



United Nations Development Programme
GLOBAL ENVIRONMENT FACILITY (GEF)



6 December 1996

Mohamed
Dear Mr. El-Ashry,

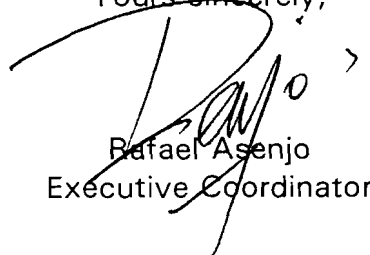
Subject: UZB/95/G31 - Uzbekistan Country Study on Climate Change

I am pleased to enclose the above-mentioned project approved by the GEF Executive Council in October 1995.

As per paragraph 29 and 30 of the GEF Project Cycle, we are submitting this project to you for circulation to the Executive Council Members for comments and, subsequently, for your final endorsement.

Thank you in advance for expediting the review and approval of this project.

Yours sincerely,


Rafael Asenjo
Executive Coordinator

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ABBREVIATIONS

ADB	Asian Development Bank
CIS	Commonwealth of Independent States
COP	Conference of the Parties of the UNFCCC
EBRD	European Bank for Reconstruction and Development
EU/TACIS	European Union Technical Assistance for the Commonwealth of Independent States
NCRUPCC	National Committee of the Republic of Uzbekistan on the Problems of Climate Change
GEF	Global Environment Facility
GHG	Greenhouse Gas
GNP	Gross National Products
IPCC	Intergovernmental Panel on Climate Change
NGOs	Non-Government Organizations
p-m	Person-Months
PSC	Project Steering Committee
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
US AID	United States Aid for International Development

A. **CONTEXT**

1. **Description of the Country/Project Background**

The Republic of Uzbekistan is situated in the center of the Eurasian continent within the subtropical zone of the northern hemisphere. The climate is typical continental-subtropical with dry hot summers and fluctuating weather in winter. The territory of Uzbekistan covers 447,400 km² of which almost 80% is desert. The deserts are flanked by extensive mountains in the east and southwest which occupy 15% of the territory. The main water arteries are the two transboundary rivers, the Amudarya and the Surdarya which deliver their waters into the Aral Sea.

(a) **Economics:**

The population of Uzbekistan in 1993 was 22.5 million with an annual growth rate of 2.5%. As with most of the New Independent States (NIS) of the former USSR, Uzbekistan has, during its four year period of independency, experienced a declining economy, fiscal and monetary imbalances, and a general deterioration in the standard of living. To address these problems and to attract foreign investments into the country, the Government has launched a program to transform the economy from the former centralized decision-making system to a more market-based one. The key areas which have been addressed are:

- agricultural sector (removal of state orders and liberalization of prices, especially for cotton and grains)
- utilization of the country's considerable mineral and energy resources
- telecommunications
- transport
- environment

The main economical sector in Uzbekistan is agriculture, especially the cultivation of cotton which is the main source of income, employment and foreign exchange. The cotton sub-sector has also generated about 80% of the Government's tax revenue.

All the Central Asian countries, especially Kazakhstan but also Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan are rich in energy resources. These include coal, oil, natural gas and/or hydropower, depending on the country. Besides the "conventional" sources of energy, the Central Asian countries also have a remarkable potential in considering the use of renewable sources of energy. With respect to wind energy, the potential has not been evaluated but terrain may offer major opportunities in appropriate areas of mountain and desert. All the Republics have excellent dispositions for using solar energy with over three days of adequate insolation annually. Uzbekistan is also estimated to possess large geothermal resources.

The main source of energy in Uzbekistan is natural gas which made up almost 80% of the total primary energy consumption of 48.4 Mtoe in 1992. The share of coal and oil was approximately 10% each. The total electric capacity is 11,280 MW of which 9,570 MW is thermal power and 1,710 hydropower. The total electricity consumption in 1992 was 50.8 TWh.

Virtually every household has access to electricity from the national grid and most are supplied with piped natural gas. Where piped gas is inaccessible, liquified natural gas in cylinders is often supplied.

In 1993 Uzbekistan joined the Asian Development Bank (ADB), and in mid-1994 the Republic formalized an agreement on a common economic area with neighbouring Kazakhstan and Kyrgyzstan. The need for greater economic diversity, particularly the exploitation of mineral and energy resources, as opposed to traditional reliance on production and export of cotton, was also emphasized. Uzbekistan is richly endowed with deposits of gold and several other non-ferrous minerals. In this connection the Government encouraged the formation of joint venture enterprises which numbered around 1,400 by May 1995 and in February 1995 it was reported that more than 50% of the labour force were working in the private sector. In 1995 international donor institutions granted loans to assist the privatization programme.

b. Environment:

A distinctive feature of Uzbekistan, as a part of the former Soviet Union, was the massive development of the agricultural sector on the basis of cotton monoculture and extensive use of irrigation, fertilizers and pesticides. Besides the economical benefits, it also resulted in the major environmental problems that Uzbekistan is facing at the moment. The main concern is the drying up of the Aral Sea connected to the general depletion and pollution of surface and ground water resources in Uzbekistan.

Air pollution is primarily a problem in the largest urban centres (Tashkent, Ferghana and Margilan), which combine high population densities and polluting enterprises which use fuel oil or coal as an energy source or which process raw materials containing sulphur or nitrogen. In city centres, traffic is the major source of pollution, for example in some main intersections of Tashkent concentrations of carbon monoxide greatly exceed the acceptable levels.

The two main institutions dealing with environmental issues in Uzbekistan are the State Committee on Nature and Environmental Protection and the State Hydrometeorological Department. The work has been shared so that the State Committee of Hydrometeorology is responsible for monitoring the Environment "as a whole" (including air, water resources and land degradation), and the State Committee on the Protection of Nature is responsible for determining the legislative and regulative framework for considering environmental issues and monitoring individual enterprises to ensure they work under this framework. It can also impose fines for enterprises which do not follow the regulations. Efforts are also being made to develop databases of different environmental parameters, but the capacity to analyze this data in order to affect policy, needs strengthening. The recently instituted National Committee of the Republic of Uzbekistan on the Problems of Climate Change (NCRUPCC) is an important government initiative taken to institutionalize climate change in the national planning process.

c. Project Background:

According to an initial inventory of greenhouse gases made by the State Committee on Hydrometeorology in 1994, the total emission of carbon in 1992 was 33,639,000 m³tons, (the major source being, not surprisingly, energy production), with an average of 1.57t carbon per capita.

A number of ecosystems that appear to be vulnerable to climate change impacts include the Aral Sea Region, which is already under enormous stress; the delta area of Amudarya; and the desert zone and the mountainous area. Agricultural productivity may also be affected by climate change.

A request for a GEF enabling activity to fulfill the commitments of Uzbekistan to the UN Framework Convention on Climate Change was sent to UNDP at the end of 1994 and further discussions were held in New York during the INC meeting in February 1995. With respect to this request, a mission to Uzbekistan was undertaken in July 1995 in order to organize a joint meeting with the relevant local partners and prepare a project brief for submission to the GEF Council Meeting. During the recent project formulation mission, conducted in May-June 1996, detailed discussions took place with key policy planners, lead institutions and a round table meeting was held involving all key potential partners in this project. The secretariat of the NCRUPCC is fully prepared to undertake this GEF-UNDP enabling activity project. There are no other ongoing or planned projects to assist the Government of Uzbekistan to fulfill its commitments to the UNFCCC.

2. Host Country Strategy

2.1 Country Commitment to Institutionalization of Climate Change Related Activities

The Government of Uzbekistan, by an order of 2 September 1995 of the Cabinet of Ministers, formed the "National Committee of the Republic of Uzbekistan on Problems of Climate Change" (NCRUPCC).

This high-level committee is chaired by the Deputy Prime Minister and Chairman of the State Committee of Forecasting and Statistics of the Cabinet of Ministers (Goskomprognozstat). It consists of 34 members, including Deputy Ministers, Department of Hydrometeorology (Glavgidromet) as the First Deputy Chairman, and the State Committee of Nature Protection as the Deputy Chairman. A three member secretariat of the NCRUPCC has also been established. It is located at the Department of Hydrometeorology.

The main tasks of the Committee are :

- the organization of activity of national economy, branches, the ministries and agencies of the Republic of Uzbekistan on fulfilling the obligations of the Republic of Uzbekistan following from the Framework Convention UN on Climate Change (FCCC);
- the realization of national policies on mitigation of adverse impact of anthropogenic activity on climate change, prevention of negative consequences of climate change, for sustainable development of economy and environment, provision of stabilization of greenhouse gas concentrations in the atmosphere;
- the co-ordination and the organization of participation of the Republic of Uzbekistan in UNFCCC bodies and also in international and regional cooperation on problems of climate change.

This has been an active committee and already met twice between September 1995 and May 1996. According to resolutions of the National Committee of the Republic of Uzbekistan on Problems of Climate Change (NCRUPCC) the following activities have been fulfilled since December 1995;

- the plan of Committee activity for 1996-1997 was developed and approved.
- a plan of National Communication preparation and of the National Climatic Program was compiled;
- a workshop was conducted with representatives of the ministries, agencies and organizations (52 persons) on the subject "The UN Framework Convention on Climate Change";
- the information on issues of the UNFCCC was prepared and was submitted to Committee members;
- Guideline Recommendations on Greenhouse Gas Inventory were developed by the Department of Hydrometeorology.

