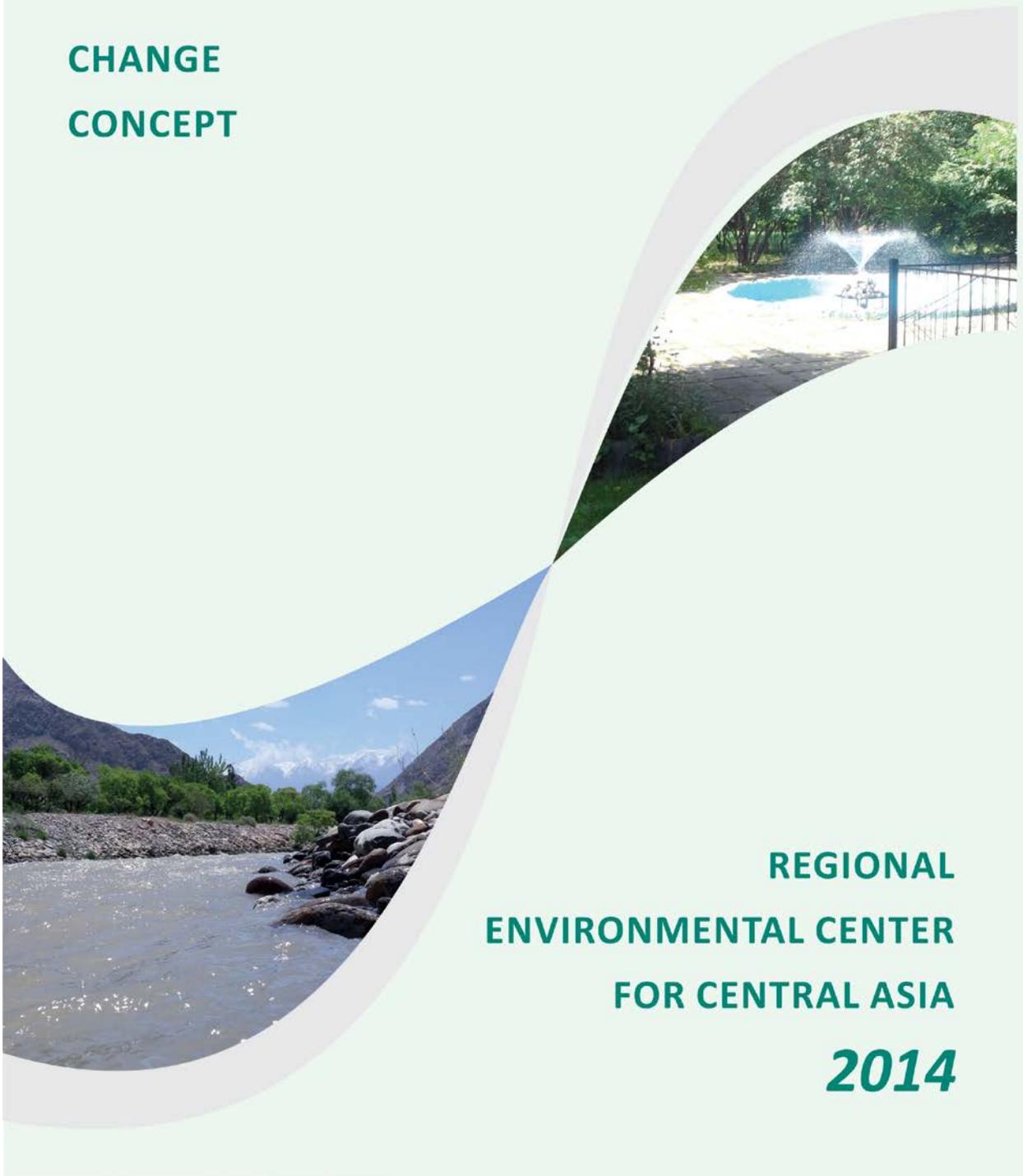




**CHANGE
CONCEPT**



**REGIONAL
ENVIRONMENTAL CENTER
FOR CENTRAL ASIA
2014**

Table of Contents

Key Messages	3
Context	3
I. Framework Situation: opportunities and challenges.....	4
II. Analysis of Environmental Challenges of the region.....	5
III. Strengths, Weaknesses, Opportunities and Threats (SWOT) for CAREC.....	7
IV. Change Concept: main elements.....	10
V. Implementation of Change Concept- monitoring and reporting.....	13
VI. References.....	15
VII. Annexes.....	16

Key Messages

- In response to identified challenges, opportunities and threats, the Central Asia Regional Environmental Center (CAREC) will implement its Change Concept in order to apply its *strengths and skills* in a more effective manner. CAREC will setup exemplary governance, performance, partnership, and information management structures that will help to elevate CAREC from its current standing as a regional center for environmental cooperation, to becoming an exceptional Knowledge Hub/Center of international repute.
- A key aim of the Change Concept is to *establish sustainable governance, performance, partnership, and information management principles* at CAREC which will independently from management and human resources changes secure CAREC's performance as internationally recognized regional center on environmental knowledge.
- The Change Concept should be seen as a natural continuation of CAREC's growth and an evolutionary shift in the form of the organization. CAREC will undergo transformation from one state other state. In addition to the committed efforts of each individual CAREC staff member, the whole organizational apparatus will support the development of the organization in accordance with the Change Concept. Competitive pressures mean that the CAREC team must be increasingly adaptive and innovative in both attracting and mobilizing the resources necessary for the effective fulfillment of the organization's aims and objectives.
- CAREC will develop harmonized policies governing internal conduct and conduct vis-à-vis external agencies, commensurate with its position as a center with a *regional* mandate. De-bureaucratization of internal procedures and reduction of superfluous regulations will help to forge a strong, efficient team orientated toward realizing CAREC's vision.

Context

1. CAREC is a regional, non-political organization, established by the five Central Asian states (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan, and Uzbekistan),and two international bodies: the European Union (EU) and United Nations Development Programme (UNDP).CAREC is a regional platform for coordination and cooperation on environmental issues and policies. Since its establishment, CAREC has been performing well, and has earned a reputation as an outstanding regional organization in Central Asia, working on matters of environmental cooperation. Moreover, CAREC has been actively involved in ongoing international and regional dialogues, as well as cooperation initiatives, concerning water, energy, and climate change.
2. CAREC has developed into an independent, self-sufficient, and self-running regional organization. CAREC is professional organization able to mobilize support for, and implement, international projects. CAREC has become a platform for cooperation on

environmental issues between Non-Governmental Organizations (NGOs), business sector and governmental agencies of the respective Central Asian states.

3. The purpose of this blueprint is to present a concept on making CAREC internationally known and to establish CAREC as a center for “best practices” and knowledge hub for sustainable resource management, environmental policy, education and climate change. Since its establishment CAREC has accumulated great knowledge and expertise on different environmental issues: natural resources management, climate change, green growth, etc. In next decade or so CAREC could both continue generate knowledge and share this knowledge and become “Knowledge Center on Environmental Issues”.

I. Framework situation: opportunities and challenges for regional cooperation

4. Since the early 1990’s, Central Asian states have set up a number of regional institutions for regional cooperation, i.e. the International Fund for Saving Aral Sea (IFAS), the Interstate Coordination Water Commission (ICWC), the Interstate Commission for Sustainable Development (ICSD), and the Central Asian Regional Environmental Center (CAREC).

Regional organizations are effective instruments to address complex, and often transboundary, problems. However, challenges surrounding environmental issues quickly transform into ‘high-’ political issues, and the role of regional organizations is reduced to purely technical decision making. Long term strategic planning has been replaced by short term, management decisions. Thus regional cooperation is being replaced by bilateral or ad hoc short term agreements. Limited cooperation among different sectors on environmental issues at the regional level has led to fragmented policy making and inefficient institutional arrangements.

5. Central Asian states are continuing attempts to reconcile their differences through regional organizations established in the mid 1990’s. This commitment was once again confirmed by the Almaty Declaration (of the heads of five Central Asian states) in 2009. Moreover, preparation and approval of the Aral Sea Basin Programme-3 reflects the cooperative attitude of Central Asian states. International players, such as the European Union, the World Bank, the Asian Development Bank, the German International Cooperation (GIZ) and others, are actively promoting regional cooperation on environmental issues.
6. Regional environmental cooperation is crucial for the peaceful and harmonious development of Central Asian states. Regional institutions are therefore both a precious resource, as well as a driving force, for successful regional cooperation. However, the present complexity and interrelatedness of environment, water, and energy issues turns regional cooperation into a challenge. National interests, uncoordinated economic policies, and growing social pressures on governments of each state have reduced the

willingness to pursue regional approaches. In order to overcome these, mostly political, obstacles to cooperation, promotion of regional cooperation on non-divisive issues such as environmental problems could represent a promising future direction. CAREC, as a platform for regional cooperation on across a spectrum of environmental issues, could become a major player.

