

PROJECT PROPOSAL

PROJECT TITLE: Dam safety in Central Asia: Capacity building for regional cooperation (phase II: 2007- 2009)

EXPECTED ACCOMPLISHMENT: Strengthened national capacities and an emerged regional framework for cooperation on dam safety in Central Asia.

PARTICIPATING COUNTRIES: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan

TARGET GROUP: Government agencies dealing with the safety of dams and other large hydraulic structures

TENTATIVE TIME FRAME: 1 September 2007 – 31 August 2010

PROJECT BUDGET: Euro 300,000

DONOR: The Government of Finland

A. Problem Analysis

In Central Asia, in spite of a significant number of ageing and inadequately maintained large dams, the countries of the region, with the exception of Uzbekistan, presently lack sufficient national institutional and legal frameworks for overseeing safety of their dams. There are also no established procedures for notification of co-basin countries in case of accidents or emergency situations with dams, many of which were built on transboundary rivers, crisscrossing the region, so a failure of a dam could have disastrous consequences in downstream densely populated regions and countries.

Effective national regulatory frameworks for dam safety and regional collaboration on dam safety are, therefore, critical for Central Asia. This was highlighted in the report “Strengthening cooperation for rational and efficient use of water and energy resources in Central Asia” (<http://www.unece.org/speca/energy/energy.htm>), prepared under the auspices of the United Nations Special Programme for the Economies of Central Asia (SPECA). Dam safety is one of the main directions in the SPECA work programme.

In recognition of this need, the project “Dam safety in Central Asia: capacity building for regional cooperation” was initiated in April 2006 with a major financial contribution from the Government of Finland and additional funding from other sources. The project’s Phase I, completed over nine months in the end of 2006, was aimed to prompt the countries concerned, firstly, to consider setting up or revising national dam safety regulatory frameworks to achieve their harmonization, and, secondly, to pursue regional cooperation for information exchange and notification in case of accidents or emergency situations with dams. The both aims have been achieved successfully.

The project has resulted in two major outcomes: (i) a model national law on safety of large hydraulic facilities, including dams, intended to be a base of national harmonized legal frameworks for dam safety and (ii) a draft of the regional agreement on cooperation on dam safety, which stipulates, *inter alia*, exchange of information and notification of other countries in case of accidents with dams. The Central Asian countries have reacted very positively to these developments by demonstrating their willingness to improve or revise the existing legal provisions and institutional modalities for dam safety. In Tajikistan and Turkmenistan, it has been decided to develop a national law on safety of hydraulic structures including dams by adapting the model law; in Kyrgyzstan, the creation of a national commission on safety of dams is underway; in Kazakhstan, some changes in the Water Code have been proposed in order to incorporate provisions for regulating dam safety. In Uzbekistan, the work has been underway to enforce the Law on safety of hydraulic structures, adopted in 1999. Furthermore, all the countries have expressed an interest in pursuing regional cooperation on dam safety by setting up a legal and institutional framework along the lines of the proposed regional agreement.

During the implementation of the project, national reports on the issues related to various aspects of safety of dams have been prepared for each country. Then, on the basis of these reports, a draft publication on dam safety in Central Asia has been compiled. The publication, covering the current national legal, institutional and financial modalities in the

area of dam safety as well as the existing cooperative arrangements in that sector, will also contain a list of large dams in the region, updated for the first time since the end of 1980s.

The progress in the implementation of the project and proposals for strengthening cooperation in the area of dam safety in Central Asia was discussed at the concluding project meeting held in Almaty, Kazakhstan, on 15-17 November 2006. The meeting was organized by UNECE jointly with the Executive Committee of the International Fund for Saving the Aral Sea (EC-IFAS). The participants of the meeting from all the five participating countries, have stated that the successful implementation of phase I of the project provides a solid foundation for developing further cooperation for securing dam safety in Central Asia and pledged to take appropriate action to this end. They have also requested the Government of Finland and other potential donors to provide support for advancing cooperation on dam safety in Central Asia.

The present project proposal build on the recommendations outlining major directions of work needed at the national and regional levels endorsed at that meeting and subsequent relevant discussions at the 14th session of the SPECA Project Working Group on Water and Energy Resources held in Almaty on 17 November 2006.

B. Strategy

The project will be implemented by the UNECE in collaboration with UNESCAP and with national partners/institutions nominated by CA countries. The contract for funding and project implementation will be concluded between the UNECE and the Finnish Ministry of Foreign Affairs.

The project is to be undertaken under the auspices of the SPECA PWG-Water/Energy, with guidance provided by UNECE as a contribution to the implementation of the SPECA Cooperation Strategy on Rational and Efficient Use of Water and Energy Resources in Central Asia.

In the implementation of the project, close collaboration will be continuing with EC-IFAS and its subsidiary bodies. Cooperation will also continue with the Eurasian Economic Community (EurAsEC).