The committee has an active Secretariat chaired by a representative of the State Committee on Forecasting and Statistics of the Cabinet of Ministers (Goskomprognozstat), the Head of Agriculture Investment Department, and with membership from the Department of Hydrometeorology at the Cabinet of Ministers (Glavgidromet), and the State Committee on Nature Protection (Goscompriroda).

2.2 Government Strategy for GEF Funding

The Government strategy in requesting GEF funding for this project is to achieve the following objectives:

1. to prepare the first National Communication of Uzbekistan to the Conference of Parties in accordance with Article 12 of the UNFCCC;
2. to build capacity in Uzbekistan to fulfill its commitments to the Convention on a continuing basis;
3. to enhance general awareness and knowledge of Government planners on issues related to climate change and reduction of greenhouse gas emissions, thus enabling them to take such issues into account in general development plans of various sectors; and
4. to identify projects related to climate change and mitigation of greenhouse gases; projects which may be eligible also for further funding or co-funding by GEF and other multilateral or bilateral organizations.
5. to involve other stakeholders, e.g. representatives of academic institutions, NGOs, private sector, journalists, in the climate change policy making, research, implementation and information dissemination processes.

3. Prior and On-going Assistance

3.1 UNDP/GEF Preparatory Mission in May-June 1996

A UNDP Preparatory Mission was undertaken in May-June 1996. The purpose of the mission was to:

- Assess the needs and status of the Republic in the context of the project and the identification of the concrete aims and objectives of the proposal;
- Assist the Government in planning the detailed activities and developments required to realize the proposal concept;
- Assist the Uzbek Government in the preparation of a project document on Country Study on Climate Change according to the GEF standards; and
- Clarify the institutional arrangements for project implementation, including composition and operation of both the Project Steering Committee and National CC Committee.

During the Preparatory Mission the consultant worked closely with the Secretariat of the NCRUPCC and particularly the Chief, Department of Environmental Pollution Control, Department of Hydrometeorology at the Cabinet of Ministers (Glavidromet). The mission met with all key government officials; several members and institutions of the National Committee of the Republic of Uzbekistan on the Problems of Climate Change (NCRUPCC); all members of its secretariat; many academic and research institutes; some NGOs and private sector representatives; and several donor agencies. The mission further participated in the training of key Uzbekistan government officials involved in this proposed GEF enabling activity project, organized by UNDP. In addition, and in consultation with the NCRUPCC, the mission provisionally identified a Project Manager, four team leaders, key institutions for undertaking each of the four components i.e. (a) Greenhouse Gas Inventory, (b) Mitigation, (c) Vulnerability, and (d) Adaptation.

Further, during the wrap up meeting, the consultant and NCRUPCC Secretariat organised a roundtable where all the key potential research teams and policy planners were introduced to different aspects of the project. The participants agreed to undertake this multi-institutional and multi-disciplinary study and expressed their commitment to undertake the project. They were initiated to the need for rapid progress as soon as the project can commence so that the Uzbekistan National Communication can be prepared for presentation at COP 3. The final meeting between the Government, UNDP and the consultant cleared some of the logistical concerns. The Uzbekistan Government is now prepared to execute this as a priority project and the Secretariat of NCRUPCC is awaiting early submission of the project brief to GEFOP and for GEF Council meeting clearance and authorization by GEF and UNDP.

3.2. Other On-Going Assistance

- Aral Sea Basin Programme of the World Bank, which incorporates a total of seven projects. The Aral Sea has now become a major environmental hot spot with serious biodiversity and socio-economic concerns. Therefore biodiversity assumes an important role in the region.
- Aral Sea Basin Capacity Development Project of the UNDP. Uzbekistan is a major partner in the Inter-State Council for the Aral Sea (ICAS). The International Conference on the Sustainable Development of the Aral Sea held in Nukus in September 1995, attended by the political leadership addressed some of the key issues.
- Project on Liquid Natural Gas is under progress in partnership with the USA and U.K.

4. Institutional Framework

In order to successfully implement the project activities, and to ensure the sustainability of the results and wide participation in the implementation process, the Government has already established and activated the National Committee of the Republic of Uzbekistan on Problems of Climate Change (NCRUPCC). The Government further has endorsed that a Project Steering Committee (PSC) will be established on the basis of the decisions of the National Committee. Though the final composition of the PSC will be decided at the beginning of the project, the Roundtable of representatives of most of the involved institutions held during the GEF-UNDP consultants project preparatory visit in June 1996, concluded that the PSC will be chaired by the First Deputy Chairman of NCRUPCC and would include representatives from the following:

- State Committee on Forecasting and Statistics;
- Department of Hydrometeorology;
- State Committee on Nature Protection;
- Ministry of Agriculture;
- Ministry of Finance;
- UNDP;
- Institute of Economy and Development of Productive Forces;
- State Committee on the Press.

B. PROJECT JUSTIFICATION

(a) Problems to be Addressed

The United Nations Framework Convention on Climate Change was signed in June of 1992 in the Rio "Earth Summit". The ultimate objective of the Convention is to stabilize greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with climate. By becoming Parties to the Convention, both developed and developing countries accepted a number of commitments which include *inter alia*:

- to develop, periodically update, publish and make available to the Conference of the Parties (COP) of the UNFCCC national inventories of anthropogenic emissions by sources and removals by sinks of all greenhouse gases not controlled by the Montreal Protocol;
- to formulate and carry out national programmes for mitigating climate change and adapting to its effects; and
- to strengthen scientific and technical research and systematic observation related to the climatic system, and promoting the development and diffusion of relevant technologies.

Due to the economic problems that Uzbekistan is facing, there is a lack of funds to start the implementation of the Convention in Uzbekistan and to prepare its first Communication to the COP. This situation prompted the Government to request assistance from UNDP/GEF.

During the Soviet era Uzbekistan did not recognize the concept of linking productivity of any sector with the protection of environmental resources. This was a result of the strong centralization and top-down Soviet management, where planning and overall management decisions and information were centralized in Moscow without regard to environmental consequences. Only recently have Ministries, state institutions and centres have been empowered to incorporate the concept of environmental resources management into the national development policy in various sectors.

However, there is still the problem of limited and ineffective interaction and coordination between ministries, and with scientists of the research institutions in decision making and planning. The effects various uncoordinated plans have on each other and in relation to larger goals have not been considered in the Government plans, and the long-term sustainability of these development plans, in terms of their environmental impacts also needs to be addressed.

2. Expected End of Project Situation

The specific results of the project will be:

1. Preparation of the first National Communication of Uzbekistan to the Conference of Parties in accordance with the Article 12 of the UNFCCC. The Communication will consist of an inventory of greenhouse gases in 1990, made in accordance with the IPCC guidelines; material for calculation of emission trends; a general description of available or envisaged mitigation options; an assessment of Uzbekistan's vulnerability to climate change; and a general description of available or envisaged adaptation options. It will also contain socio-economic data on Uzbekistan, which will be collected from various sources and incorporated in the Communication. ✓
2. To the extent feasible, a permanent mechanism and trained staff to regularly update the different elements of the Communication.
3. Enhanced awareness and knowledge among the Government planners on climate change related issues, and subsequent incorporation of such issues into general development plans of various sectors.

4. A permanent institutional mechanism/framework to strengthen the dialogue, information exchange and cooperation between the local Ministries, NGOs, academic, private and grassroots sectors, as well as internationally.
5. Identified follow-up projects related to climate change and mitigation of greenhouse gases.
6. An improved integrated approach and inter-institutional cooperation and national capacity building in GHG inventory, mitigation, vulnerability, adaptation and national communication.

3. Target Beneficiaries

The project will contribute to the overall efforts to mitigate global greenhouse gas emissions and thus the target beneficiaries must be seen in a global context, including the people of Uzbekistan. With respect to the immediate objective 3 (impact assessment), the benefits are of a more national nature.

Beside the various aspects related directly to climate change, the project will contribute to the general planning and strategy formulation process currently underway in Uzbekistan by identifying "win-win" measures - measures which beside the mitigation of greenhouse gases are also least cost options or have other national benefits which exceed the additional costs (e.g., reduction of local pollution by identified energy saving measures and developing strategies to implement these measures).

Furthermore, the recruitment of a large number of national experts and the involvement of counterparts and Government representatives from the relevant ministries in the implementation of project activities, will result in building the capacity of such personnel in various aspects related to climate change, thus ensuring the sustainability of these benefits.

4. Project Strategy and Implementation Arrangements

4.1 Project Strategy

This project is part of the UNDP/GEF planned assistance to Uzbekistan within the framework of the GEF Operational Strategy. The project will implement an activity needed to enable the Government of Uzbekistan to prepare its first National Communication in accordance with Article 12 of the UNFCCC and to build capacity in the country to fulfill its commitments to the UNFCCC on a continuous basis. The project will last for a period of two years.

In implementing the different activities, the project will follow the internationally adopted guidelines and use the existing methodologies and tools whenever available. Technical assistance will be provided by regional and local experts whenever possible.

The project will focus on capacity building and training of selected national experts and counterparts in various ministries and institutes, as well as those of local Non-Governmental Organizations (NGOs). The necessary external support will be provided by strengthening and encouraging the exchange of information between the project staff and international organizations and research institutes dealing with issues relevant to the project, as well as through hiring short-term international consultants to assist in the implementation of the project during the critical stages.

