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UZBEKISTAN: WATER SUPPLY ENERGY EFFICIENCY PROJECT – PHASE II FEASIBILITY STUDY

Project No.: 2024.011483

Stakeholder Engagement Plan



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Abbreviations

CAREC	Environmental Centre for Central Asia
E&S	Environmental and Social
EBRD	European Bank for Reconstruction and Development
ESAA	Environmental and Social Audit and Assessment
EIA	Environmental Impact Assessment
ESAP	Environmental and Social Action Plan
EU	European Union
HQ	Headquarter
IWC	irrigation water conveyance
kV	kilo volt
LLC	Limited liability company
m	meter
MoA	Ministry of Agriculture
MoWR	Ministry of Water Resources
NGO	Non-governmental Organization
NTS	Non-Technical Summary
PIP	Priority Investment Program
PR	Performance Requirement
PS	Pump(ing) Station
PS&E	Pumping Stations and Energy (Department)
RoU	Republic of Uzbekistan
RWBI	Regional Water Basin Irrigation (Department)
SE	State Enterprise
sec	second
SEP	Stakeholder Engagement Plan
SGB	Self-Government Body
TIAME	Tashkent Institute of Irrigation and Agricultural Mechanization Engineers
UNECE	United Nations Economic Commission for Europe
WCA	Water Consumers Associations

1 Introduction

The irrigation water conveyance (IWC) infrastructure in Uzbekistan, built in the 1950-1980s, is dilapidated and needs modernization and rehabilitation as well as adaptation to climate change. The Ministry of Water Resources (the MoWR) is responsible for the operation of the country's IWC infrastructure, that includes about 28,569 km of inter-farm and main channels. Water is supplied to irrigation canals both by gravity, mainly main canals, and by pressure systems, including 1,688 pump stations (PSs) with 5,231 pumps installed and 4,066 individual wells¹. The main sources of water for irrigation are the Syr Darya and Amu Darya rivers.

The MoWR has approached the European Bank for Reconstruction and Development (EBRD) with a request to finance modernization of 228 PSs used for IWC across the country and ancillary IWC infrastructure (the "Project"). The EBRD has commissioned CECT Consulting, inženiring in svetovanje d.o.o. (Slovenia) to elaborate a Feasibility Study for the Project and to determine a Priority Investment Program (PIP). In parallel, CECT Consulting's Environmental and Social (E&S) contractors, Ecoline International Ltd. (Bulgaria) and ATMS Solutions LLC. (Armenia) (jointly - 'the Consultant') have been commissioned to undertake the Project related E&S studies.

In February 2023, the EBRD and the Republic of Uzbekistan signed the loan agreement to finance the Project's Phase I, which covers 118 PS located in the Fergana Valley (the "Project's Phase I"). The EBRD and the Republic of Uzbekistan are considering the preparation of the Project's Phase II for financing, which includes 110 PS located in the Republic of Karakalpakstan and nine provinces of the country. For this, an update of the Feasibility Study, including the E&S reports, for the Project's Phase II is required. The EBRD has commissioned an international experienced consultant (the "Consultant") – an association of the consulting firms CECT Consulting, inženiring in svetovanje d.o.o. (Slovenia, Lead Consultant) and Ecoline International Ltd. (Bulgaria, Sub Consultant) - to assist the EBRD and the Client in conducting the Feasibility Study for the Project's Phase II. The Feasibility Study will form the basis for appraisal of the Project by the EBRD and the Government of the Republic of Uzbekistan. The EBRD has categorized this Project as 'B' in accordance with the EBRD's Environmental and Social Policy (2019), which requires elaboration of the Project's Stakeholder Engagement Plan (SEP) as a standalone document. This document is the SEP prepared for the Project's Phase II. It constitutes the update of the Phase I SEP and incorporates the additional information from the E&S analysis prepared to inform the EBRD's decision-making for the Project's Phase II.