7. Water-energy-food nexus problems, frequently referenced as upstream-downstream competition over water resources, are seriously hampering effective solutions towards resolving environmental problems. International agencies are also reviewing their regional portfolios, and are increasingly supporting bilateral activities *in lieu* of regional approaches. Existing regional cooperation projects are either focused on specific problems or are limited in funding; only a minority of international agencies and projects are engaged in serious efforts to support regional cooperation. Furthermore, the present geopolitical situation is not conducive to effective regional cooperation. In this context, the role of CAREC, which fosters regional cooperation on (environmental) issues recognized to be of importance by *both* the international community and Central Asian states, becomes unique and acutely important.

II. Environmental Problems of the Region

8. The Central Asia region is well known for human-induced environmental change. The drying of the Aral Sea is a classic example of an anthropogenic catastrophe (WB.2001, UNDP. 2005). Moreover, trends such as growing populations (demographic pressures), changing climate and deterioration of natural resources (resource degradation), and growing demand for wealth and economic prosperity (pressure from economic growth) during the last decade will, if maintained, increase the pressure on both natural ecosystems and natural resources. The region will face serious challenges if systematic responses are not prepared to handle these pressures. The following can be identified as the most pressing environmental problems in the region:
 - 8.1. *Efficient and effective water resources management* will continue to be a key challenge for the region (UNDP, IFAS. 2006). The region is facing a multitude of water-related problems: (i.) inefficient use of water resources by different sectors (low water use efficiency), (ii.) trans-boundary water management problems, (iii.) hydrologic monitoring problems, (iv.) improvement of financial-economic aspects of water management, (v.) return of drainage and waste water to the river systems with high loads of agrochemicals, (vi.) non-harmonized water quality standards,(vii.) coverage and reliability of water quality data, and (viii.) public access to water quality data (UNEP.2013, UNDP.2005).
 - 8.2. *Inefficient natural resources management and use* in the region is well documented. Ignorance of the environmental consequences of economic development, high rates

of consumption of energy and natural resources, and extensive industrial development makes region highly vulnerable to both natural and economic disasters.

- 8.3. *Climate Change* Global Circulation Models (CCGCMs) indicate that Central Asia will experience increased air temperature of up to 5.2 Celsius for the period 2080 to 2099 (Christensen *et al.* 2007: 883). December to February precipitation is projected to increase by a median four percent, whilst June to August precipitation could decrease by a median of 13 percent (*ibid*: 887). Assessment of other researchers shows, temperature increases in Central Asia to be 1.5-2.0 degrees (EDB and EC IFAS 2009). Central Asian states will face increased water scarcity as a direct consequence of climate change. If temperatures increase as forecast, around 40 million people could face food insecurity in Central Asia (IFAD 2009, Chub and et al.2009).
- 8.4. *Declining biological diversity* will reduce the resilience and adaptive capacities of Central Asian ecosystems. Overexploitation of natural resources during the Soviet period (the “conquer nature” approach towards the environment) has already resulted in irrecoverable damage to natural systems. Therefore all efforts must be made to convince national governments, business, and civil society to take bold steps towards the conservation and rehabilitation of biodiversity in the region’s ecosystems.
- 8.5. *Degradation of mountain ecosystems.* Mountain ecosystems are vulnerable to both natural degradation and cataclysms, and human activities. Natural, high-magnitude events (such as landslides, avalanches, mudflows, and flooding) as well as human-induced changes (such as deforestation, overgrazing, intensive agricultural use, air pollution and industrial activity) are degrading mountain ecosystems. In recent years increased tourism and hunting has damaged unique sites and threatened the survival of alpine macro-fauna in Central Asia (UNDP-IFAS.2005).
- 8.6. *Deforestation and forest degradation* is a serious problem for Central Asia. Deterioration of socio-economic circumstances (e.g. due to increased unemployment) and harsh winters has led to the overuse of forest resources resulting in extensive deforestation of the region. Such use of forest resources may produce attractive short-term returns, however if done in an unsustainable way the cumulative economic costs of such diminution of natural capital due to deforestation and forest degradation will be substantial to the economies of Central Asian states.

III. Strengths, Weaknesses, Opportunities and Threats (SWOT)

✓ Role in Regional Cooperation (Opportunities):

9. Since its establishment in 2001, CAREC has been developing into a regional organization capable of fulfilling its mandate to promote environmental cooperation and sustainable development. CAREC was established by the five states of Central Asia as a cooperative platform for sustainable development. CAREC was entrusted with the task to prepare and implement the Central Asia Initiative on sustainable development (CAI). The EU and other international agencies supported CAREC's development as a regional platform for environmental cooperation. State authorities, non-governmental organizations, and international agencies alike, recognize CAREC to be a capable and reliable partner.

For the past number of years CAREC has not been receiving funds from international agencies for support of the CAI. Nevertheless, the organization has continued to realize its mandate within the CAI framework by adapting to the new funding environment through applying for competitive tendered projects. CAREC has demonstrated the ability to generate a sustainable flow of funds from a variety of international donors. Hence, during the last decade CAREC has been able to build *human, technical, and institutional capacity* as an independent organization of high repute.

10. CAREC has a mandate for the promotion of environmental cooperation and partnership among Central Asian states. During the past 10 years CAREC has shown its *capacity and potential as a regional platform for environmental cooperation*. Building on both mandate and experience, CAREC will continue its efforts for regional cooperation
11. CAREC will *strengthen existing cooperation initiatives, and build new ones with other regional institutes*, such as EC IFAS, ICSD and ICWC. Within its mandate, CAREC will participate in implementation of the Aral Sea Basin Programme-3. This will elevate CAREC's role as regional organization to a new level. Preliminary agreements have been made with EC IFAS to provide an opportunity for CAREC within ASBP-3.

✓ Approaches to Environmental Problems (Strengths):

12. Water resources management has to change from a hydraulic mission- sectoral approach towards an *Integrated Water Resources Management (IWRM) approach* (GWP. 2005). Water management should consider the multiple uses and services of water, shifting from a sector-centric approach towards an integrated consideration of the *water-energy-food nexus*.

CAREC has been active in addressing the region's water problems with its Water Initiatives Support (WIS) programme. Experience and knowledge of IWRM, water quality management, basin planning, etc. has been key to CAREC's successful work on water resources management. CAREC's approach to water problems of the region

encompasses the promotion of transboundary cooperation in small river basins, the harmonization of water quality standards, and development of institutional solutions.

13. Development of *energy-efficient technologies*, promotion of use of the *renewable energy*, and encouragement of changes to consumption behavior are the main elements of effective sustainable development policies (UN.2012). For the last five years, CAREC has been actively involved in energy efficiency projects. Participation in a number of international initiatives and projects has given CAREC recognition as a knowledge center, as well as experience from which to undertake future work in this field.
14. Sustainable development and economic growth in Central Asia can only be achieved through the green economy. *Facilitation and sharing* of the concept of green economy among all countries of the region will be a key to regional sustainable development (UNEP.2013). CAREC has been the first organization in the region to become involved in both the preparation of concept of green growth, and the implementation of green growth projects.
15. CAREC has gained considerable experience and knowledge on climate change adaptation, mitigation, and policy-making practices. Implementing Nationally Appropriate Mitigation Actions (NAMA) projects (and related activities), and membership of international networks makes CAREC a unique organization capable of supporting the development of intelligent, long-term policies and measures on climate change adaptation and mitigation.
16. Sustainable natural resources management policies should embody the principles the Economics of Ecosystems and Biodiversity (TEEB), supported by the introduction of *payments for ecosystem services*. CAREC has human resources and knowledge of the above-mentioned instruments and approaches. The implementation of innovative policies and technologies towards environmental protection through conducting value assessments of ecosystems services, and developing efficient economic tools, will be important areas of expertise where CAREC will be best positioned to act as knowledge center.
17. CAREC has become an important center for knowledge sharing and capacity building. During the last 10 years, a series of capacity building measures - training events, publications, and online knowledge platforms - were developed. Sustainable development can be achieved in Central Asia only through educating well-informed future *decision makers*. *Education and leadership training will drive the new thinking that will be a major force* behind changes to environmental policy-making in the region.

The coming decade must contend with engraining sustainable natural resource management practices, raising society's environmental awareness, and linking business, the public, and the state towards creating a greener and more vibrant economy. CAREC

will have a critical role to play through developing a new generation of policy makers and experts through its capacity building efforts.