The activities will be carried out in sequence so that tasks building on the results of prior activities are only undertaken if these prior steps have been taken. For instance, the mitigation analysis will build on the results of the inventory, and the national mitigation plan on the results of the mitigation analysis. Similarly, the adaptation analysis will build on the results of the vulnerability assessment.

With these activities the project is expected to cover all the steps needed to prepare the first national communication of Uzbekistan to the CoP.

To the extent feasible a permanent mechanism will be established to regularly update the different components of the Communication, and an institutional framework will be formed to strengthen the dialogue, information exchange and cooperation among the local Ministries, NGOs, academic, private and grassroots sectors. It is also envisaged that as a follow up activity of the project, feasibility studies will be conducted for the formulation of nationally or internationally financed projects related to the mitigation of greenhouse gas emissions. These follow-up activities will provide necessary elements for long-term sustainable development and achievements in the reduction of greenhouse gases.

4.2 Implementation Arrangements

The Department of Environmental Pollution Monitoring of the Department of Hydrometeorology at the Cabinet of Ministers (Glavgidromet) will be the Government Implementing Agency for the Project; the State Committee of Forecasting and Statistics, Agriculture Investment Department will be a Counterpart Agency and work in close collaboration with the State Committee of Nature Protection, Department of Atmospheric Control.

The Project Steering Committee (PSC) will be charged with overseeing, coordinating and advising the project staff on the execution of project activities, and will have decision-making power over all aspects of the project operation.

The Chairman of the Project Steering Committee will supervise the Project Manager, and thus be the signatory for all expenditures. A national finance office (NFO) will be hired to be in charge of funds disbursement.

The project will be implemented, under the overall coordination of the PSC, by qualified national experts and a project manager, assisted by Government counterpart teams from the relevant ministries and institutes. A Chief Technical Advisor will be the day-to-day link between the PSC and the NCRUPCC. The PSC will also cooperate with other institutions as and when required.

International consultant(s) will be recruited to facilitate the initiation and coordination of project activities.

The national experts and institute to be subcontracted will be selected from institutions relevant to the project, in the fields of communications, GHG inventories and data management, impacts of climate change, and mitigation of greenhouse gases (energy, forestry, transport, statistics, agriculture, etc) (see Annex VI).

The implementation of the project activities will be facilitated by dividing the work into one coordination unit and four functional research teams. Each research team will be led by a "Team Leader" and each team will have a membership of between 5 and 10 experts. The team size may vary depending on need.

- a. Team 1: (Coordination Team): Project coordination, Information/Documentation Centre and international collaboration.
- b. Team 2: Greenhouse Gas Inventory/Data Management.
- c. Team 3: Impact/Vulnerability Study.
- d. Team 4: Adaptation Analysis and Adaptation Strategy.
- e. Team 5: Mitigation Analysis and Mitigation Strategy.

The four research teams will be coordinated by the coordination unit under the Project Manager who will also be in charge of the project information/documentation centre and international collaboration.

Under the different sub-tasks, study tours will be undertaken, and working links with international partners will be established in order to ensure effective exchange of information and the appropriate implementation of project activities.

4.3 Monitoring and Evaluation

After the preparation of the work plan by the Project Manager, an external review, by the PSC and UNDP will be undertaken. Such an early review is essential to identify gaps, deficiencies and overlaps, as well as potential risks to the successful implementation of the project. Further, the review will enable the identification of potential partners and sources of information which might be of benefit to the project.

The PSC, together with the Executing Agency, will be responsible for the continuous monitoring of the progress of the project. In order to do this, the Project Manager, with the help of the leaders of the research teams, will prepare regular progress reports. Periodic joint meetings of the PSC, UNDP and the Executing Agency will be scheduled for project review and evaluation of staff performance. The Chief Technical Adviser will be responsible for reporting the progress to the National Committee of the Republic of Uzbekistan on Problems of Climate Change (NCRUPCC) and ensuring participation of all necessary institutions and integration of study results. Annex II of the Project Document contains the Schedule of Project Reviews, Reporting and Evaluation. The purpose of the periodic review and evaluation is to assess the overall success of the project and suggest modifications in the implementation process.

5. Reasons for Assistance from UNDP

The project is consistent with the enabling activity and capacity building objectives listed in the Operational Criteria for GEF Enabling Activities. This project responds to these objectives by supporting an activity to enable Uzbekistan to fulfill its commitments to implement the Convention.

Given the high priority which the CoP of the UNFCCC has given to enabling activities, and with respect to the collapsed economy and energy sector in Uzbekistan, the timing of this project is an ideal one. The results of the project can be used directly in the planning and policy formulation process currently underway in Uzbekistan, as well as to provide information and "tools" for the international donor and loan organizations assisting Uzbekistan in its efforts to recover from recent economic decline. The Uzbekistan Government has already attached high priority to the problems of climate change by establishing the NCRUPCC and participating actively in SBSTA of UNFCCC.

6. Special Considerations

Emphasis will be placed on the capacity building of the national technical staff including those recruited by the project and those identified by the Government as counterparts. This is essential for the sustainable development of strategies and tools for the mitigation of greenhouse gas emissions in Uzbekistan. This includes the identification and capacity building of local NGOs as part of a participatory approach to the reduction of global greenhouse gas emissions. Further, the integration of climate change related issues into Government planning will be a key feature in the development of training projects and developmental programmes.

Specific attention will be paid to the dissemination of and public access to the available information to ensure wide participation and involvement of interested individuals and organizations both during and after the implementation of the project activities. For this purpose a public information/documentation centre will also be established under the project.

Of utmost importance is the close cooperation between the different ministries and institutions, to avoid overlapping of the activities, to involve the best specialists in the work, and ensure the sustainability of the results of the project. This will be addressed more in detail in Section 7 (below).

7. Coordination Arrangements

The PSC will function as the main body to:

- (i) give guidance in, steer and monitor the implementation of the project activities;
- (ii) work as an additional information link between the project management and the international community;
- (iii) coordinate activities and issues related to climate change in the country;
- (iv) support smooth transition from this enabling activity to the actual GHG mitigation measures and implementation of the national GHG mitigation strategy; and
- (v) liaise closely with NCRUPCC.

It is envisaged that, after successful completion of the project, the PSC will continue to deal with climate change related matters on a permanent basis and report regularly to NCRUPCC.

Other international agencies, such as the World Bank and other private sector organizations are working on energy issues in Uzbekistan, and will benefit the project by (i) providing technical expertise in determining the potential of greenhouse gas mitigation measures (esp. energy efficiency fuel switch); and (ii) linking the project to international sources for funding of potential follow-up projects.

The Project Manager will be located at the Department of Hydrometeorology (Glavgidromet). The project Manager will be responsible for the implementation and coordination of project activities, and will be assisted by national experts. A UNDP Focal Point will be the counterpart to the Project Manager, and be responsible (from the UNDP standpoint) for project implementation and monitoring. The Chief Technical Advisor will be available to advise on policy matters, liaison with NCRUPCC and inter-institutional integration.

The national experts and institutes to be hired or subcontracted will be identified and selected by the Project Manager in cooperation with the PSC and UNDP. The selected experts will assist in the implementation of the different sub-components of the project, including (i) communications (Internet, etc) and coordination; (ii) impact/vulnerability assessment; (iii) greenhouse gas inventories and data management; and (iv) mitigation of greenhouse gases (energy planning, energy efficiency, renewable energy sources etc.) and (v) Adaptation Strategy. The work will be divided into (a) coordination, communication and information/documentation centre under the Project Manager and (b) four research teams, each with a team leader, to facilitate the management and implementation of the project activities. During the project formulation mission in May-June 1996 the Chief Technical Advisor, Project Manager, four team leaders and a skeleton team for each of the four teams has been provisionally identified.

8. Counterpart Support Capacity

The Government of Uzbekistan fully supports the objectives of this project and gives a high priority to its implementation. This has already been emphasized by the NCURPCC. It has also endorsed that the immediate output of the project will be the first National Communication of Uzbekistan in accordance with the paragraph 12 of the UNFCCC. To achieve this goal, the Government has agreed to the formulation of a Project Steering Committee to assist in, and ensure the successful implementation of project activities. The PSC consists of senior officials from the relevant ministries, institutes and universities who are qualified to provide assistance to the project manager and the national experts and counterparts. Most of the project staff will be recruited from these ministries and institutes. During the period of project implementation, the Department of Hydrometeorology at the Cabinet of Ministers, which is the Implementing Agency of the project, will be responsible for providing:

- counterpart teams made of key staff capable of assisting the project staff in executing the project activities as planned;
- office facilities at the Glavgidromet for the Project Manager and staff;
- support staff, information gathering, and logistic support to the project staff.

C. DEVELOPMENT OBJECTIVE

The development objective of this project is to build capacity in Uzbekistan to fulfill its commitment to the UN Framework Convention on Climate Change and to respond to the objective of the Convention on a continuing basis. The objective of the UNFCCC is to stabilize greenhouse gas concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with climate.