The SEP's objectives are:

- › To present the national legal framework and the EBRD's requirements pertaining to stakeholder engagement process;
- › To identify all Project stakeholders, including those who might be considered vulnerable and might need more support during the consultation process;
- › To develop an engagement program that will be implemented by the Project to ensure that the E&S information on the Project is timely provided and properly communicated to the Project's stakeholders, and the feedback communication channels are available to them;
- › To define the means of engaging with the identified stakeholders in a meaningful and culturally appropriate way; and
- › To propose a procedure or a mechanism for receiving, registering and addressing grievances and suggestions from affected stakeholders.

Thus, the SEP presents the planned stakeholder engagement process for the Project and outlines a systematic approach aimed at developing and maintaining constructive relationships with stakeholders throughout design, construction/rehabilitation and implementation stages of the Project. The SEP is a living document and is meant to be regularly analyzed, updated and developed further as the Project progresses.

¹ Ministry of water resources of the Republic of Uzbekistan, downloaded 22 October 2024 from <https://data.egov.uz/eng/data/6109306c1a64fdd0373a8df5> (dated 27-04-2023)

2 Project description

The IWC infrastructure is state-owned and includes water intake facilities, pump stations and main and small water conveyance canals that supply water to the farm-level systems. It is managed by the MoWR through 13 regional departments, each of which operates and maintains its own irrigation cluster. The MoWR also controls, among others, several state unitary enterprises responsible for production and repair of IWC equipment, a design institute and a consultancy responsible for construction supervision.

The IWC infrastructure/system can be split into two categories depending on their management model:

- › Inter-farm systems that are operated by the regional departments of the MoWR and include main canals and inter-farm canals, reservoirs, head water intake facilities, large reservoirs with daily regulation, large first-level water PSs and pressure pipelines, main drainage collectors, and irrigation and drainage wells; and
- › On-farm systems that are owned and operated by the local self-governance bodies or Special Services Units (former Water Consumers Associations (WCA))² and include distribution canals, on-farm canals, temporary sprinklers, local reservoirs with daily regulation, and second- and third-level PSs.

The main users of water resources are larger farming enterprises with 50-200 ha of land and smaller “dekhkan” enterprises with less than one ha of land each.. All operating and maintenance costs are covered by the Government. The IWC infrastructure services 4.3 million ha³ of arable land.

The irrigation system operated by the MoWR includes about 28,569 km of inter-farm and main canals, of which 18,701 km consist of earth canals. In addition, about 150,000 km of on-farm canals are under the operation of farmers. Water is supplied to irrigation canals both by gravity, mainly main canals, and by pressure systems (“machine canals”), including 1,688 PSs with 5,231 pumps installed and 4,066 individual wells. About 60%⁴ of the land under irrigation in the RoU receives its water through pressure (machine) irrigation systems. In addition to irrigation wells, the MoWR also operates 3,912 drainage wells, most water from which is also used for irrigation.

The main sources of water for irrigation are the Syr Darya river and the Amu Darya river in the flat part of its basin. The annual electricity consumption of the MoWR-operated PSs is around 8.0 billion kWh.

About 95% of the IWC infrastructure in the RoU was built before 1995. The service life of around 60% of the pumping equipment operated by the MoWR has expired. Physical and moral depreciation of the PSs and their components leads to considerable electricity losses. The rehabilitation and/or modernization of 80% of large, 50% of medium and 30% small size PSs is required. Currently, the operation of those PSs is ensured through the costing and frequent repairs. Of the existing pressure pipelines of the PSs, 10% or (300 km) requires urgent replacement⁵.

