this process through a series of action research seminars on renewal of existing knowledge and extension of SLM-related knowledge. These seminars should benefit from the participation of technical experts from the scientific research institutes (e.g. NIDFF in Turkmenistan), as well as participants from NGOs and other interested organizations (Turkmenistan).

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## SIGNATURE PAGE

### Country 1: Kyrgyz Republic

**UNDAF Outcome(s)/Indicator(s):**

Poor and vulnerable groups have increased and more equitable access to quality basic social services and benefits, in a strengthened pro-poor policy environment

**Expected Outcome(s)/Indicator (s):**

Sustainable development principles integrated into poverty reduction policies and programmes

**Expected Output(s)/Indicator(s):**

Increased institutional capacity to implement international agreements and conventions

### Country 2: Republic of Kazakhstan

**UNDAF Outcome(s)/Indicator(s):**

Reduced (income and human) poverty at national and sub-national levels

**Expected Outcome(s)/Indicator (s):**

A comprehensive approach to sustainable development is integrated into national development planning and linked to poverty.

**Expected Output(s)/Indicator(s):**

Increased capacity of the national Council on Sustainable Development (CSD) to implement priority environmental management initiatives.

### Country 3: Republic of Tajikistan

**UNDAF Outcome(s)/Indicator(s):**

Overcoming mountains — Natural resources sustainably managed and fewer persons killed or affected by disasters

**Expected Outcome(s)/Indicator (s):**

Overcoming mountains — Natural resources sustainably managed and fewer persons killed or affected by disasters

**Expected Output(s)/Indicator(s):**

Managing energy and environment for sustainable development

### Country 4: Turkmenistan

**UNDAF Outcome(s)/Indicator(s):**

By the end of 2009, a comprehensive approach to environmentally sustainable principles and practices is integrated into policies at all levels and into community development, and is linked to improved social well-being

**Expected Outcome(s)/Indicator (s):**

Farmers and farm staff in remote and environmentally degraded national priority areas are able to practice sustainable land use and integrated watershed management

**Expected Output(s)/Indicator(s):**

In targeted areas, there is improved local capacity to practice sustainable land use and water management

**Country 5: Republic of Uzbekistan**

**UNDAF Outcome(s)/Indicator(s):**

By 2009, national laws are harmonized with UN legal Instruments, including human rights, environmental and refugee conventions, and the implementation and monitoring of the latter are improved.

**Expected Outcome(s)/Indicator (s):**

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

**Expected Output(s)/Indicator(s):**

Improved national capacity to monitor state of environment and trends and to assess policy performance in promoting environmental sustainability

<p>Programme Period: 2009-2012          Programme Component: Energy and Environment          Project Title: CACILM CPP: Multi-country Capacity Building          Project ID: 00071171          Project Duration: 3 years          Management Arrangement: DEX</p>
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Total budget:	6,176,500
Allocated resources:	
• GEF	2,865,000
• In kind/cash contributions	
Government of Kyrgyzstan	150,000
Government of Kazakhstan	100,000
Government of Turkmenistan	100,000
Government of Tajikistan	100,000
Government of Uzbekistan	100,000
• UNDP	1,961,500
• GTZ	500,000
• GM	300,000

**AGREED BY UNDP RESIDENT REPRESENTATIVES / UNDP DIRECTOR:**

*Neal Walker, UNDP Resident Representative, UNDP Kyrgyzstan*

Signature



Date:

*14 Oct '09*

*Haoliang Xu, UNDP Resident Representative, UNDP Kazakhstan*

Signature

Date:

*Rastislav Vrbensky, UNDP Country Director, UNDP Tajikistan*

Signature

Date:



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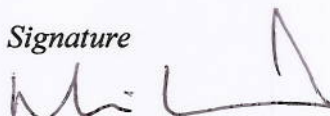
*Haoliang Xu, UNDP Resident Representative, UNDP Kazakhstan*

*Signature*

Date:

*Rastislav Vrbensky, UNDP Country Director, UNDP Tajikistan*

*Signature*



Date:

14/10/09

*Richard Young, UNDP Resident  
Representative, UNDP Turkmenistan*

Signature 



Date:

*Anita Nirody, UNDP Resident  
Representative, UNDP Uzbekistan*

Signature

Date:

*Richard Young, UNDP Resident  
Representative, UNDP Turkmenistan*

*Signature*

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*Anita Nirody, UNDP Resident  
Representative, UNDP Uzbekistan*

*Signature*  


Date: 03/11/09