D. IMMEDIATE OBJECTIVES, OUTPUTS AND ACTIVITIES

1. Immediate Objective 1 : **Coordination, Documentation and International Linkages.**

In order to ensure proper management structure and coordination of the project, a qualified national Project Manager and Assistant will be identified and hired. In addition, a Project Steering Committee (PSC) will be established, a detailed work plan for the project will be prepared and an information/documentation centre set up. National counterparts will also be identified and national experts and institutes hired/subcontracted to begin the implementation of the project. The PSC and NCRUPCC will be responsible for enhancing the international collaboration needed for the project.

1.1 Output 1

A Project Manager and assistant have been selected, the PSC has been formed, and a detailed work plan for the project has been prepared. The Government of Uzbekistan will provide the project support personnel with the international contacts and translating documents which are relevant for the project. An information/documentation centre will be set up which will hold key documents for public and open access.

1.1.1 Activity-1

Recruit an international consultant for the project initiation phase to provide assistance for (i) organization of a Project Initiation Workshop, (ii) preparation of a detailed work plan for the project, identifying specific problems to be addressed and tasks to be undertaken to achieve the objectives of the project, (iii) preparation of Terms of Reference for the national experts and institutes to be hired or subcontracted, and (iv) identification of potential international partners and ongoing international projects or programmes that the project can benefit from.

1.1.2 Activity-2

Organize a Project Initiation Workshop with representatives from the relevant ministries, institutions and organizations (for a list of potential candidates see Chapter A4, Institutional Framework) in order to present the objectives and implementation arrangements of the project, and to decide on the national Project Manager and the composition of the PSC. During the Workshop training material prepared for the CC:TRAIN as well as for other UNDP/GEF Training Initiatives will be used, as seen appropriate.

1.1.3 Activity-3

Select and hire the Project Manager and Assistant and establish the PSC as agreed in the workshop.

1.1.4 Activity-4

The Project Manager will prepare, with the help of an international consultant, a detailed work plan for the project, as well as Terms of Reference for the national experts and institutes to be recruited or subcontracted. When preparing the work plan, specific attention will be paid to effective dissemination and exchange of information both during and after the project, as well as to identification of international partners and other ongoing national or international projects and programmes that the project can benefit from.

1.1.5 Setting up of an information/documentation centre with all key documents.

1.2 Output-2.

The national experts and institutes implementing the project activities have been selected and recruited (or subcontracted), and the work has been organized into four research teams.

1.2.1 Activity-1

Identify and select the national experts and counterparts in cooperation with the Project Manager, PSC, and UNDP.

1.2.2 Activity-2

Divide the work into four research teams and select a team leader for each team, who will be responsible to the Project Manager.

1.3 Output-3

Strengthened and adequately equipped and staffed Information/Documentation Centre at the Department of Hydrometeorology.

To strengthen the already existing Information/Documentation Centre at the Department of Hydrometeorology and to identify and create links to both national and international sources of information (such as the US Country Study Program and other bilateral programmes, UNEP, IPCC, CC:TRAIN, ALGAS at Asian Development Bank, international research institutes dealing with climate change or mitigation greenhouse gas emissions, ongoing national projects in recipient countries etc.) in order to undertake the specific tasks of the project; to learn from experiences and ideas of similar kinds of projects elsewhere; and to avoid duplication of effort.

1.3.1 Activity-1

Hire a local consultant to assist in the selection and installation of the computers and to connect them to the Internet Network and World Wide Web.

1.3.2 Activity-2

Train the project staff to use the Internet for communication as well as for searching and downloading internationally available information on various subjects.

1.4 Output-4

Information on the issues relevant to the project.

1.4.1 Activity-1

Identify and create links either electronically or by other means (e.g. study tours) to the sources of international information which are relevant to the specific objectives and activities of the project.

1.4.2 Activity-2

Gain information and identify national or international partners for cooperation on the following topics, *inter alia*:

- climate change phenomena itself and its potential impacts on the global and local climates and biosystems;
- sources and sinks of greenhouse gases, including greenhouse gas formation mechanism;
- methods to collect statistical information needed for the inventories and tools to manage the data;
- methodologies and tools related to greenhouse gas mitigation analysis, and specific technologies and practices in the fields of energy efficiency, renewable energy sources, carbon sequestration, reduction of methane emissions, etc;
- potential international partners to provide services and/or funding for the follow-up activities of the project or assistance for the implementation of the actual project.

1.4.3 Activity-3:

To develop regional exchange with neighbouring nations, particularly Kazakhstan which has undertaken vulnerability and adaptation assessments under the US Country Study Programme. This involves visits and exchanges of personnel between Uzbekistan and Kazakhstan.

2. Immediate Objective-2

To study the climate change phenomena itself and its possible impacts with respect to the specific geographical and climatological characteristics of Uzbekistan, especially on agriculture and water resources and selected key ecosystems e.g. Aral Sea, mountains, deserts and Amu Darya Delta.

2.1 Output-1

Adequate and up-to-date studies on the phenomena and potential impacts of climate change in Uzbekistan.

2.1.1 Activity-1

Organise a national training/coordination workshop to:

- a) take stock on and discuss the lessons learnt from other ongoing or already finalised national or international activities relevant to the issue;
- b) to present the internationally available methodologies and tools for a vulnerability assessment in the sectors concerned, and discuss their applicability in Uzbekistan; and
- c) if necessary, further clarify the institutional arrangements to undertake this activity.

2.1.2 Activity-2

Study the impacts of climate change on the microclimates of the Aral Sea, mountain and desert biosystems and adapt relevant methodologies to assess the vulnerability of these systems to potential climate change.

2.1.3 Activity-3

Publish the results of the studies.

3. Immediate Objective-3

Undertake a national inventory of greenhouse gases following the latest IPCC methodology and guidelines; adopted by the CoP for the preparation of national communications of non-Annex I countries, and, to the extent feasible, establish a permanent mechanism to regularly update the inventory; and contribute on the overall development of the IPCC methodology. Build on the existing preliminary data base and inventory and make it more comprehensive for national communication.

3.1 Output-1

A data collection and management system to provide the basic statistical data, for the inventory and trained staff to maintain and regularly update this database.

3.1.1 Activity-1

Organise a national training/coordination workshop to:

- a) take stock on and discuss the lessons learnt from other ongoing or already finalised national or international activities relevant to the issue;
- b) present the IPCC inventory methodology and the guidelines adopted by the CoP for the inventories of non-Annex I countries; and
- c) discuss the available methods, tools and institutional arrangements to collect and manage the basic statistical and other data needed for the inventory.

3.1.2 Activity-2

Identify the existing data gaps with respect to the latest IPCC methodology and the guidelines adopted by the CoP, evaluate the reliability of the data, and prepare a strategy or undertake specific studies to fill the data gaps or enhance reliability of the data up to the level needed in the inventory.

3.1.3 Activity 3

Establish a data collection and management system to provide the basic statistical data, for the inventory, and train the staff to maintain and regularly update this database (might contact "US Country Study Team for testing computer programmes and models in Eastern and Central European countries with Economies in Transition").

3.2 Output-2

A completed national inventory of anthropogenic greenhouse gas emissions by sources and removals by sinks using the latest IPCC methodology and guidelines.

3.2.1 Activity-1

Undertake and finalize the inventory using the IPCC methodology and guidelines adopted by the CoP.

4. Immediate Objective-4

To build capacity, develop tools and undertake studies to provide relevant information for the formation of a national greenhouse gas mitigation strategy.

4.1 Output-1

Adequate methods and computer models to estimate future greenhouse gas emission trends and different options to mitigate these emissions in Uzbekistan.

4.1.1 Activity-1

Organize a workshop to present different methods and tools for a mitigation analysis (like MARKAL, LEAP etc.) and clarify challenges and opportunities of such an analysis for the relevant institutions in Uzbekistan; not only from the viewpoint of mitigation of greenhouse gases but also related to the general planning and development processes currently underway in the country.

4.2. Output-2

Estimations on future greenhouse gas emission trends and options to mitigate these emissions.

4.2.1. Activity 1

Select adequate methods and computer "software" to estimate future greenhouse gas emission trends and different options to mitigate these emissions in Uzbekistan.

4.3 Output-3

Organized and trained project staff to undertake the mitigation analysis and to provide necessary background information for the analysis.

4.3.1 Activity-1

Establish a research group consisting of representatives from the relevant institutions to undertake the mitigation analysis and/or provide essential background information for the analysis, and train the group to use the selected tools. Relevant fields are energy production and end use in industrial and residential sectors, transport, agriculture, forestry and waste treatment.

4.3.2 Activity-2

Build capacity in the research institutes and NGOs working with alternative energy sources, energy efficiency, advanced agricultural practices or carbon sinks, to make preliminary feasibility studies and cost analyses of different options (covering also the regulatory and legislative framework, tariff and fiscal policies, tax incentives etc.), in order to provide the essential background information for the mitigation analysis and formulation of a national greenhouse gas mitigation strategy.

4.4 Output-4

Background information for the mitigation analysis.

4.4.1 Activity-1

Undertake selected studies to provide the essential background information for the mitigation analysis and formulation of a national greenhouse gas mitigation strategy.

4.5 Output-5

Mitigation analysis and draft proposal to implement the most promising mitigation measures.

4.5.1 Activity-1

Undertake a mitigation analysis using the selected tools and collected background information, in order to construct a series of different climate change mitigation scenarios, evaluate their consistency with the general development goals of Uzbekistan and prepare a draft proposal to implement the most promising mitigation measures.