As noted above, in February 2023, the EBRD and the RoU signed the loan agreement to finance the Project's Phase I, which covers 118 PS located in Fergana, Namangan and Andijan provinces of Fergana Valley Region (the "Project's Phase I"). The MoWR will be the final beneficiary of the Project, but it will have a limited role in its daily management. The MoWR's Centre for Implementation of Foreign Investment Projects in the Water Sector (the "Centre") is responsible for the Project's development and implementation. As part of the Project's Phase I implementation, the Centre has established the Project Implementation Unit, which is supported by a Project Implementation Support consultant. The scope of the Project Phase II includes the rehabilitation/reconstruction of the 110 PSs located in the Republic of Karakalpakstan and nine provinces of the country (**Table 1**), as well as modernization of the pumping and auxiliary equipment installed.

² Under Presidential Decree No. PP-145 “On measures to improve water resources management and regulate relationships between water users at the grassroots level”, dated March 1, 2022 (as amended on February 16, 2024), WCAs were reorganised into Special Services Units under the District Irrigation Departments. Water users enter into direct agreements with these departments.

³ *Draft Concept for Development of the Water Management Sector of the Republic of Uzbekistan for 2020-2030*, <http://www.water.gov.uz/ru/posts/1545735855/396>.

⁴ *Ibid.*

⁵ *Ibid.*

Table 1 Provincial distribution of the Project PSs, Phase II

Province	# of pump stations	Irrigation command area (ha)
Republic of Karakalpakstan	11	17,010
Khorezm province	9	17,150
Tashkent province	19	7,548
Syrdarya province	7	15,914
Jizzakh province	3	1,850
Sukhandarya province	23	198,835
Kashkadarya province	8	10,151
KMK (in Kashkadarya province)	2	14,058
Bukhara province	3	18,750
ABMK (in Bukhara province)	2	53,427
Navoi province	9	14,186
Samarkand province	14	15,234
Total	110	384,113

Source: CECT Feasibility Study Report, 2024

The irrigation water infrastructure components and description of technical measures proposed to be performed within the Project are detailed below⁶:

- › Replacement of pump units, including *for each pump* the set of isolation valves, internal conduits, retention valves. New pumps and engines will be installed on new foundations;
- › Replacement of electrical cabinets, 6 and 0.4 kV switchgears, power cables (from the transformer substation to the pump engine), other necessary electrical equipment;
- › Installation of instrumentation and automatic control systems. It is assumed that the engines (0.4 kV) will be equipped with an engine soft starter or a frequency changer to regulate the water supply in response to changing weather conditions or actual water consumption required. An automation system with a programmable logic controller will turn pumps on or off and maintain a given flow rate. Ultrasonic flow meters will be installed on pressure conduits. In cases where the number of pressure conduits exceeds three, as an alternative option to organizing flow measurements also continuous remote flow measurements in an open receiving canal may be considered;
- › Reconstruction or construction of the PS buildings. For the Feasibility Study, based on an analysis of the official Acts of Inspection of the technical condition of the PSs provided by the MoWR, the construction of PS buildings is foreseen for PSs with pumps installed outside buildings. As an alternative for the PSs with a capacity of up to 1m³/sec, it is proposed to purchase the block-modular PSs in containers designed for use in hot climate conditions. Such modular pump stations are delivered in prefabricated containers with an integrated ventilation and cooling system. For the remaining PSs, the typical reconstruction of the buildings requires rehabilitation of the roof, internal and external plastering, painting of exterior walls, repairs and painting of metal structures (bridges, overpasses, telfers), repairing of water protection pavement, installing windows and new doors. The volume of work is determined taking into account the actual geometric dimensions of the buildings and determined unit prices;
- › Reconstruction of water intake structures, including the replacement of waste protection grilles, fish protection structures, repairs of intake chambers, replacement of suction pipelines (with an assumed average length being 20 m);
- › Replacement of pressure water conduits over a distance of no more than 50 m from the exit from the PS building or to the working chamber, where water conduits are combined;
- › Replacement of 6 (10)/0.4 kV transformer substations, at those PSs where this is necessary (to be specified during the detailed design stage);
- › Landscaping of the PSs territory, including fencing.

The date of commencement of construction and its duration will be determined at a later stage.

⁶ CECT Feasibility Study Report, 2024.