✓ Key challenges and risks (Threats)

18. *The political will for regional cooperation is limited.* The donor community is very much in favor of regional cooperation projects and is looking for promising projects. However, owing to past experiences, there is increasing donor fatigue on issues of regional cooperation that CAREC must take into account when shaping its future strategies. The limited scope for regional cooperation on environmental issues may hamper CAREC's wish to establish itself as an international organization of regional character. CAREC will keep its regional focus and hence check for opportunities to enhance regional cooperation also among governments.

19. *Funding opportunities may decline* in the region as a result of the global financial crisis, a reduced interest in the region following the troop withdrawal from Afghanistan in 2014. Limited coordination and effective monitoring of projects in the region have frustrated donors and international organizations. Therefore, the expected scope of available funding will be dramatically reduced during the coming years. CAREC must be prepared for such change well in advance.

✓ Internal Improvements (Weaknesses)

20. *Qualified staff is a precious resource* for any organization. Therefore, CAREC should give high priority to recruiting qualified staff. Growing competition in the job market will make it increasingly difficult to recruit qualified staff. Capacity building is a key for CAREC, but *limited time and funding for systematic capacity building* may represent a key challenge to the establishment of an effective team at CAREC.

21. CAREC should *harmonize internal procedures and management styles in line with international standards.* Over-bureaucratization of internal procedures, rigid staff management rules, and overwhelming administrative procedures render CAREC inflexible, and constrain its capacity to excel as a regional center for environmental cooperation and knowledge.

22. CAREC has successfully attracted *international funding* during recent years. However, each and every staff of CAREC has to contribute to, and work on, resource mobilization activities. The promotion of CAREC's interests among the donor community and international organizations must become a habitual task of all CAREC members of staff. Furthermore, CAREC should systematize the process of attracting funds toward the implementation of CAREC's own strategic aims.

23. CAREC should reform *the principles according to which it interacts with partner state (and non-state) agencies.* Relationships with the aforementioned should be based on the following principles: (i.) the utilization of local resources and knowledge, (ii.) equal

partnership, and (iii.) strengthened CAREC presence in each Central Asian country. Accordingly CAREC will be better placed to generate both political support from partner countries and sufficient financial resources to implement its aims and objectives.

CAREC should generate greater interest and commitment from national governments for increased regional cooperation.

IV. Change Concept: Main Elements

24. CAREC will execute the *Concept* in order to become a world-class regional center for environmental knowledge. The organization will draw on the opportunities provided by its unique position as a regional cooperation platform, and its strong knowledge of environmental issues to implement the changes outlined in this blueprint. CAREC is aware of threats and its weaknesses, and will handle them in a way that will not inhibit implementation of the Concept.
25. For implementation of the Change Concept CAREC must have competent staff (*human resources*), relatively good financial shape (*economic resources*) and acceptance by partner countries and international organizations (*political resources*). CAREC is committed to successfully maintaining all three resources.
26. CAREC can achieve the *ambitious goals of the Change Concept* only through (i.) setting-up a clear and transparent organizational structure that embed internal procedures compatible with international standards, (ii.) successful resource mobilization strategies that help to attract sufficient funding, and (iii.) maintaining an effective, highly-skilled team capable of delivering outstanding performance (see: Figure 1).

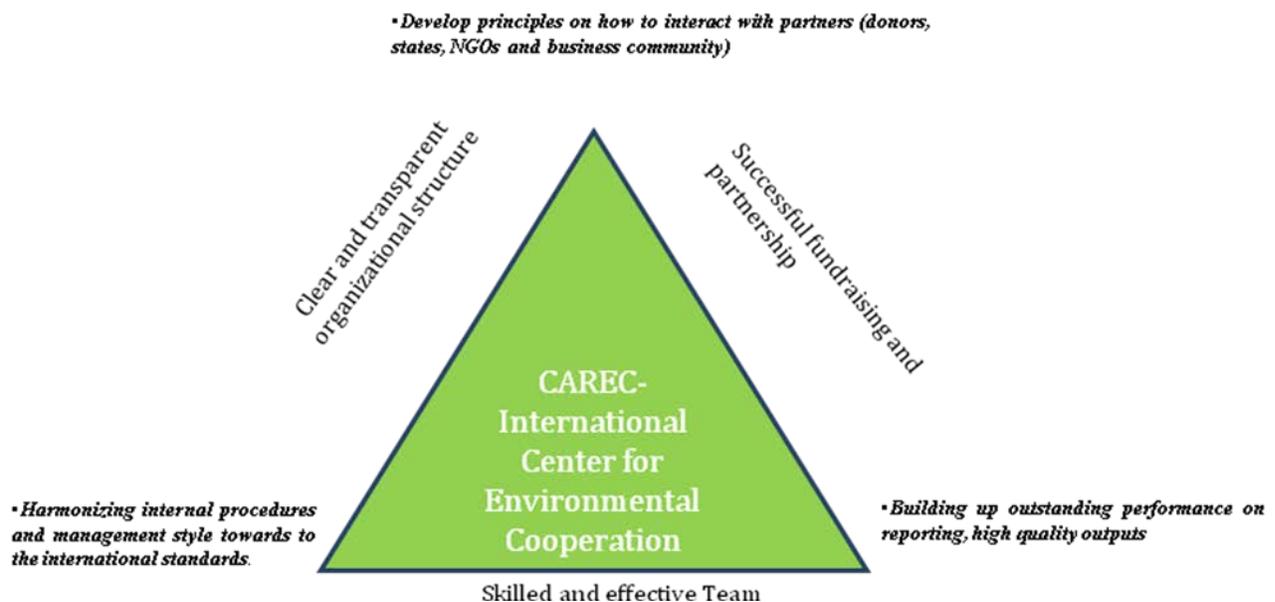


Figure 1. Strategies for Change – three pillars of transformation

27. The Change Concept will consist of the *following four components*: 1. Governance Change, 2. Performance Change, 3. Partnership Change and 4. Change on information management and knowledge sharing.

The four core components of the Change Concept are detailed below.

28. **Governance Changes:***The overarching aim of this Change Concept component is to harmonize management styles and internal procedures with international standards through the following:*

- 28.1. *Setting-up exemplary relations with Board.* CAREC is governed by its Board and it is crucial to manage successfully relations with the Board. The preparation of Board meetings must become more professional and well structured. Prior information and arrangements for Board members should become a high priority for CAREC. The protocols of the Board have also to be made internally-accessible for all CAREC staff via the intranet. Information for the Board members has to be provided in advance of meetings, and in a transparent manner. Members of the Board should have access to CAREC's intranet.
- 28.2. *Setting up a club of supporters of CAREC.* The main goal of such a group is to promote interests of CAREC through a network of its recognized supporters. The network of supporters should (i.) provide the organization with a wider vision for CAREC's future development and contribute to a more expansive assessment of current environmental developments; (ii.) act as an outreach and advocacy tool for CAREC, and (iii.) widen the geographical scope of CAREC's immediate contacts.
- 28.3. *Setting up a Management Team* would be a first step towards establishing the respective mechanisms for improving the internal management style of CAREC. Applying the principle of subsidiarity through the delegation of supervisory functions to Management Team members could represent a subsequent step. Executive decisions must be communicated to the staff and the Board in a timely manner. Publishing all relevant executive decisions via the intranet should become regular practice.
- 28.4. *Establishing an exemplary, effective system for staff recruitment, assessment and promotion.* A critical element of internal management improvement is enabling staff to contribute towards the organization's development. Each and every staff member should have a chance to make comments, suggestions, and state criticisms of decisions taken. The relationship between CAREC Headquarters (HQ) and CAREC country offices (CO) is crucial for successful implementation of both projects, and more particularly this strategy. The relationship between CAREC HQ and COs have to be built on the basis of trust, mutual support, and understanding of the administrative, cultural, and political differences between Central Asian states.