5. Immediate Objective-5

Based on an understanding of climate change phenomenon and the vulnerability of Uzbekistan to climate change, develop an adaptation strategy using methodologies applied in the US “Country Study” Programme and UNEP country case studies.

5.1 Output-1

An appropriate methodology for Adaptation Analysis for Uzbekistan.

5.1.1 Activity-1

Evaluate the US “Country Study” Programme and UNEP country case studies methodologies and adaptation and decide on an appropriate method for Uzbekistan.

5.2 Output-2

A national adaptation strategy.

5.2.1 Activity-1

Apply the selected methodology to assess adaptation opportunities and needs for Uzbekistan in different ecosystems and socio-economic systems.

5.2.2 Activity-2

Identify a set of possible adaptation measures.

5.2.3 Activity-3

Develop an adaptation strategy.

6. Immediate Objective-6

Formulate a national strategy on the reduction of greenhouse gas emissions.

6.1 Output-1

A national strategy on the mitigation of greenhouse gas emissions.

6.1.1 Activity-1

Organize a workshop (with wide local participation and relevant international partners) to present the results of the mitigation analysis, together with the results or status of other ongoing national projects relevant to the issue and to discuss the results with the objective of formulating a national strategy on the mitigation of greenhouse gas emissions.

6.1.2 Activity-2

In cooperation with the different ministries and institutions, formulate a national strategy on the mitigation of greenhouse gas emissions.

7. Immediate Objective-7

To disseminate the project results to the relevant local and international partners.

7.1. Output-1

Dissemination of project results to local and international partners

7.1.1. Activity-1

Organise the circulation of the project results to the relevant local and international partners.

8. Immediate Objective-8

To prepare the first national communication of Uzbekistan to the Conference of the Parties.

8.1 Output-1

The first national communication of Uzbekistan to the Conference of the Parties.

8.1.1 Activity-1

Using the outputs of this project and other on-going projects, prepare the national communication and translate it into English.

E. INPUTS

UNDP Country Office, at the request and in full consultation with the Government, will provide the goods and services under all budget lines.

	<u>Total \$</u>
GEF:	325,500
a) Personnel	54,500
b) Official Travel	33,000
c) Subcontracts	140,000
d) Training (workshops)	35,000
e) Equipment	30,000
f) Miscellaneous	33,000

F. RISKS

The crucial element of fulfilling the objectives of the project will be close collaboration between the different ministries and departments at the institutional level, as well as collaboration of the project personnel at the individual level with the project support staff paid by the government. The project will respond to these issues by creating these links through the Project Steering Committee, and ensuring that other presuppositions for close collaboration of the project personnel with each other and with other staff and partners exist. Wherever higher level policy input is required the Chief Technical Advisor will work closely with NCPCC for better cooperation.

Another crucial element is international collaboration, especially when preparing the work plan for and implementing the research oriented activities under Immediate Objectives 3, 4 and 5. During this process, IPCC and UNEP will be consulted to ensure that the methods and details of the subjects are also relevant from a global point of view.

The scientific and technical human capacity to implement the project should not be a problem since the level of education in Uzbekistan is very high and there are qualified local experts to undertake most of the tasks under the project. The integration will be achieved through close interaction of the research teams, coordination unit PSC and NCPCC.

G. PRIOR OBLIGATIONS AND PREREQUISITES

a. Prior Obligations

Uzbekistan approved the UN Framework Convention on Climate Change on 20 June 1993 and it entered into force on 21 March 1994. As stated in the article 12, paragraph 5 of the Convention, each Party not listed in Annex 1 shall make their initial communication within three years of the entry into force of the Convention for that Party. Thus the National Communication of Uzbekistan will be due in March 1997.

The National Committee of the Republic of Uzbekistan on the Problems of Climate Change (NCRUPCC) (described in A-2.1), established in 1995, committed to institutionalize climate change in the national policy-frame.

Further, a request for a GEF enabling activity to fulfill the commitments of Uzbekistan to the UN Framework Convention on Climate Change was sent to UNDP at the end of 1994 and further discussion were held in New York during the INC meeting in February 1995. With respect to this request, a mission to Uzbekistan was undertaken in July 1995, in order to organize a joint meeting with the relevant local partners and prepare a project brief for submission to the GEF Council Meeting.

Subsequently in May-June 1996 UNDP fielded a preparatory mission to Uzbekistan to prepare a project brief in close cooperation with local counterparts. The preparatory mission assisted in provisional identification of the project manager, four team leaders, chief technical advisor and key participating institutions. Further, at the end of the mission a round table was organized where the objective for the four component study, the urgent need for development of national

communication was emphasized. All key institutions, key actors and researchers appreciated the need for integration and close cooperation between teams and between each team and the information/documentation centre. Further the participants from over 12 ministries and four institutions committed themselves to this project and appreciated the urgency to concentrate efforts to meet the challenges of developing a national communication for COP 3, 1997.

There are no other ongoing or planned projects to assist the Government of Uzbekistan to fulfill its commitments to the UNFCCC. Thus, UNDP expects that the Government of Uzbekistan will meet its commitments in facilitating the UNDP/GEF activities as specified in this Project Document.

b. Prerequisites

The Government of Uzbekistan will allocate the necessary funds in the national budget to support the Project Steering Committee and the relevant ministries and institutes in their role of facilitating the implementation of the UNDP/GEF project activities through:

1. Availability of data to the project staff and consultants as may be required for the implementation of project activities and the realization of the project objectives.
2. Availability of qualified national experts and consultants to participate in the project activities.
3. Designation of qualified counterparts to the project staff from the relevant ministries, departments and centres during the duration of the project.
4. Approval of the Project Steering Committee as the main body to guide the implementation of project activities.

The Project Document will be signed by UNDP, and UNDP/GEF assistance to the project will be provided only if the prerequisites stipulated above have been fulfilled or are likely to be fulfilled. When anticipated fulfillment of one or more prerequisites fails to materialize, UNDP may, at its discretion, either suspend or terminate its assistance.

H. PROJECT REVIEW, REPORTING AND EVALUATION

- a. The project shall be subjected to joint review by the PSC and UNDP at least once every 12 months, the first such meeting to be held within the first 12 months of the start of full implementation. The Project Manager shall prepare and submit to each review meeting a Project Performance Evaluation Report (PPER). Additional PPER may be required, if necessary, during the project.
- b. A project terminal report will be prepared for consideration at the terminal review meeting. It shall be prepared in draft sufficiently in advance to allow review and clearance by the PSC and UNDP at least four months prior to the terminal review.

I. LEGAL CONTEXT

This project shall be the instrument referred to as such in Article 1 of the Standard Basic Assistance Agreement between the **Government of Uzbekistan** and the United Nations Development Programme, signed by the Parties on 8 March 1995. The host country implementing agency shall, for the purpose of the Standard Basic Assistance Agreement, refer to the government cooperating agency described in that agreement.

The following types of revisions may be made to this project document with the signature of the UNDP Resident Representative only, provided he or she is assured that the other signatories of the project document have no objections to the proposed changes:

- a. Revisions in, or addition of, any of the annexes of the project document;
- b. Revisions which do not involve significant changes in the immediate objectives, outputs or activities of a project, but are caused by rearrangement of inputs 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.

**UNITED NATIONS DEVELOPMENT PROGRAMME
GLOBAL ENVIRONMENT FACILITY**

PROJECT DOCUMENT

Number and title: UZB/95/G31/A/1G/99
Uzbekistan Country Study on Climate Change

Duration: Twenty months

Project Site: Tashkent, Uzbekistan

ACC/UNDP Sector and Subsector: Environment: (200)

GEF Theme: Climate Change

Government Implementing Agency: Main Administration of Hydrometeorology at the Cabinet of Ministers, Department of Environmental Pollution Monitoring

Estimated Starting Date: January 1997

Brief Description: This nationally-executed project builds capacity in Uzbekistan to fulfill its commitments to the UN Framework Convention on Climate Change (UNFCCC) and to respond to the objectives of the Convention on a continuing basis. The elements of the project consist of (a) preparation of the first National Communication of Uzbekistan to the Conference of Parties in accordance with Article 12 of the UNFCCC. The Communication will consist of an inventory of greenhouse gases in 1990 made in accordance with the IPCC guidelines, material for calculation of emission trends, a general description of available or envisaged mitigation options, an assessment of Uzbekistan vulnerability to climate change, and a general description of available or envisaged adaptation options; (b) enhancement of general awareness and knowledge among the Government planners on climate change related issues, and subsequent incorporation of such issues into general development plans of various sectors; (c) development of an institutional mechanism/framework to strengthen the dialogue, information exchange and cooperation among Governmental, NGOs, academic, private and grassroots sectors; and (d) identification of projects related to climate change and mitigation greenhouse gases.