3 Legal Requirements pertaining to stakeholder engagement

Stakeholder engagement for the Project will follow the national legislative requirements of Uzbekistan as well as the applicable EBRD requirements. These are summarized below.

3.1 National requirements of Uzbekistan

The following key legal acts related to the Environmental Impact Assessment (EIA) procedure and information disclosure are applicable to the Project:

The **Law on Nature Protection**⁷ (1992) is the framework legal act regulating nature protection public policy in the RoU. The Law establishes the legal, economic and organizational framework for environmental protection and sustainable development. Articles 8-11 of this law regulate the competencies of public authorities in the sphere of nature protection. Namely Article 8 states: “*The public administration in the sphere of environment, nature protection, rational use and restoration of natural resources is carried out by the Cabinet of Ministers of the RoU, the State Committee for Environment and Nature Protection, as well as the Local Governments*”.

As per the **Law “On Local Governments”**⁸ (1999), the executive local authorities are provincial, district and city administrations (*hakimats*), headed by the respective *hakims*. Article 10 of the Law “*On Nature Protection*” sets the functions of local governments in the nature protection sphere, which are *inter alia*:

- › Registration and assessment of the natural resources, registration of environmentally hazardous facilities/sites; and
- › Control over nature protection, making decisions on the suspension, termination and re-profiling of activities of hazardous facilities.

Thus, the information about the Project throughout its entire lifecycle should be properly disclosed to the local governments within the Project area (upon their request). The provincial, district and city (if applicable) local governments should be considered among the key project stakeholders.

Article 12 of the Law “*On Nature Protection*” states: “Residents of the RoU have the right to live in a natural environment favorable to their health and the health of future generations, and to protect their health from adverse environmental influences. For these purposes, residents of the RoU have the right to unite in non-governmental organizations for the protection of nature, to demand and receive information on the state of the environment and measures taken to protect it”.

Thus, a right of the national/local environmental NGOs to request and receive the environmental information of their interest from the Project is stipulated by the RoU environmental legislation.

The **Law on Environmental Expertise**⁹ (2000) sets out a state environmental review (SER) as a mandatory process needed to check the compliance of the national EIA reports with the national regulations. As a result, either a rejection or permission (where needed, with approval conditions) to proceed with the development is granted.

Article 6 of the Law sets the legal framework for public disclosure of environmental expertise documents, namely it states: “Requestors/Customers of the EIA **may** publish an announcement in the media about it. In this case, information about its results is published within a month from the date of completion of the environmental review. The list of facilities, for which an announcement of a state environmental expertise and disclosure of information on its results in the media is mandatory, is established by law”.

⁷ *The Law on Nature Protection*, 9 December 1992, No. 754-XII, available at: <https://www.lex.uz/docs/7065>.

⁸ *The Law “On Local Self-Governments”* № 758-I has been adopted in a new version on 14 April 1999, available at <https://www.lex.uz/acts/86238> in Russian.

⁹ *The Law on Environmental Expertise* 25 May 2000, No. № 73-II, available at <https://lex.uz/acts/9760> in Russian. To note: this Law shall become invalid on August 25, 2025 in accordance with the Law of the Republic of Uzbekistan dated February 24, 2025 No. ZRU-1036 “On environmental expertise, environmental impact assessment and strategic environmental assessment”, available at <https://lex.uz/acts/7397289?ONDATE=25.08.2025%2000#7406280>.

The Resolution of the Cabinet of Ministers (RCM) of the RoU 7 September 2020 No. 541 on Further Improvement of the Mechanism for Assessing Environmental Impact (hereinafter – Resolution No. 541)¹⁰ contains requirements for materials of EIA that must be submitted to the SER, determines the order and procedure for SER for various types of planned activities, divided into 4 categories according to the magnitude of the expected impact on the environment, the order for holding public hearings as part of the EIA procedure.