28.5. The main aim of this Change Concept is not to achieve a complete overhaul of a management system that has worked well at CAREC for many years, but rather to improve and to systematize. Thus CAREC should aspire to establish an exemplary *governance and management system*. CAREC's management and administrative practices should support the achievement of its goals and objectives, projects and programmes. The current "bureaucratization" of administrative procedures must be replaced with more supportive approaches. In order to improve the transparency and efficiency of financial management, financial functions must be separated from administrative management. *The organization should devise a more horizontal and less bureaucratic management structure.*

29. ***Performance Changes-****The overarching aim of this Change Concept component is to improve reporting, outcomes, and achievement of high quality results, in order to meet the expectations of a high-profile organization. This four main elements of Performance Change are the following:*

29.1. *Systematic reporting to donors and partners from national environmental agencies. Regular monitoring of project implementation and internal quality control of outputs will be key areas for performance improvement.*

29.2. *Delivering high quality outputs according to agreed schedules. CAREC will elaborate efficient mechanisms for improved reporting on all its projects and on all activities. All reports published by CAREC will be screened and proofread to ensure conformity to high internal standards.*

29.3. *Systematic data collection across projects is a key element for high quality performance delivery. Therefore, systematization, storage, processing and use of information and data from projects for reporting purposes are a major task. CAREC will seek efficient solutions to data management, such as outsourcing data management or forming partnerships with existing data systems, such as CAREWIB.*

29.4. *Regular internal and external review of all CAREC publications will be consistent with the Change Concept. Regular CAREC seminars on a diversity of topics will help to strengthen analytical skills among CAREC staff.*

30. ***Partnership Changes-****The overarching aim of this Change Concept component is to build stronger partnerships with donors, states, NGOs, and the business community for the successful realization of CAREC's mandate as a platform for regional cooperation and knowledge hub/center. The three main elements of Partnership Change are the following:*

30.1. CAREC will utilize its unique mandate as a *platform* between state, non-state, and private sectors. CAREC will develop, communicate, and implement frameworks

for cooperation with non-governmental and private sectors. Cooperation with different sectors will reflect the *impartiality and sensitivity of CAREC*. Partnerships with NGOs and the private sector will be realized through joint preparation and implementation of projects and programmes.

30.2. CAREC country offices should maintain close relations with respective national government agencies responsible for *sustainable development and natural resource management* (e.g. water agencies). Such partnerships will support the conceptual and practical formulation of both national and regional CAREC projects.

30.3. CAREC's donor relations strategy (and cooperation principles) must be streamlined and better-managed. *Long-standing donors with a strategic commitment* to the region must be identified. CAREC's long-term strategic plans will be in line with the most up-to-date international agenda, as well as regional priorities. CAREC will build a professional donor relations and resource mobilization team that will address donors and international partners. CAREC will be for a vehicle for Central Asian states to promote regional interests in international processes and organizations

31. Change in Information, Knowledge Management and Knowledge Sharing -*The overarching aim of this Change Concept component is to build up an effective and efficient communication, information management, and knowledge sharing structure that will enhance CAREC's role as a regional center/hub for environmental knowledge. The three main elements of this Concept are the following:*

31.1. CAREC will elaborate a *concept on Information, Knowledge Management and Knowledge Sharing (IKSKM)* and communicate this concept to international partners to seek support for its implementation.

The Information, Knowledge Management and Knowledge Sharing (IKSKM) concept will reflect a change from current information sharing practices towards greater organizational profiling and modern information and knowledge management.

31.2. *CAREC will improve its public relations through enrolling more modern, professional approaches. The outreach potential engendered by popular social media platforms (such as Facebook and Twitter) will be mobilized in order to create as wide-a public as possible for CAREC news, initiatives, and products.*

V. Implementation of Change Concept- monitoring and reporting

32. During the two-day General Meeting, CAREC's Executive Director reported the main elements of this Concept to all staff members. CAREC staff has jointly developed work plans for the *short-, medium-,and long-terms* that reflect the governance, performance, partnership, and information management changes outlined here (see: Annex 1).

33. CAREC's Executive Director will present the Change Concept to the Board of Directors in order to secure a mandate for its implementation. Activities geared toward the realization of the Change Concept will be implemented gradually in a 'stepwise' manner, in order to not disrupt present work programmes.

34. The Management Team will review implementation of the Change Concept on a monthly basis. The Executive Director will regularly report on Change Concept Implementation to the CAREC Board of Directors.

35. CAREC's Advisor for Director is a special appointment to support CAREC to effectively plan, implement, monitor, and report on the Change Concept. He will support the organization to identify and secure the requisite financial, human (and other) resources for the successful implementation of Change Concept.

VI. References

Christensen J H and Hewitson B (Editors).2007. 4thIPCC Report. Chapter 8- Regional Climate Projections. 849- 926 pp.

Global Water Partnership (GWP). 2005.*Integrated Water Resources Management (IWRM) and Water Efficiency Plans by 2005.Why, What and How?* TEC background papers #10. 35 pp.

International Fund for Agricultural Development (IFAD). 2009. *Annual Report for 2009*. 78 pp

UN.2012.*Report of the United Nations Conference on Sustainable Development*. Rio de Janeiro, Brazil, 20–22 June 2012. 120 pp

UNEP.2013. *Policy Statement* by Achim Steiner-UN Under-Secretary General and UNEP Executive Director At the opening of the first universal session of the Governing Council of UNEP Nairobi, 18 February 2013

UNDP, IFAS. 2006. *Appraisal reports on priority ecological problems in Central Asia*. Ashgabat. Report. 145 pp.

UNDP.2005.*Human Development Report. International Cooperation at Crossroads: Air, Trade and security in unequal world*. 388 pp

World Bank (WB).2001. *Environment Strategy 2001. Making Sustainable Commitments. An Environmental Strategy for World Bank*. Washington. 274 pp.

Annex 1- Operationalising CAREC concept of change management

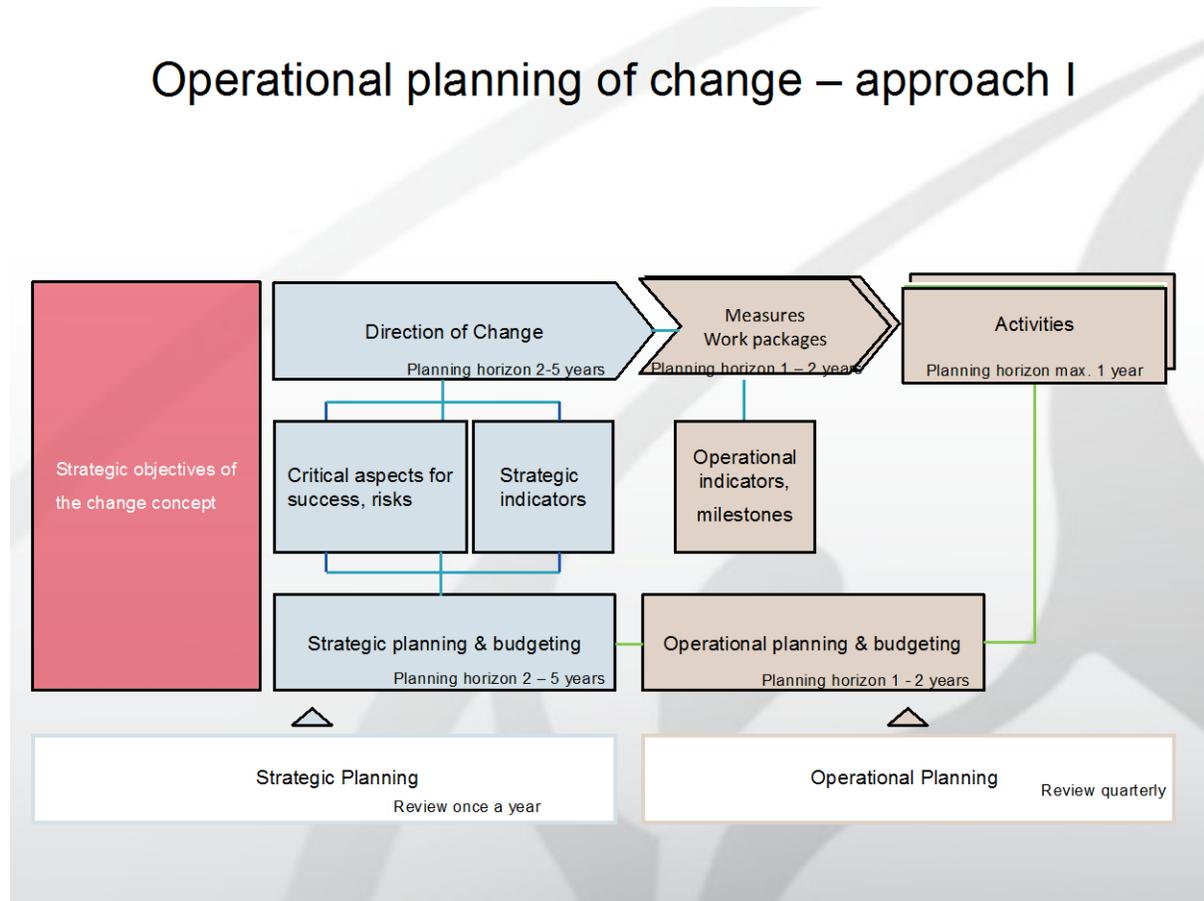
Transforming the objective of CAREC's change management into action and results:

The change concept of CAREC describes four direction of change related to:

- Governance;
- Partnership;
- Performance; and
- Information and knowledge.