On behalf of:	Signature	Date	Name/Title
Government of Uzbekistan:	_____	_____	_____
Executing Agency:	_____	_____	_____
UNDP:	_____	_____	_____

J. BUDGET: UNDP CONTRIBUTION

Budget	Description	Total		1997		1998	
		m/m	\$	m/m	\$	m/m	\$
10.00	Project Personnel						
11.00	International Experts						
11.01	International Consultants	1.5	23000	1	15000	0.5	8000
	Sub Total		23000		15000		8000
15.00	Expert Official Travel						
15.01	Expert Official Travel		33000		18000		15000
	Sub Total		33000		18000		15000
16.00	Mission Costs						
16.01	Mission Costs		15000		7500		7500
	Sub Total		15000		7500		7500
17.00	National Professionals						
17.01	National Project Manager	24	9600	13	5200	11	4400
17.02	National Finance officer	14	4900	10	3500	4	1400
17.03	National Experts	4	2000	2	1000	2	1000
	Sub Total		16500		9700		6800
19.00	COMPONENT TOTAL		87500		50200		37300
21.00	Subcontracts						
21.01	Inventory (energy sector)		20000		15000		5000
21.02	Inventory (non-energy sector)		30000		15000		15000
21.03	Mit. Analysis & Strategy		40000		15000		25000
21.04	Vulnerability Assessment and Adaptation		50000		25000		25000
29.00	COMPONENT TOTAL		140000		70000		70000
30.00	Training						
32.01	Project Initiation Workshop		10000		10000		
32.02	Inventory Workshop		5000		5000		
32.03	Mitigation Analysis Workshop		5000		5000		
32.04	V & A Workshop		5000		5000		
32.05	National Strategy Workshop		10000				10000
39.00	COMPONENT TOTAL		35000		25000		10000
40.00	Equipment						
41.00	Equipment (computers and other office supply, networking)		30000		30000		
49.00	COMPONENT TOTAL		30000		30000		
50.00	Miscellaneous						
51.00	Operational (inc. Internet)		15000		9000		6000
52.00	Publication Costs		5000				5000
53.00	Sundry		3520		2020		1500
54.00	Project Support Services (38)		9480		5480		4000
59.00	COMPONENT TOTAL		33000		16500		16500
	GRAND TOTAL		325500		191700		133800

<p>Output 1.4 Info on relevant issues <u>Activities:</u> 1.4.1 Create links to int'l information 1.4.2 Identify partners for cooperation 1.4.3 Develop regional exchange</p>	<p>PM PM/PSC PM/PSC</p>
<p>Output 2.1. Studies on impacts of climate change <u>Activities:</u> 2.1.1 Organise workshop 2.1.2 Study microclimate/biosystems as indicators of climate change 2.1.3 Publish results</p>	<p>PM PM/NC PM</p>
<p>Output 3.1 A data collection and management system and trained staff <u>Activities:</u> 3.1.1 National coordination/training workshop 3.1.2 Identification of data gaps 3.1.3 Establish data collection/mgmt system and train staff on maintenance of system</p>	<p>PM PM/NC PM</p>
<p>Output 3.2 A completed national inventory of GHG emissions <u>Activities:</u> 3.2.1 Undertake and finalise inventory</p>	<p>PM</p>

<p><u>Output 4.1</u> Selection of methods/computer models for mitigation analysis <u>Activities:</u> 4.1.1 National coordination/training workshop</p>	<p>PM</p>																																																																																																																																																																																																																																																					
<p><u>Output 4.2</u> Estimate future GHG emissions <u>Activities:</u> 4.2.1 Select methods to estimate future emissions</p>	<p>PM/NC</p>																																																																																																																																																																																																																																																					

<p>Output 5.1 Methodology for Adaptation Analysis <u>Activities:</u> 5.1.1 Evaluate US Country Study and UNEP Adaptation methodologies</p>	<p>PM/NC</p>											
<p>Output 5.2 National adaptation strategy <u>Activities:</u> 5.2.1 Assess adaptation opportunities 5.2.2 Identify adaptation measures 5.2.3 Develop adaptation strategy</p>	<p>PM/NC PM/NC PM/NC</p>											
<p>Output 6.1 A national strategy on mitigation of GHG emissions <u>Activities:</u> 6.1.1 Workshop 6.1.2 Formulate national strategy</p>	<p>PM PM/NC/PSC</p>											
<p>Output 7.1 Dissemination of project results to local/int'l partners <u>Activities:</u> 7.1.1 Circulate results to local and international partners</p>	<p>PM</p>											

ANNEX II**SCHEDULE OF PROJECT REVIEWS, REPORTING AND EVALUATION***

Project Starting Date:	1 January 1997
<i>Description</i>	<i>Date</i>
1. Inception report	1 June 1997
2. Project Performance Evaluation Report (PPER)	1 September 1997
3. Tripartite Performance Report (TPR)	1 November 1997
4. Terminal Report	1 June 1998
5. Terminal TPR	1 August 1998

* The National Project Manager will prepare the details at the outset of project operations.

ANNEX III (1)

TERMS OF REFERENCE PROJECT MANAGER

Duties: The Project Manager (PM) is responsible for managing the UNDP/GEF project activities in consultation with the Project Steering Committee (PSC). His/her duties are:

- to coordinate with the PSC in managing the project and implementation of its activities, and coordinate all activities implemented by the national experts and consultants, and the international consultant to ensure smooth and timely execution of project activities;
- to liaise with the representatives of international organizations such as the World Bank and the European Union TACIS in order to identify their development programmes in the country and coordinate the complementary activities, especially those related to energy efficiency and computer models; this cooperation may provide the project staff with technical assistance, and link the project to international sources for future funding;
- to liaise with the relevant ministries, institutes and local civil society organizations (CSOs, or NGOs) in order to include their staff in the project activities, particularly those related to training and capacity building, and coordinate their activities with those of the project's national experts to ensure maximum attainment of project experts;
- to prepare, within the first two months of the starting of project operation, the detailed work plan (Inception Report) of planned activities with the assistance of international consultant, PSC members and national experts;
- to interview and hire local experts, consultants and assistant administrative officers in full consultation with the PSC;
- to organize local training programmes as needed, and actively participate in these programmes;
- to prepare lists of equipment for the project in consultation with international consultant, and coordinate the installation of these equipment;
- to prepare the periodic progress reports of the project in accordance with UNDP regulations;
- to control the local expenditures of the project according to the project budget, and prepare periodic budget revisions with the help of UNDP Admin. Officer in Tashkent;

Duty Station: The duty station is in Tashkent, the Capital of Uzbekistan, with office facilities provided by the Ministry of Nature and Environmental Protection; the assignment also involves extensive travel throughout the country with project staff as dictated by the nature of the activities.

Qualifications: The National Project Manager must have an advanced degree (at least M.S. or equivalent) in a discipline related to natural resources or environmental management (such as engineering, natural sciences, social science, agriculture). He/she must have a minimum of 10 years of experience, preferably in environmental management. A working knowledge of English is considered as a plus.

ANNEX III (2)

TERMS OF REFERENCE NATIONAL EXPERTS

Duties

The national experts will be identified in cooperation with the Project Steering Committee (PSC), Project Manager and UNDP and approved by the PSC. Their specialties are in five major relevant sectors, including (i) communications (Internet, etc.), (ii) climate change (impact/vulnerability assessment), (iii) greenhouse gas inventories and data management; and (iv) mitigation of greenhouse gases (energy planning, energy efficiency, renewable energy sources, reforestation). To facilitate the implementation of project activities, these experts will be assigned to four research teams, each with a team leader. The four research teams are (1) Information gathering/communications; (2) Impact/vulnerability studies; (3) Greenhouse gas inventories and data management; and (4) Mitigation analysis and mitigation strategy.

Beside being responsible of the specific activities defined for each expert in their individual Terms of Reference, each expert will have the following duties:

- to assist the Project Manager (PM) in managing the UNDP/GEF project and in coordinated implementation of its activities by cooperating with other experts and national and international consultants;
- to assist the PM in the identification and involvement of local NGOs and research institutes in the activities related to climate change, energy and mitigation strategy of greenhouse gas emissions, and assist in coordination of the relevant project activities with those of the local NGOs and research institutes.
- to assist the PM, and actively participate, in the local training programmes (seminars, workshops);
- to accompany the PM (and team leader when necessary) on field trips as directed;
- to assist the PM to prepare the periodic progress reports, and a terminal report in accordance with UNDP procedures;

Duty Station:

The duty station is in Tashkent, the Capital of Uzbekistan, with office facilities provided by the Department of Hydrometeorology when necessary; the assignment might also involve some travel as dictated by the Project Manager.

Qualifications

The national experts must have an advanced degree (at least M.S. or equivalent) in a discipline related to the project activities. He/she must have a sufficient working experience (determined

in detail in each individual Terms of Reference), preferably in environmental management, energy planning and utilization, computer models and/or communications.

ANNEX III (3)

TERMS OF REFERENCE

CHIEF TECHNICAL ADVISOR

Duties:

The Chief Technical Advisor is responsible for giving advice to the Project Manager (PM) and the PSC, liaising with the National Committee of Republic of Uzbekistan for the Problems of Climate Change (NCPUPCC). He is expected to give part time input in the project.

His/Her duties are:

- to advise the PM, PSC and research teams on technical matters,
- to ensure participation of appropriate experts from selected government ministries, agencies, research institutes,
- to liaise with NCRUPCC and give them input from the technical teams,
- to ensure that the civil society and NGO representatives are capable of giving effective input into the PSC and technical teams,
- to undertake field visit, regional travel as the project requires.

Duty Station:

Duty Station will be Tashkent at the project office located at the Glavidromet.

Qualifications:

The Chief Technical Advisor project have an advanced degree (at least M.S. or equivalent) in a discipline related to project activities. He/She must have at least 20 years experience with at least five years experience in Senior management position and knowledge of government institutions.