Resolution No. 541 defines the List of Activities Subject to SER (Annex 1 to the Resolution) and describes procedures for organizing SERs (Annex 2 to the Resolution). For objects of categories I and II (of high and medium risk), the SER is carried out by the republican specially authorized body; for objects of categories III and IV it is carried out at the regional level. Annex 3 to this Resolution contains "Procedures for Public Hearings on Environmental Impact Assessment Projects".

The national laws do not set the rules/procedures for stakeholder engagement and public disclosure, so the Project's SEP is elaborated in line with the respective EBRD requirements only.

In March 2025, Uzbekistan ratified the *Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters* of the United Nations Economic Commission for Europe (UNECE)¹¹.

3.2 EBRD requirements

EBRD has adopted a set of specific Performance Requirements (PRs) that projects are expected to meet. One of them is EBRD's PR 10: Information Disclosure and Stakeholder Engagement that recognizes the importance of an open and transparent engagement between the client, its workers, local communities directly affected by the project and other stakeholders as an essential element of good international practice and corporate citizenship. Stakeholder engagement involves stakeholder identification and analysis, stakeholder engagement planning, disclosure of information, consultation and participation, grievance mechanism, and ongoing reporting to relevant stakeholders. Under PR 10, EBRD requires that stakeholder engagement be an ongoing process.

The following elements of stakeholder engagement are applicable to the Project:

- › Identification of project stakeholder groups. Identification of stakeholders, including members of the public who could be affected by the Project construction and operation activities;
- › Stakeholder engagement process and information disclosure. During this stage, it is necessary to ensure that identified stakeholders are appropriately engaged on E&S issues that could potentially affect them, using a process of information disclosure and meaningful consultation. Public disclosure of information is vital to enable meaningful consultation with stakeholders;
- › Meaningful consultation. The consultation process will be based on the disclosure of information relevant to the project activities and operations. The consultation process will be undertaken in a manner that is inclusive and culturally appropriate for all stakeholders;
- › Grievance mechanism. Maintaining a grievance process by which the general public and other stakeholders can raise concerns, and which will be handled in a prompt and consistent manner.

All projects financed by EBRD shall be structured to meet the requirements of the EBRD [Environmental and Social Policy \(2019\)](#) which includes ten Performance Requirements (PRs) for key areas of environmental and social sustainability that projects are required to meet, including PR10 Information Disclosure and Stakeholder Engagement.

In addition, EBRD's [Independent Project Accountability Mechanism](#) (IPAM)¹², as an independent last resort tool, aims to facilitate the resolution of social, environmental and public disclosure issues raised by Project-affected people and civil society organisations about EBRD financed projects among Project stakeholders or to determine whether the Bank has complied with its Environmental and Social Policy

¹⁰ RCM of the RoU of 7 September 2020 No. 541 "On Further Improvement of the Mechanism for Environmental Impact Assessment". <https://lex.uz/docs/4984499>

¹¹ Law of the RoU On the accession of the Republic of Uzbekistan to the Convention on access to information, public participation in decision-making, and access to justice in environmental matters (Aarhus, June 25, 1998), March 11, 2025, No. LRU-1045, available - <https://lex.uz/ru/docs/7424711> .

¹² <https://www.ebrd.com/what-we-do/independent-project-accountability-mechanism.html>

and the Project-specific provisions of its [Access to Information Policy](#)¹³; and where applicable to address any existing non-compliance with these policies, while preventing future non-compliance by the Bank.

¹³ <https://www.ebrd.com/what-we-do/strategies-and-policies/access-to-information-policy.html>

4 Stakeholder identification and analysis

4.1 The MoWR current practices of information disclosure and stakeholder engagement

Pursuant to the requirements of the RoU Law “On transparency of public administration and management authorities”¹⁴ (2014, last amended 2023), the MoWR has developed the Instructions on the procedure for posting information on the activities of the MoWR in public buildings and places¹⁵. As per the said Instructions the MoWR should ensure availability of its activity details through posting the following information on information boards and/or through other specially designated technical means:

- › A list of legal acts defining the legal status of the MoWR;
- › A work schedule of the MoWR, its information service phones and hotlines;
- › The schedule of open meetings of the collegium of the MoWR;
- › Procedures for submission of applications, proposals and grievances;
- › Procedures for submission of requests for provision of information pertaining to the activities of the MoWR;
- › A list of public services provided by the MoWR; and
- › Other information/data about the activities of the MoWR as stipulated by the legislation.