The four directions of change reflect a set of guiding strategies to achieve their specific objectives. These guiding strategies (work packages) allow a focused and coordinated implementation of change throughout the organisation.

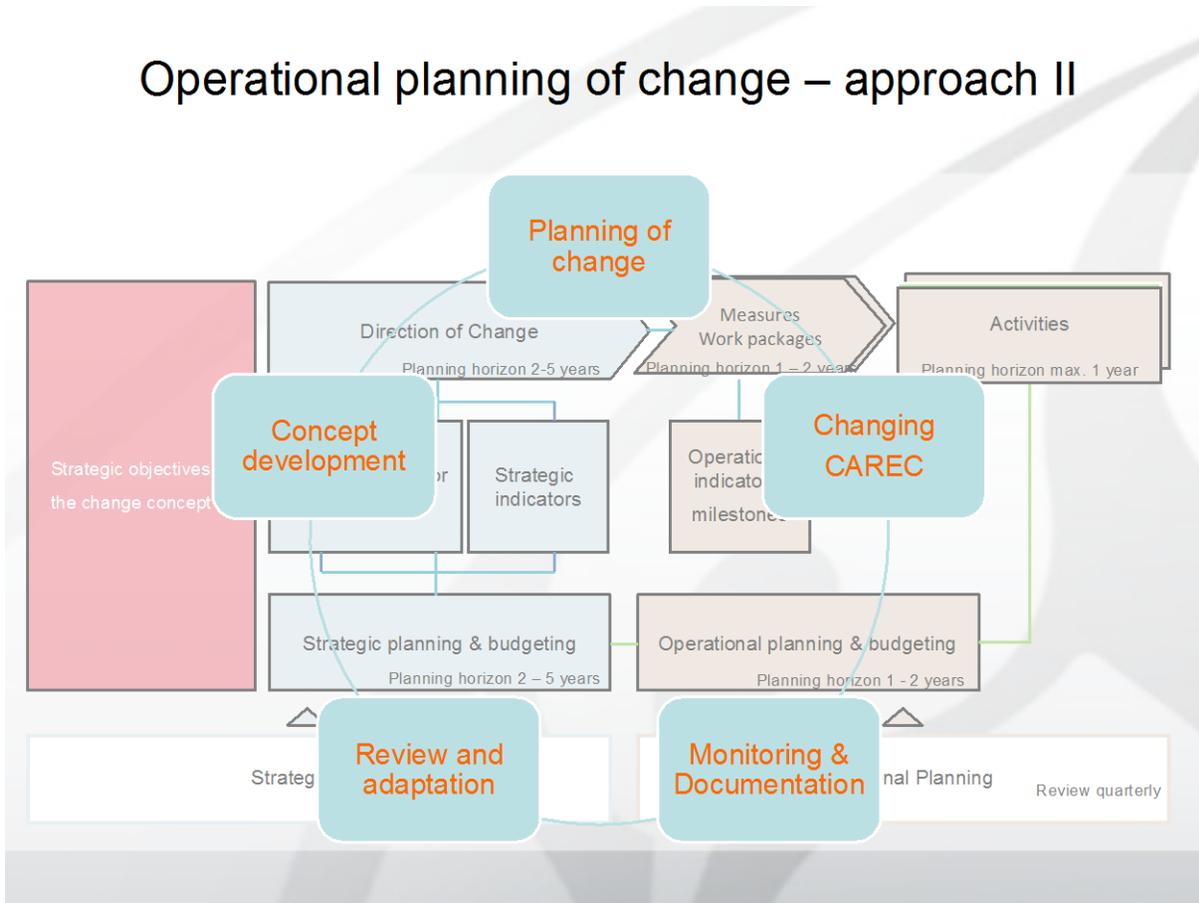
Operational planning of change – approach I



This note outlines the process of operational planning of change management, as visualized above.

The implementation of the change concept follows the classic project management cycle, including a result based monitoring of changes to allow a review and adaptation of the change concept during the process of implementation (see below).

Operational planning of change – approach II



Changing CAREC requires processes at different levels:.

Steering processes:

The steering of change is in response to the mandate for change provided by CAREC’s board at its last meeting.

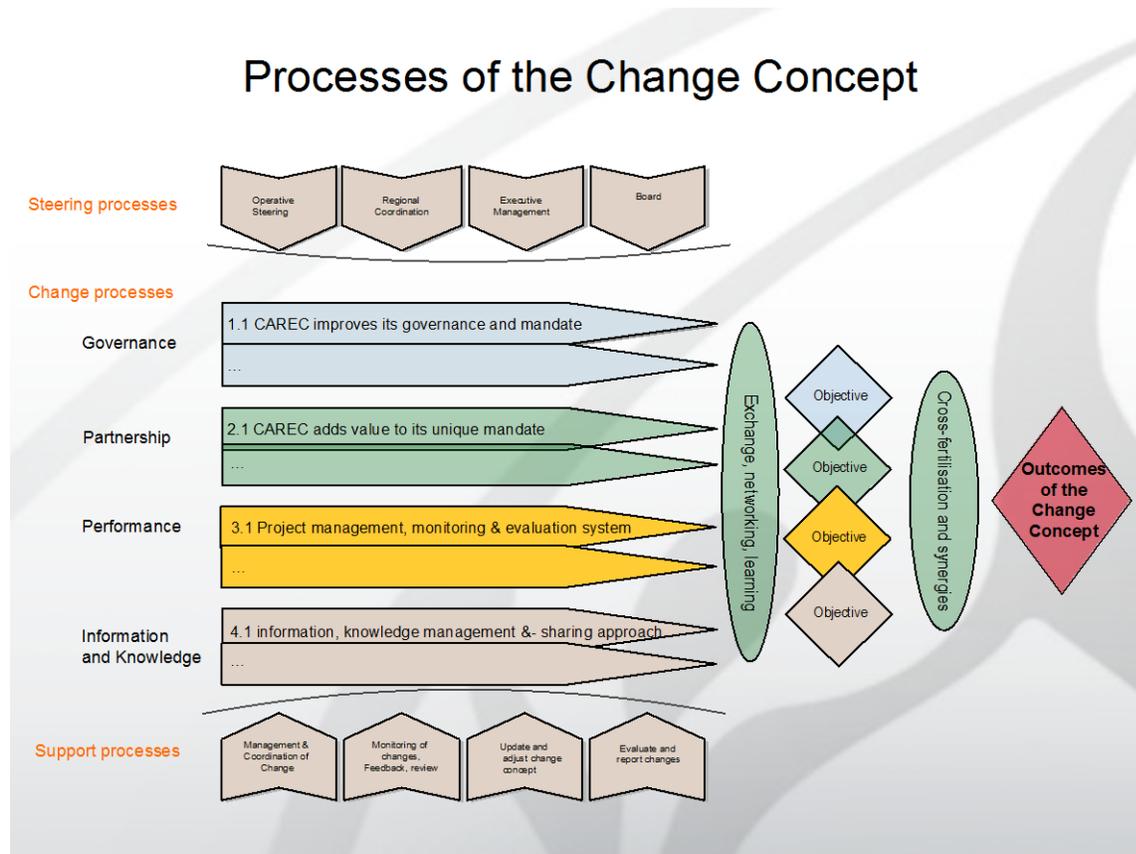
Support processes:

The processes of coordination, monitoring and evaluation of changes, as well as the review and adjustment of the operational parts of the concept are in support of the overall implementation of the change concept.

Change processes:

The change processes are the core/ output processes of the change concept. The core processes are focused in support of defined objectives. Both the core processes (direction of change) and the respective objectives are interrelated. Only a well-coordinated implementation of the four directions will result in satisfactory results stemming from the change concept.

Exchange, networking and learning are crucial preconditions during the implementation of the core processes in order to achieve synergies required for the outcomes of the change concept. The different processes are outlined below:



Work packages:

Each of the core/ output processes of the change concept consists out of sub-processes / thematic work packages. The work packages have defined objectives as well, this allowing a close monitoring and coordination of the implementation of the change concept.