ANNEX III (4)

TERMS OF REFERENCE INTERNATIONAL CONSULTANTS

Duties:

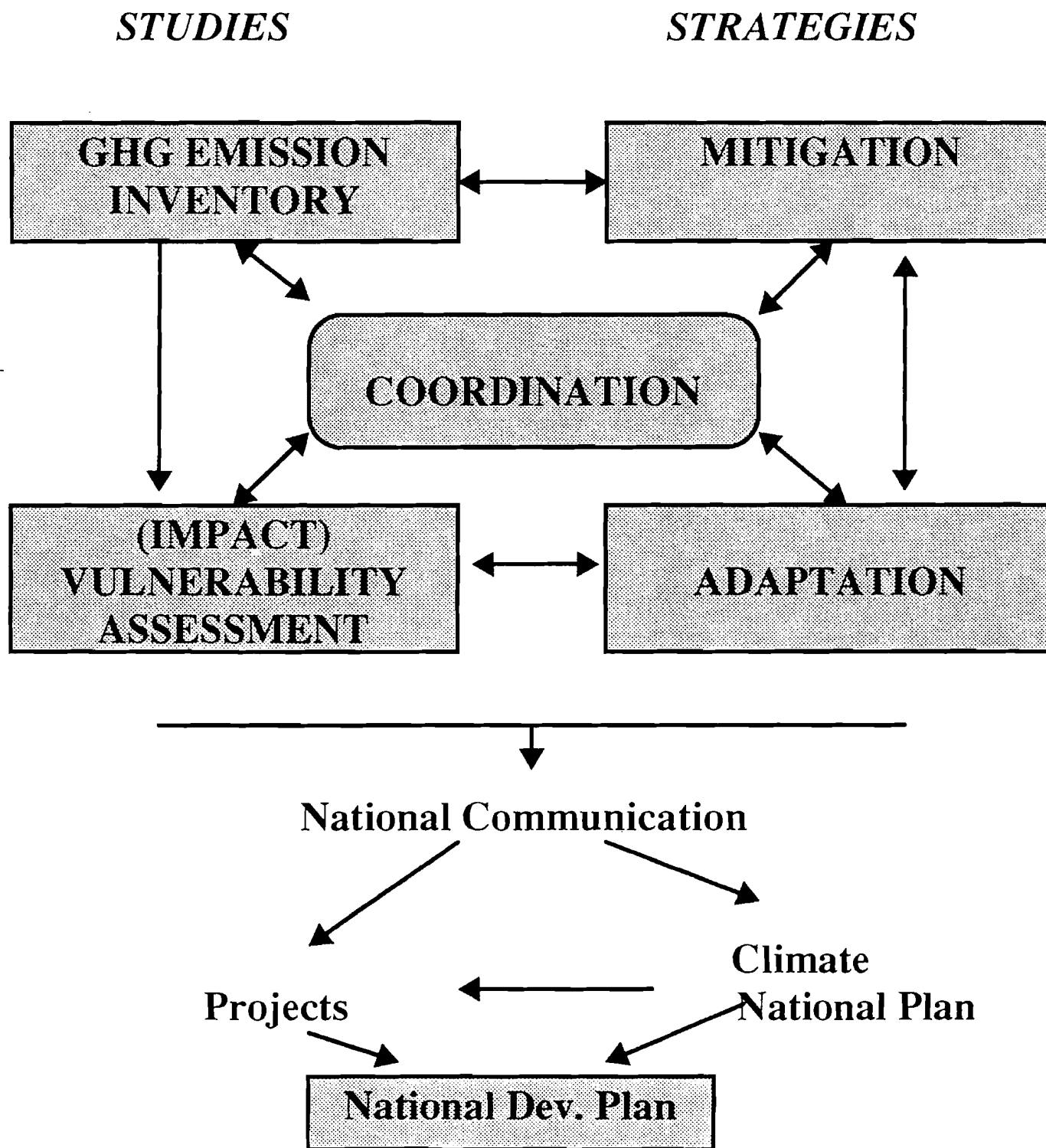
The main task of the consultant(s) will be to assist the project manager and the research teams through the critical stages of the implementation of the project.

His/her specific tasks will include:

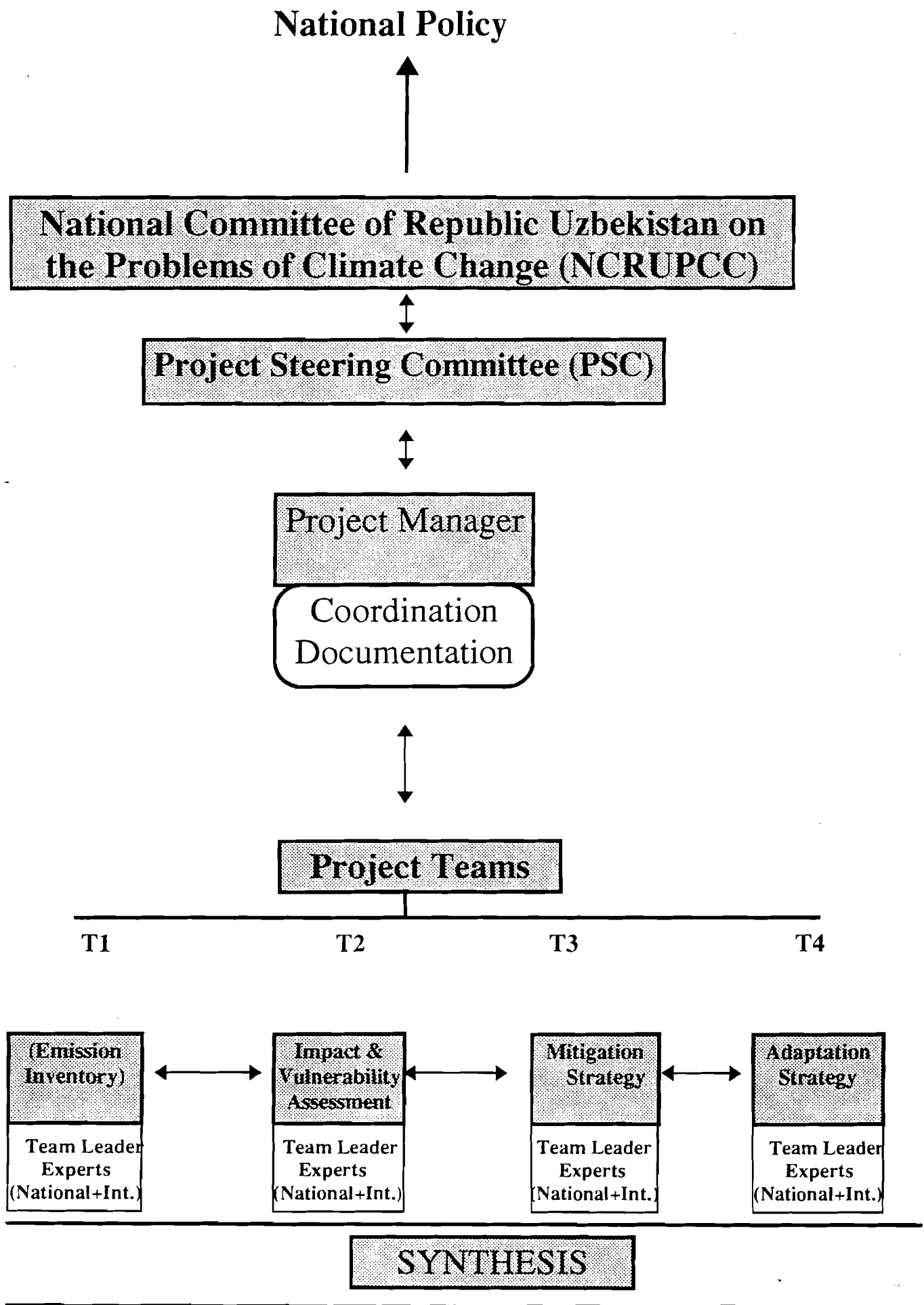
- assist the project manager in the: (i) organisation of the project initiation workshop; (ii) preparation of a detailed work plan for the project; (iii) preparation of Terms of Reference for national experts and institutes and (iv) identification of potential international partners;
- assist in organizing the training/coordination workshops for each of the substance areas; and
- provide support for the research teams in adapting and applying the existing international methodologies to undertake the specific studies needed to prepare the national communication for Uzbekistan (such as inventory, mitigation analysis, vulnerability assessment and adaptation analysis).

Qualifications:

The consultant must have an advanced degree in a discipline related to the project activities. He/she must have sufficient science and international experience, preferably in environmental management, energy planning and utilisation, computer models and/or communications.



Schematic Representation of GEF-UNDP Enabling Activity and Capacity Building in Climate Change in Uzbekistan : Project Components



Schematic Representation of GEF-UNDP Enabling Activity and Capacity Building in Climate Change in Uzbekistan : Institutional Framework

ANNEX V . GLOSSARY

ABATEMENT

The terms abatement refers to activities undertaken to reduce the emission of greenhouse gases into the atmosphere. Abatement measures are a subset of mitigation activities, the other main mitigation measure being sink enhancement.

ADAPTATION

Adaptation activities are measures undertaken to reduce vulnerability and to moderate the adverse effects of environmental impacts, for example climate change. In the context of climate change, decision 11/CP.1 of the COP identifies three stages in the adaptation process:

Stage I is predominantly concerned with vulnerability studies and the assessment of available adaptation options. It also envisages initial measures to build adaptive capacity. Stage 1 adaptation may be incorporated into, and become part of a country's national communication. Where this is the case, State I measures are eligible for GEF funding.