The regional Departments for Pump Stations and Energy (PS&E) do not have a formalized mechanism of disclosing and/or communicating information, other than the data posted on information boards. At the same time, direct communication between the regional PS&E Departments and Special Service Units as well as other water users (e.g., dekhkan farms, private farms, and agricultural enterprises) does take place; however, such communication is mainly informal.

There are no grievance mechanisms established within the regional PS&E Departments. The grievances can be submitted to the MoWR (<https://gov.uz/en/suvchi>) or to the virtual reception office of the RoU President (<https://pm.gov.uz/uz> or a phone number: 1000 or 0-800-210-00-00).

4.2 Stakeholder engagement approach/methodology

Stakeholder engagement is an essential component of large projects such as the Project for modernization of the RoU IWC infrastructure. Stakeholders to the Project are those who are likely to be:

- › **Impacted:** project implementation may significantly affect a given social group (affected parties);
- › **Influenced:** the social group is able to substantially influence the project implementation process;
- › **Engaged in building partnership:** there are opportunities for building partnership relations between the Project sponsor and a given social group; and
- › **Concerned:** a group or individuals, not necessarily directly affected by the project, may express interest to it.

Stakeholder engagement requires the identification of stakeholders among the above social groups and the definition of appropriate methods for engagement with them. Different stakeholders have varying interests and influence in any project. Generally, those with low interest and low influence are to be kept informed, while those with high interest and high influence should be collaborated with.

The key principles to be applied within the implementation of this SEP are to:

- › Gather feedback and information from stakeholders about the Project’s components / measures i.e. selection of PSs to be modernized/rehabilitated and the modernization/ rehabilitation measures envisaged;

¹⁴ RoU Law “On transparency of public administration and management authorities, available through <https://www.lex.uz/mobileact/2381138>, in Russian

¹⁵ The instructions are available at the official web site of the MoWR (<https://gov.uz/en/suvchi/pages/jismoniy-va-yuridik-shaxslar-murojaatlari>)

- › Work with stakeholders constructively so as to successfully manage their varying interests in the Project;
- › Avoid the Project or its components delay or interruption due to opposition of the Project by certain social groups/institutions through full and targeted engagement of stakeholders; and
- › Ensure any issues raised by stakeholders are considered and managed appropriately.

4.3 Stakeholder categories and groups

The Project stakeholders have been grouped into the following two major categories:

- › **Internal stakeholders** representing the organizations that undertake the Project and those who work within them such as management, staff, owners, shareholders, as well as contractors and subcontractors involved in the Project implementation and benefiting from it (investors and shareholders); and
- › **External stakeholders** representing the groups or individuals that are not part of the organizations implementing the Project but are affected in some way by the decisions and actions of such organizations.

The SEP is intended to cover the Company’s engagement with external stakeholders.

In order to ensure effective and meaningful engagement, the Project’s external stakeholders have been clustered into the following groups:

- › Public authorities, including central government, regional, district and city administrations;
- › Self-government bodies (SGB), including rural and *mahalla* population gatherings;
- › Non-governmental stakeholders (civil society organizations, non-governmental organizations (NGOs), mass media, academia etc.);
- › Potentially affected parties; and
- › Potentially vulnerable groups.

4.4 Stakeholder analysis

The groups that are mentioned above are described and analyzed in terms of their relations to and/or interests in the Project (**Table 2**).

To note, the stakeholder list might change at each stage of the Project cycle and should be updated in such cases.