Activities:

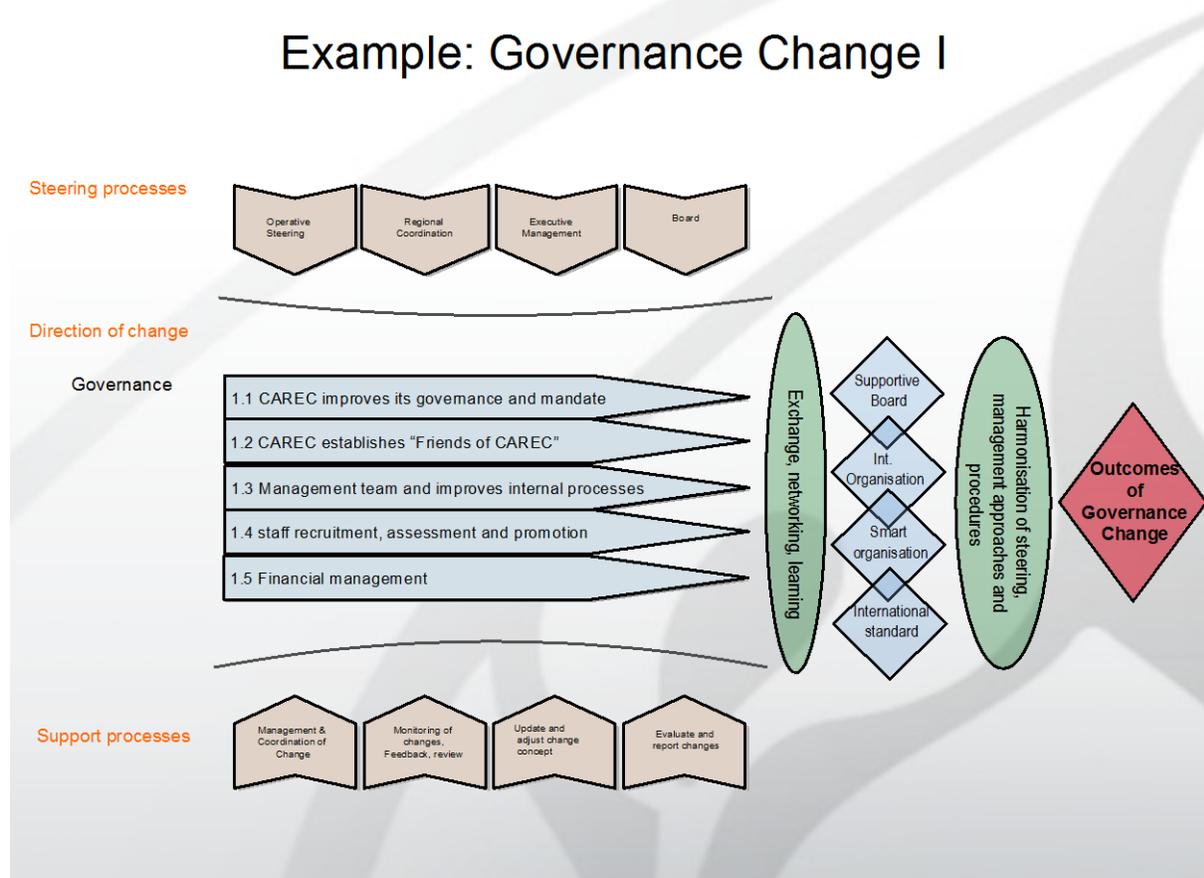
The sub-processes / work packages are divided into activities and interim outcomes. This allows defining responsibilities as well as human- and financial resources needed for the implementation of the change concept.

The following two tables outline the processes.

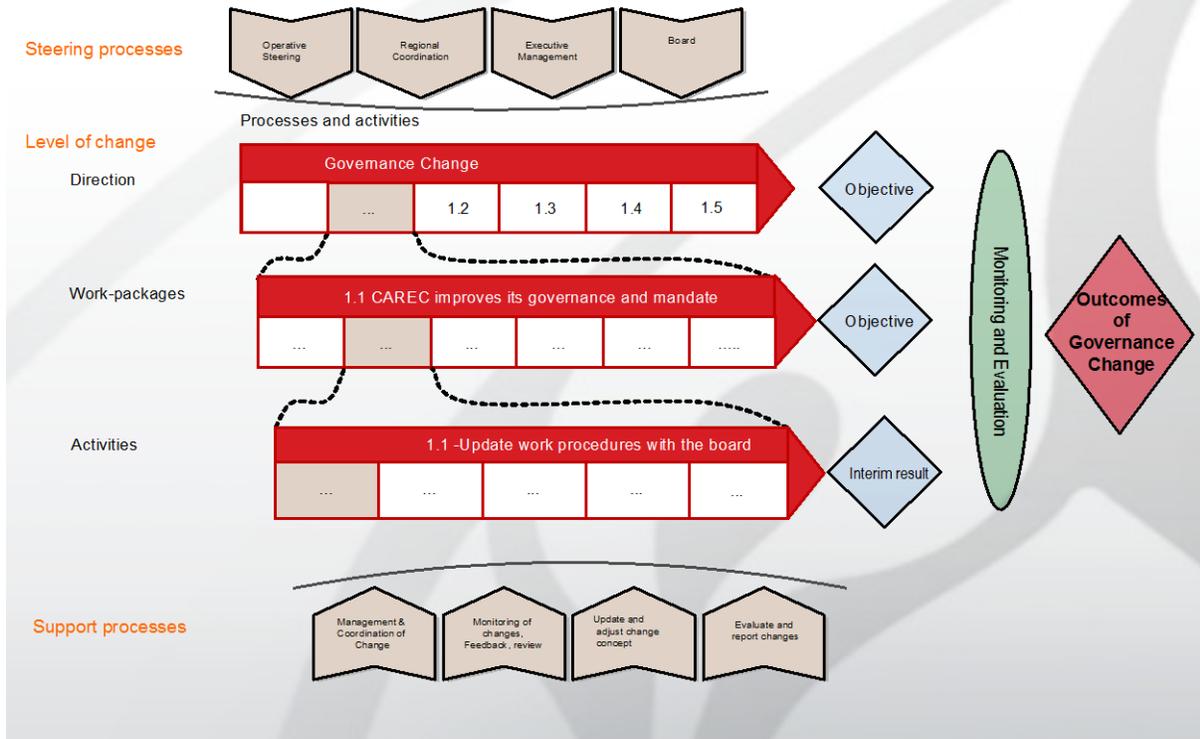
The overview of change summarizes the four major directions of change, their objectives and the relevant guiding strategies.

The tables below are operationalizing the change concept in line with the approach described above for all four directions of change.

Example: Governance Change I



Example: Governance Change II



Objectives of change and guiding strategies - overview

Direction of Change & Objective	Guiding strategies
<p>Governance (Alisher & Tatyana):</p> <p>CARECs status as an international organization is recognized and reflected in its governance and management. Management approaches and internal procedures of CAREC are in line with international standards</p>	<p>1.1 CAREC improves its governance and mandate</p> <p>1.2 CAREC establishes a group of supporters</p> <p>1.3 CAREC establishes a management team and improves internal processes</p> <p>1.4 CAREC establishes an effective system for staff recruitment, assessment and promotion</p> <p>1.5 CAREC reviews and optimizes financial management approaches</p>
<p>Partnership (Ludmilla & Yekaterina)</p> <p>CAREC has developed relations with the donors community, the public sector, the private sector and civil society so as to ensure CAREC's role as a platform for regional cooperation and knowledge management</p>	<p>2.1 CAREC adds value to its unique mandate as a regional platform through public and private sectors stakeholder</p> <p>2.2 CAREC's country offices maintain close relations with relevant national government agencies plus civil society plus private sector</p> <p>2.3 CAREC strategies on (i) donor relations and (ii) relation to civil society has been formulated</p>
<p>Performance (Nailya, Mariya & Benjamin)</p> <p>CAREC's performance in delivering quality outputs in time is being improved</p>	<p>3.1 CAREC establishes a systematic project management, monitoring and evaluation system</p> <p>3.2 CAREC increases the quality of its reports</p> <p>3.3 CAREC improves data collection, usage and storage</p>

	3.4 CAREC reviews internally and externally publications (meaning what?)
<p>Information and Knowledge (Saniya & Information specialist)</p> <p>CAREC is a regional centre / hub for environmental information and knowledge based on effective and efficient communication, information management, and knowledge sharing structures</p>	<p>4.1 CAREC adopts an information, knowledge management and - sharing approach and structure</p> <p>4.2 CAREC improves external communication and media relations</p>

Operationalization of the CAREC Change Concept – Governance Change

Direction of change:	Objective:	Guiding strategies / work packages:	Responsible:
1. Governance	CARECs status as an international organisation is recognized Management approaches and internal procedures of CAREC are in line with international standards	<p>1.1 CAREC improves its governance</p> <p>1.2 CAREC establishes a group of supporters</p> <p>1.3 CAREC establishes a management team and improves its internal processes</p> <p>1.4 CAREC establishes an effective system for staff recruitment, assessment and promotion</p> <p>1.5 CAREC reviews and optimizes financial management</p>	Alisher / Tatyana / Irina