C. Results Framework

Project Goal

Improved national dam safety legal and institutional frameworks as well as regional cooperation mechanisms on dam safety in Central Asia.

Outcome

The Governments of the Central Asian countries take appropriate steps to develop harmonized regulatory frameworks and sustainable dam safety cooperation within the region.

Outputs and Main Activities

Output A

The Governments of the participating countries have introduced or revised national regulatory frameworks for dam safety.

Activities A

- A1. Assist in adapting and tailoring the model law drafted under Phase I of the project to the legal and institutional frameworks in each of the interested countries.
- A2. Catalyze a process of considering the proposed national law prepared under A1 in each of the interested countries by using opportunities provided by UN SPECA, IFAS and EurAsEC.
- A3. Conduct an annual national meeting with the participation of all agencies and organizations dealing with dam safety in each of the interested countries in order to draw the attention of the Government, law making bodies and the public to the urgency of introducing a regulatory framework for dam safety.
- A4. Facilitate the harmonization of legal and institutional frameworks by supporting the exchange of experience and knowledge among the Central Asian countries as well between them and other countries with the developed regulatory framework for dam safety.
- A5. Contribute to the improvement of the technical capacity of national regulatory bodies for enforcing dam safety requirements by organizing appropriate national and regional training activities.

Output B

The Governments of the participating countries have set up a regional cooperative framework on dam safety and a sustained intraregional cooperation, including the introduction and maintenance of early warning systems for dam accidents.

Activities B

- B1. Conduct consultations with the countries concerned about the channels and operational modalities for initiating negotiations on the draft regional agreement on cooperation on dam safety, prepared under Phase I of the project.
- B2. Set up a group of experts nominated by their respective Governments to negotiate and finalize the proposed regional agreement on dam safety cooperation.
- B3. Support activities of the group of experts for the preparation of the regional agreement on dam safety cooperation by organizing meetings of the group as required, and providing the services of consultants, if needed.
- B4. Organize a regional high-level meeting(s) for initialing or signing the regional agreement on dam safety cooperation.
- B5. Provide support for drafting river basin-wide agreements on information exchange as well as the introduction and maintenance of early warning systems for

dam accidents within the framework of the regional agreement on dam safety cooperation.

B6. Assist in making a Regional Centre for Dam Safety, envisaged under the regional agreement on dam safety cooperation, operational.

Output C

The Governments of the participating countries have the necessary documentation and technical capacity for harmonizing technical regulations and procedures for the monitoring and evaluating of dam performance.

Activities C

C1. Set up a group of experts nominated by their respective Governments to work towards harmonizing technical regulations and procedures for the monitoring and evaluating of dam performance, reporting procedures and formats for dam inspection, dam safety criteria, etc.

C2. Support activities of the group of experts on harmonization of dam safety technical regulations and procedures by organizing annual meetings of the group as required, and providing the services of consultants, if needed.

C3. Assist in applying and disseminating the recommended procedures and techniques for the monitoring and evaluating of dam performance by organizing national and regional training activities and by encouraging the specialization of selected national centres for training in certain procedures and techniques.

C4. Provide support for the creation of a regional register of dams of interstate significance, containing technical data in the format agreed under C1 and C2.

C5. Support the participation of the Central Asian countries in the activities of the International Commission on Large Dams (ICOLD) to allow them to benefit from the world's pool of technical expertise provided by ICOLD.

Output D

The Governments of the participating countries have better access to potential sources of technical assistance for rehabilitation of dams and improvement of monitoring and early warning systems.

Activities D

D1. Facilitate contacts and communication between the countries of Central Asia and potential international and bilateral donors in order to seek technical assistance for rehabilitation of dams and improvement of monitoring and early warning systems.

D2. Assist in preparing technical documentation on selected dams of interstate significance that require rehabilitation for submission to potential donors.

Annually a work plan will be established for the project. A draft work plan for the first year can be found in Annex 2.

D Time frame

Phase II of the project is planned to be implemented over the period of three years from September 2007 to August 2010. It is envisaged that five national meetings (one in each participating country), a meeting each of the group on a regional agreement and the group on harmonization of technical regulations will be held each year. A concluding regional meeting will finalise the project. However, the number of meetings and subjects for discussion at the meetings could be changed depending on the progress in the project implementation.

E Project personnel

UNECE staff

UNECE staff will supervise project implementation and manage the finances of the project.

International Consultants

There will be two distinct roles of International Consultants:

1. A consultant will be hired totally one month working time annually to follow the process over the national meetings and regional technical meetings, and participate in the annual concluding regional meeting. His/her role will be to make sure that the work is following plans and that the strategic objectives are fulfilled in the project implementation. This consultant should have a long experience of project work in the water sector internationally and very good diplomatic skills.
2. One or several international consultants will be hired totally one month of work time annually to make specific interventions in the project, e.g. by drafting technical specifications related to the harmonization of technical regulations or be responsible for making background material for regional or national meetings. This consultant(s) should have a very strong technical profile in the sector of dam safety.