Stages II and III include the medium and long term adaptation measures envisaged in Articles 4.1(b) and 4.1(e) of the FCCC. Stage II and III activities are not yet eligible for funding under the Convention.

CAPACITY BUILDING

The term capacity building refers to a wide range of measures relevant not only to global environment issues but to development activities in general. Capacity building may be defined as the process of creating or enhancing indigenous capabilities to perform specific tasks on an on-going basis in order to attain a given development objective. Among others, the following three aspects are often stressed:

- (a) human resource development (training, education),
- (b) institutional strengthening (improve organizational methods, administrative procedures); and
- (c) creation of a receptive environments (increase public awareness, create regulations and socio-interactive processes conducive to development).

COUNTRY STUDIES

The development of country studies is one example of an enabling activity. Country studies have been sponsored by several bodies, including GEF and bilateral agencies. Studies usually aim at enhancing the capability of a country to formulate its national communication and/or to develop a national strategy to deal with climate change in the longer term, e.g. by assisting in the development of an emission inventory or the assessment of mitigation options.

EMISSION INVENTORIES

A national emission inventory is one of the key elements of a national communication. An

inventory is expected to cover all anthropogenic greenhouse gas emissions not controlled by the Montreal Protocol, listed by sources and sinks. The IPCC and the OECD have established a standard format and procedure to perform this task.

ENABLING ACTIVITIES

In the context of climate change, enabling activities were defined by the a COP as those measures that facilitate the implementation of response measures in accordance with the FCCC (decision 11/CP.1). Enabling activities in developing country parties are a program priority and eligible for funding under the Convention. Measures include:

- (a) planning; and
- (b) capacity building measures such as
 - (i) institutional strengthening,
 - (ii) training,
 - (iii) research,
 - (iv) education,

which help countries to implement the Convention.

MITIGATION

Activities which aim at a reduction of the net amount of greenhouse gases released into the atmosphere, and thus help slowing down the process of anthropogenic climate change, are called mitigation measures. They include both emission abatement and sink enhancement, and cover all greenhouse gases, as well as all economic sectors and activities where emissions occur. Mitigation measures undertaken in developing countries are eligible for incremental cost funding under the FCCC.

NATIONAL COMMUNICATIONS

The FCCC requires each Party to communicate to the COP information relevant to the achievement of the objective of the FCCC (Art. 4.1(j) and Art. 12). While recognizing the differentiated responsibilities of different countries, communications are expected to contain the following elements (A/AC.237/55. annex I):

- (a) a national inventory of emissions and sinks;
- (b) if feasible, material relevant for the calculation of emission trends;
- (c) a general description of available or envisaged mitigation options;
- (d) a general description of available or envisaged adaptation options;
- (e) an assessment of the country's vulnerability to climate change;
- (f) a description and assessment of measures adopted to implement the FCCC (Annex 1 countries only); and
- (g) any other relevant information.

Communications of Annex 1 countries are the within 6 months of the entry into force of the FCCC (countries with economies in transition are granted 'a certain degree of flexibility'). Least developed countries may make their initial communication at their discretion. The

communications of all other countries are due within 3 years of the entry into force of the Convention for the country, or within 3 years of the availability of financial resources in accordance with Article 4.3. Non-Annex 1 countries are eligible for full-cost funding under the Convention.

NATIONAL PLAN

Prior, or parallel to the formulation of the national communication, a national strategy may be developed which sets out in detail how a country intends to achieve the objective of the FCCC, which mitigation and adaptation options it has available, how and when they are best implemented, and so on. Ideally, the development of a national strategy will result in a program of climate change projects, to be subsequently implemented, with appropriate support through the Convention as and when applicable.

SINK ENHANCEMENT

Sink enhancement measures aim at the protection or expansion of forests and other natural systems that are capable of storing carbon and thus reduce the net emission rate of CO₂ into the atmosphere.

VULNERABILITY ASSESSMENT

Part of stage-I adaptation, a vulnerability assessment analyzes the potential impacts of climate change on a country or region in one or several sectors (e.g., impact on agriculture, on coastal zones, etc.).

ANNEX VI

List of Institutions and Agencies which will take part in the Implementation of the Project

1. State Committee on forecasting and statistics of the Cabinet of Ministers (Goskomprognozstat)
2. Main Administration on Hydrometeorology at the Cabinet of Ministers (Glavgidromet)
3. State Committee on Nature Protection of the Cabinet of Ministers (Goscompriroda)
4. Academy of Sciences
5. Academy of Agriculture Sciences
6. Ministry of Energy and Electrification
7. Ministry of Melioration and Water Economy
8. Ministry of Agriculture
9. Ministry of Health
10. Ministry of Municipal Service
11. State Joint-Stock Company "Uzavtodor"
12. Association "Uzchimprom"
13. State Joint-Stock Concern "Uzavtotrans"
14. State Joint-Stock Railway Company "Uzbekiston Temir Uillari"
15. National Business Corporation "Uzbekneftegas"
16. National Aviation Company "Uzbekiston Khavoi Uillari"
17. State Joint-Stock Company "Coal" (Ugol)

ANNEX VII

Project Budget According to GEF Activity Norms in US Dollars

	Output (Planning & Execution)	Institutional Strengthening	Training	Technical & Admin. Support	Total Cost
<u>Inventory/Stocktaking</u>					
-Greenhouse gas inventory	44,500	10,000	10,000	8,000	72,500
-Vulnerability assessment	15,000	10,000	10,000	5,000	40,000
<u>Identification of Options</u>					
-Mitigation options	20,000	5,000	10,000	5,000	40,000
-Stage I adaptation	20,000	5,000	10,000	5,000	40,000
<u>Preparation of Plan</u>	25,000	5,000	10,000		40,000
<u>Preparation of National Communication</u>	10,000	5,000	5,000		20,000
<u>Fixed Project Costs</u>					
-Project management	20,500	15,000	13,000	9,500	58,000
-Monitoring/Evaluation	15,000				15,000
TOTAL COST	170,000	55,000	68,000	32,500	325,500
Percentage of total budget	52%	17%	21%	10%	100%

Ўзбекистон Республикасининг
Бирлашган Миллатлар Ташкилотидagi Доими
Ваколатхонаси, Нью-Йорк шаҳри



Republic of Uzbekistan
Permanent Mission to the United Nations
New York

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PHONE: 212-486-7570 FAX: 212-486-7998

U15966/95/09
18 September, 1995

United Nations
Development Programme
Mrs. A. Roncerel

Dear Mrs. Roncerel,

It's a pleasure for me to send you herewith a letter of the Prime-minister of the Republic of Uzbekistan Mr. I. Djurabekov, addressed to Mr. Mokhamed El Ashr, recieved from Tashkent by fax.

The original letter will be transmited to you as soon as we recieve it. We kindly ask you to convey the latter to the addressee.

My best regards,

A. Vohidov

Counsellor

RECEIVED RDEC REGISTRY	
SEP 19 1995	
FILE REF: _____	
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INITIALS _____	

ANNEX 2

ЎЗБЕКИСТОН RESPUBLIKASI
BAZIRLAR MAQKAMASI



Page: 14
KABINAT MINISTROV
RESPUBLIKI UZBEKISTAN

Тошкент ш.

г. Ташкент

Жавоб қайтарганда шу № қўрсатилган
При ответа ссылаться на

№ II/II7-30

7

августа 1996 г.

Секретариат Глобального
экологического фонда

г-ну Мохаммеду Эль Лару

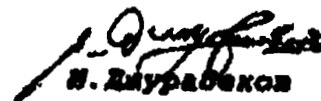
копия: Координатору ПРООН
г-же Анни Ромберел

Уважаемый господин Мохаммед Эль Лар

Правительство Республики Узбекистан свидетельствует свое глубокое уважение и полностью поддерживает усилия Глобального экологического фонда, направленные на выполнение проекта "Узбекистан - изучение страны по изменению климата".

Правительство Республики Узбекистан удостоверяет, что результаты выполнения проекта будут использованы при подготовке первого Национального сообщения Республики Узбекистан для Конференции Сторон Рамочной конвенции ООН об изменении климата.

Большую надежду, чтобы выразить руководству Глобального экологического фонда свое искреннее уважение.


N. Дурабеков

Первый заместитель Премьер-министра
Республики Узбекистан

ANNEX 2 cont'd

UNofficial translation

Page: 15

The Secretariat of Global
Ecological Fund
Mr. Mokhamed El Ashr

Copy : Mrs Ann Roncerel -
Coordinator of UNDP

Dear mr. Mokhamed El Ashr,

The Government of the Republic of Uzbekistan presents its compliments and fully supports the efforts of the Global Ecological Fund, aimed at the fulfillment of the project "Uzbekistan - the country to study the change of the climate".

The Government of the Republic of Uzbekistan certifies that the results of the fulfillment of the project will be used in the work to prepare the First National report of the Republic of Uzbekistan to the Conference of the Parties of the UN Frame Convention on the change of the climate.

I avail myself of this opportunity to express to the leadership of the Global Ecological Fund my sincere respect.

I. Djurabekov
First deputy Prime-minister
of Republic of Uzbekistan

END