Work package:	Objective:	Indicator:	Responsible:
1.1 CAREC improves its governance	CAREC's Board supports CAREC's international status and its further strategic development	CAREC successfully acts as an international organisation CARECs Board provides strategic orientation	Iskandar, Henry, Alisher
1.2 CAREC establishes a group of supporters	CAREC will provide platforms for its former Board Members, staff and international partners to actively advocate and communicate CAREC's positions and interests	Group of supporter established, regular informed and involved in CARECs work	Alisher / Tatyana
1.3 CAREC improves its internal management	The management team assures the operational management Lean internal administrative procedures Delegation of responsibility CARECs structure reflect the roles and responsibilities of CARECs mandate and portfolio	Management team established and operational. Effectiveness improved in line with international standards Decisions are made on the lowest appropriate level The structure of CARECs programmes and country offices is optimised	Iskandar, Alisher, Tatyana
1.4 CAREC establishes an effective system staff recruitment, assessment and promotion system	The capacities of CAREC's staff are improved The working atmosphere is improved	An effective system for staff recruitment, assessment and promotion is established. Performance is increased	Iskandar, Irina, Alisher

Work package:	Objective:	Indicator:	Responsible:
1.5 CAREC reviews and optimizes its financial management system	The financial management of CAREC is in line with international standards	Operational financial management is transparent and supports the programmes Annual audits are carried out, based on project audits	Alisher, Ainur, Balzhan

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014		2015		`16												
1.1	CAREC improves its governance																			
	Update work procedures with the board	Procedures updated and applied	x	x	x	x	x	x								Alisher	1 working days / month			
	Improvement of information and involvement of the board into CAREC events	Board is involved in strategic decisions and important events	x	x	x	x	x	x								Alisher / Tatyana	2 working days / month	Cost of E-Bulletin production -2000 Euro	Bi-monthly bulletin to inform about major news and events Involvement of the board in strategic planning	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)
			13	2014			2015			'16									
	New format of (semi-) annual report	The (semi-) annual report summarizes CAREC's portfolio and provides concise and transparent information		x		x		x							Benjamin, Iskandar, Saltanat	1 working day / month	Editing and Printing costs of the Annual Report – 5000 Euro	Review of the format based on direct feedback from the Board	
	Assure an understanding of CAREC Board & purpose among the staff	CAREC staff understands the roles and responsibilities of the Board			x			x							Alisher, Iskandar	4 Working days			
1.2	CAREC establishes a group of supporters																		
	Develop a concept for the supporters of CAREC					x	x								Tatyana	2 working days			
	Gaining supporters of CAREC						x	x							Tatyana	5 working days		Keeping in touch with former Board Members, employees, partners to support CAREC	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)			
			13	2014			2015			'16												
	Maintain contact with supporters	Sustained network									x	x	x	x	x	x	Tatyana	4 working days / year				
1.3	CAREC improves the internal management																					
	Establishing a management Team	Management team operational	x	x													Iskandar, Alisher	2 Working days	Cost of Skype (internet)-1000 Euro	CAREC Management Team meets at least once a month		
	Review and improvement of internal core and auxiliary processes	Lean internal procedures, improved effectiveness	x	x	x	x	x	x	x	x							Iskandar, Alisher, Tatyana	4 working days	Cost of Intranet introduction-10000 Euro	Reduced number of paperwork, introduction of CAREC Intranet		
	Delegation of responsibilities	Decision are made on the lowest appropriate level	x	x	x	x											Iskandar, Alisher, Tatyana	4 working days		Programme and unit managers, CO office directors have adequate decision making power		
	Review of CARECS structure	Structure reflects mandate and portfolio	x	x	x	x											Iskandar, Alisher, Tatyana	4 working days		ongoing		

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)			
			13	2014		2015		`16														
1.4	CAREC establishes an effective system staff recruitment, assessment and promotion system																					
	Improvement of the staff recruiting approach	Recruiting system improved	x	x	x	x												Irina, Alisher	4 working days	CAREC On-line job application (2500 Euro)	Demand driven, skill-based recruitment system	
	Improvement of the staff assessment approach	Approach developed, reviewed and applied	x	x					x									Irina, Alisher	4 working days		Performance based staff appraisal system is in place	
	Introduction of Staff promotion and rewarding system	Staff developed, reviewed and applied	x	x	x	x	x	x	x									Irina, Alisher	4 working days		Financial rewards depend on staff appraisal results	
	Introduction of efficient conflict management instruments								x	x								Alisher	4 working days		Conflict management is in place	
1.5	CAREC reviews and optimization it's financial management approaches																					
	Review of financial management	Financial management reviewed and																Alisher, Balzhan, Ainour	4 working days	20 000, (Cost of	Introduction of 1C system and new financial reporting	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)		
			13	2014			2015			'16											
	approaches	concept for optimization developed																1C)	tools		
	Annual audits	Annual audits conducted based on project audits Transparency increased		x					x						x		Ainour, Balzhan	Auditor	20 000 Euro	Currently implemented for the last years Auditing costs to be included in the financial planning of projects	
	Monthly financial statement	Monthly financial situation is communicated Transparency increased	x	x	x	x	x	x	x	x	x	x	x	x	x	Ainour, Balzhan	1 working day				
	Harmonization of procedures of HQ and Cos	HQ and CO financial procedures comply to each other			?	?										Ainour, Balzhan, CO	10 working days				
													Total Resources:		Total costs: 60500 Euro						

Operationalization of the CAREC change concept – Partnership change

Direction of change:	Objective:	Guiding strategies / work packages:	Responsible:
2 Partnerships	CAREC has strong partnerships with donors, states, NGOs, and the business community for the successful realization of CAREC's role as platform for regional cooperation and knowledge management and - sharing	<p>2.1 CAREC adds value to its unique mandate as regional platform state, non-state, and private sectors stakeholder</p> <p>2.2 CAREC's country offices maintain close relations with relevant national government agencies, NGOs and partners from private sector</p> <p>2.3 CAREC's donor relations strategy (and cooperation principles) is streamlined</p>	Ludmilla, Yekaterina

Work package:	Objective:	Indicator:	Responsible:
2.1 CAREC adds value to its unique mandate as regional platform for state, non-state, and private sectors stakeholder	CAREC fulfils its mandate platform for regional cooperation and knowledge management and - sharing in Central Asia	Improved and new CAREC products and services available reflecting CARECs mandate in Central Asia	Ludmilla, Yekaterina
2.2 CAREC's country offices maintain close relations with relevant national government agencies, NGOs and partners from private sector	CARECs work is based on lasting partnerships at regional and national level	CAREC has lasting relations at regional and national level with the relevant agencies	Ludmilla, Yekaterina

Work package:	Objective:	Indicator:	Responsible:
2.3 CAREC's donor relations strategy (and cooperation principles) is streamlined	CAREC is sustained based on resource mobilization	CAREC has lasting relations with the relevant donor agencies	Ludmilla, Yekaterina

Work package	Activity	Indicator / interim result	Timing				Responsible	Resources	Costs	Comments	Status (ample)						
			13	2014	2015	'16											
2.1	CAREC adds value to its unique mandate as regional platform for state, non-state, and private sectors stakeholder																
	Review of the portfolio and products of CAREC (internet, publications, profiles of programmes, etc.)	Portfolio reviewed, analyzed and recommendations documented		x	x	x	x					Ludmilla, Yekaterina	8 Working days				
	Develop existing and add new products/services	Existing products improved. New products developed		x	x	x	x					Ludmilla, Yekaterina, programme manager	10 Working days	15000 for e-based products of CAREC	E- products of CAREC Establishment of a new NGO Support programme (source of funding to be identified)		