Local consultant

A local consultant will be hired half time to be responsible for organizing regional meetings and facilitating the organization of national meetings. The tasks of this consultant will be mainly process oriented, but he will also be responsible for certain outputs of the projects such as reports of the regional meetings.

The consultant should have a good network of contacts in the water sector in Central Asia, good organization and drafting skills.

F Inputs of Other Parties

Inputs of Participating Countries

Each participating country will nominate experts to participate in the project, provide the information required for project implementation and host a meeting(s) as required, and, in general, take sufficient action towards the achievement of the project goals.

Inputs by Collaborating Partners

The host organization, the Kazakhstan's branch of EC IFAS is expected to facilitate overall coordination within the Central Asian region for project implementation and provide conference facilities for regional meetings at no cost to the project. EurAsEC is expected to provide a high profile and political support for the project in its member-countries at no additional cost to the project.

Inputs by UNECE

Staff time and travel.

Annex 1: Indicative Annual Project Budget for 2007 (Euro)

Activity	Requested financing from the Finnish Government	Contribution from counterpart
Local Consultant	8,000	
International Consultants	9,000	
Regional meetings	32,000	5,000
National meetings	20,000	10,000
ECE missions	5,000	3,000
ECE staff time		8,000
Consultants' missions	7,000	
Regional Center	6,000	5,000
13% overhead	13,000	
Total	100,000	31,000

Annex 2: Draft work plan for the first year of the project

National meetings

The 5 national meetings could be held over September – October if they are scheduled in two clusters. First the meetings could be held in a row in Kazakhstan, Kyrgyzstan and Tajikistan, and then in Turkmenistan and Uzbekistan.

The countries for the first cluster could be selected on the basis of the availability of transport connections between them. In the first country the meeting could be held on Monday-Tuesday, Wednesday is for travel of consultants/international staff to the second country, where the meeting will be held on Thursday and Friday. Over a weekend consultants/international staff could move to the third country and the meeting there is to be held on Monday and Tuesday. Totally it would take 9 days (perhaps in September) to hold three meetings.

In the second cluster, the meeting in the first country could be held on Thursday and Friday, then over a weekend consultants/international staff will move to Uzbekistan for participating in their 1-day national meeting, which will be followed by a 2-day regional meeting.

At each national meeting a uniform agenda could include items such as:

- (i) introduction to phase II of the project

National level

- (ii) review of a national regulatory framework on dam safety (laws, regulations and mechanisms) - by a national official(s)
- (iii) introduction of a model national law on dam safety – by an international consultant
- (iv) discussion on appropriateness of adapting the model law for conditions of the host country or on revising and modifying the existing legal and institutional arrangements in line with the model law – by national officials and an international consultant

Regional level

- (v) introduction of a draft regional agreement on cooperation on dam safety – by an international consultant
- (vi) discussion on the proposed draft agreement – by national officials and an international consultant
- (vii) discussion on other possible cooperative activities, including harmonization of dam safety technical regulations and procedures, creation of a regional register of dams of interstate significance, setting up a regional centre, etc – by ?

Each country is expected to nominate an expert to participate in drafting the proposed regional agreement and another expert on harmonization of dam safety technical regulations. Those experts could be nominated in advance in response to a letter from ECE or they could be nominated at the respective national meetings.

Regional meeting

The regional meeting is planned to be held in Uzbekistan. The meeting agenda will include the following:

- (i) introduction to phase II of the project
- (ii) review of developments at the national level – by country delegations
- (iii) introduction of and discussion on the draft agreement on dam safety with changes proposed at the national meetings – by an international consultant and country delegations
- (iv) setting up a regional group on drafting the regional agreement
- (v) discussion on other possible cooperative activities, including harmonization of dam safety technical regulations and procedures - by country delegations
- (vi) setting up a regional group on including harmonization of dam safety technical regulations and procedures

The plenary meeting of the regional group will be followed by short sessions of the group on the agreement and the group on harmonization so that they could decide on their work modalities. So totally there will be 4 meetings (one national and 3 regional) at one place.

The opportunity of holding the regional meeting in Tashkent will be used to familiarize all the participants with the Uzbekistan's regulatory framework on dam safety via presentations and visits to their facilities. It may take another day.

Host organizations

Uzbekistan – The State Inspection “StateWaterControl”

Kazakhstan – EB IFAS

Kyrgyzstan – The Water Department also involving «Электрические станции».

Tajikistan- EC IFAS

Turkmenistan – Minvodkhoz or EC ICSD (Ballyev)

National consultants

Several national experts may be required from each country to be nominated by the authorities.