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014		2015		`16												
	Strategic planning process	Strategic planning improves products, services and modes of delivery			x	x										Henry, Iskandar and consultants	10 Working days	50000 Euros	Concept of Strategic Plan is prepared and approved by CAREC Board Detailed Strategic Plan is prepared, discussed with CAREC partners in each state	
	Review and systematize current partnerships	Partnerships reviewed, analyzed and recommendations documented		x	x	x										Ludmilla, Yekaterina,	4 Working days		Data Base of partnerships MoUs with partners	
	Develop strategic content specific partnerships with experts and NGO's	Strategic partnerships with experts and NGO's developed		x	x	x	x	x								Ludmilla, Yekaterina,	4 Working days		CAREC NGO-Strategy	
	Develop strategic content specific partnerships	Strategic partnerships with national and regional partners		x	x	x	x	x								Ludmilla, Yekaterina, Iskandar, country director	4 Working days		Regional partnerships with SIC ICWC, EC IFAS, ICSD already established	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014			2015			'16										
	with national and regional partners	developed																		
2.2	CAREC's country offices maintain close relations with relevant national government agencies																			
	The management team exchanges knowledge and news about policies, strategies and instruments	Informed management team (policies, strategies and instruments of the Central Asian states)	x	x	x	x	x	x	x	x	x	x	x	x	x	Management Team	1 working days / month		ongoing	
2.3	CAREC's donor relations strategy (and cooperation principles) is streamlined																			
	Communication of our competencies, competitive advantages and unique mandate	Communicate a clear corporate identity (CAREC's competencies and competitive advantages)			x	x	x	x	x	x	x	x	x	x	x	Ludmilla, Yekaterina	1 working days / month		See as well 4.2	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)
			13	2014				2015				'16							
	Improve communication, roles and responsibilities for resource mobilization	Professionalization of resource mobilization process			x	x	x	x							Ludmilla,	2 working days / month		CAREC – through its innovative concepts and reliable management – is a globally sought partner	
	Capacity Building for resource mobilization (political advocacy, communication and fundraising)	Streamlined and strategic resource mobilization				x	x								Ludmilla	2 working days + Training (on the job / on the call)	2500 Euros	Inclusion of resource mobilization in CAREC-Events	
	Develop strategic partnerships to respond to thematic calls (Database)	Thematic consortia build to acquire new projects			x	x	x	x							Ludmilla	2 working days	On Line 1500 Data Base Development	Communicate a clear corporate identity (CAREC`s competencies and competitive advantages)	
													Total Resources:	Total costs: 69000 EUR					

Operationalization of the CAREC change concept – Performance change

Direction of change:	Objective:	Guiding strategies / work packages:	Responsible:
3. Performance	CAREC`s performance in regard to outputs, outcomes and results is improved	3.1 CAREC establishes a systematic project management, monitoring and evaluation system 3.2 CAREC increases the quality of reports 3.3 CAREC improves data collection, usage and storage 3.4 CAREC reviews internally and externally its publications	Mariya, Nailya

Work package:	Objective:	Indicator:	Responsible:
3.1 CAREC establishes a systematic project management, monitoring and evaluation system	CARECs project management, monitoring and evaluation systems are in line with international standards	Project management, monitoring and evaluation system developed and mainstreamed	Benjamin, Nailya, Mariya
3.2 CAREC increases the quality of reports	CARECs report are of high quality	Reduced number of amendments after delivery of the final report to partners and donor	Mariya, Nailya
3.3 CAREC improves data collection,	CAREC data collection, usage and	Systematic approach for data collection, usage and	Mariya, Nailya

Work package	Activity	Indicator / interim result	Timing													Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014			2015			'16											
																			coordination unit		
	Collection of feedback from donor and partner about CARECs monitoring	Feedback collected and system adapted								x	x	x	x			Nailya	10 working days				
3.2	CAREC increases the quality of reports																				
	Capacity building for CAREC staff on analytical writing in English	Capacity of CAREC staff in reporting (en) is increased			x	x	x	x								Mariya	10 working days	5000 Euro		Weekly capacity building on the job / the report	
	Review of reports by the editorial board	All reports reviewed by editorial board	x	x	x	x	x	x	x	x	x	x	x	x	Mariya, Programme manager, editorial board	20 Working days	10000 Euros		Budget set up for external review – to be funded by the respective projects		
	Develop minimum criteria for reports	Minimum guiding criteria for reports developed, introduced and			x	x	x	x							Mariya, editorial board	10 working days			Minimum criteria to be developed within a task-force linked to the programme		

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014			2015			'16										
		applied																	coordination unit	
	Assure quality of translation: Selection of reliable translator	Quality of translations assured														Mariya, programme manager	1 working day / month		on-going	
	Cooperation between the programmes and the financial department for financial reporting	Financial reports are elaborated jointly by the programmes and the financial department			x	x	x	x	x	x	x	x	x	x		Mariya, programme manager, Ainour	1 working day per project / report		On-going	
3.3	CAREC improves data collection, usage and storage																			
	Establish a internal database for reports	Database established, maintained and used														Mariya, programme manager	10 working days		On-going	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014			2015			'16										
	CAREC develops a lean standard for data collection, usage and storage	Standards for selection, data management developed														Mariya, Nailya	10 working days	2000 Euros for hardware	Data standards to be developed within a task-force linked to the programme coordination unit	
	Increase capacities for analytical use of data for reporting	Capacities of CAREC staff in analytical use of data is increased						x	x	x	x					Maria, Nailya, programme Manager	10 working days	2500 Euro	To be started after data-standards set, Capacity building on the job / report / data of the respective project	
	Development of an internal database for thematic, country specific and geographic data	Internal database set up, data entry and clearance, system maintained														Maria, Nailya, programme Manager	2 working days / month	2500 Euro		
3.4	CAREC publications are internally and externally reviewed																			
	Develop a publication policy	Policy developed and applied			x	x	x	x								Maria	05 working days			

Work package	Activity	Indicator / interim result	Timing													Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014				2015				'16									
	Identification of external reviewer to assure quality control	Reviewer identified and contracted			x	x	x	x									Maria	05 working days			
	Assure external review for publications	External review for publications assured			x	x	x	x	x	x	x	x	x	x	Henry, Benjamin, Iskandar	10 working days	5000 Euros	500 Euros per review, to be financed by the programmes / projects			
													Total Resources:	Total costs: 31000							
														EUR							

Operationalization of the CAREC change concept - Information and Knowledge			
Direction of change:	Objective:	Guiding strategies / work packages:	Responsible:
4. Information and Knowledge	CAREC is the regional centre / hub for environmental information and knowledge based on an effective and efficient communication, information management, and knowledge sharing structure	4.1 CAREC adopts an information, knowledge management and - sharing approach and structure 4.2 CAREC improves external communication and public relations	Saniya & Ludmilla, Darina

Work package:	Objective:	Indicator:	Responsible:
4.1 CAREC adopts an information, knowledge management and - sharing approach and structure	<p>Improved external communication and information coverage of CARECs performance</p> <p>CAREC improves its corporate identity promoting products of CAREC at regional and international level;</p>	<p>CAREC develops a concept on information, knowledge management and sharing and receives external support for implementation</p> <p>Corporate identity developed and mainstreamed</p> <p>Information and knowledge exchange center for external and internal stakeholders established</p>	Saniya & Ludmilla, Darina
4.2 CAREC improves external communication and public relations	The visibility of CAREC is improved	Information material, including the CAREC Homepages, available and up-to-date	Saniya & Ludmilla, Darina

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014			2015			2016										
4.1	CAREC adopts an information, knowledge management and - sharing approach and structure																			
	CAREC develops a concept on information, knowledge management	Concept developed and communicated with potential donors for support	x		x	x	x	x								Saniya, Ludmilla, Irina	8 Working days		seek for external support, f. e. CIM-Returning Experts (irina) Draft concept	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)
			13	2014				2015				'16							
	and sharing																	available	
	Setting up Project and Knowledge Management Unit of CAREC	Information and knowledge management specialist recruited			x	x									Alisher, Saniya	2 Working days	30000 Euros	Funding by on-going projects or core budget to be assured	
	Internal information exchange and knowledge management improved	Information, knowledge management and - sharing approach adopted			x	x	x	x							Information specialist	8 Working days			
4.2	CAREC improves external communication and public relations																		
	Development of an information policy / Strategy	Information policy / strategy developed				x	x	x							Saniya & Ludmilla, Darina	10 Working days			
	Improve corporate Identity of	Corporate Identity developed and streamlined,				x	x	x							Information specialist	10 working days		External support by a designer might be needed	

Work package	Activity	Indicator / interim result	Timing												Responsible	Resources	Costs	Comments	Status (ample)	
			13	2014			2015			'16										
	CAREC	visibility increased																		
	Update CAREC's website (programme profiles and activities)	CARECs homepage is up-to date				x	x	x								Information specialist, programme managers, country offices	2 working days / month	15000 (new form)	IT-Support (internally) needed	
	Use the potential of web 2.0 (social media, etc.)	Potential of web 2.0 used, CARECs coverage is increased					x	x								Information specialist	2 working days / month	/		
	Develop CAREC information products	Information products		x	x	x	x									Saniya, programme manager, country offices	4 working days / programme	5000 Euro	(Leaflet, Folder, Flyer, Factsheets, newsletter, etc) available	
													Total Resources:		Total costs:					
															35000 EUR					