Table 2 Identified Stakeholder groups and summary of their engagement

STAKEHOLDER groups and categories	INTEREST/RELATION
CENTRAL GOVERNMENT AUTHORITIES	
The Ministry of Water Resources (MoWR)	<p>The Project owner, in charge of timely and successful implementation of the Project’s measures directly or through its subordinates (the Regional Water Basin Administrations and PS&E Departments).</p> <p>The MoWR is in charge of elaborating and enforcing the RoU water resources management policy.</p>
The Ministry of Agriculture (MoA)	<p>The key public beneficiary of the Project, which will result in improvement of pumping irrigation and improvement expansion of cropping lands. The MoA should be fully engaged in discussions on the Project’s PIP.</p> <p>Along with the HQ of the MoA, the provincial departments and district branches should be engaged, while consultations on provincial and district levels respectively.</p>

STAKEHOLDER groups and categories	INTEREST/RELATION
Inspection on the control of agricultural complex under the Cabinet of Ministers of the RoU	This institution is in charge of enforcement of water and agricultural legislation. It should be engaged in the PIP discussions.
The State Committee for Environment and Nature Protection	The key public stakeholder in terms of enforcement of the public environment/nature protection policy at the Project’s design and implementation stages. The Committee is also the public authority in charge of organizing and conducting the State Environmental Expertise (where required by the national law), as well as of enforcing the Expertise conclusions.
State Unitary Enterprise “Center for State Environmental Expertise”	The Center carries out an environmental expertise of low risk facilities/projects as well as provides draft environmental limits for maximum permissible emissions into the atmosphere, discharges of water pollutants and waste generation and disposal for middle and low risk pollutant/waste categories. This institution is to be engaged/consulted during the Project’s components design and implementation stages to avoid mismatches with the national legal framework at the Project’s implementation/operation stage.
Other public authorities to various extents engaged in the RoU irrigation water management policy and its enforcement	<p>The list of such public authorities includes, but is not limited to:</p> <ul style="list-style-type: none"> › The Ministry of Health; › The Ministry of Finance; › The Ministry of Economy and Industry; › The Ministry of Investments and Foreign Trade, etc. <p>The relevant public institutions should be engaged in the PIP discussions, which can be arranged through the Coordination Committee to be established pursuant to the Draft Resolution of the RoU President “<i>On Approval of Water Sector Development Strategy for 2020-2030</i>”</p>
Regional/District Authorities	
Provincial Administrations (Regional <i>Hakimats</i>) The Cabinet of Ministers of the Republic of Karakalpakstan District/City Administrations (District and City <i>Hakimats</i>) Special Service Unit under District Irrigation Departments	<p>Pursuant to the RoU Law “<i>On Water and Water Management</i>” (1993, last amended 2019), both regional and district <i>hakimats</i> are in charge of:</p> <ul style="list-style-type: none"> › Setting the principal directions/areas for water management and conservation; › Enforcing the legal framework for water management and conservation; › Conducting an inventory and assessment of water facilities, controlling adherence to water extraction limits; and › Carrying out measures for conservation and improvement of water facilities. <p>Thus, provincial and district administrations hold a crucial role within the Project in terms of consultations on the technical measures to be implemented on the region/district level, control and monitoring over the Project’s progress as well as information disclosure through provincial/district <i>hamikats</i>’ channels.</p>
Self-government bodies	
Citizens’ gatherings of towns, <i>kishlaks</i> and <i>auls</i> , as well as <i>mahallas</i> of cities, towns, <i>kishlaks</i> and <i>auls</i>	<p>Pursuant to the RoU Law “<i>On Water and Water Management</i>” (1993), the functions of SGBs are limited to managing the irrigation systems within the respective settlements/<i>mahallas</i>.</p> <p>In the meantime, the SGBs are the primary public governance institutions, directly concerned with the Project’s affected population: they are the key stakeholders in terms of gathering</p>

STAKEHOLDER groups and categories	INTEREST/RELATION
	<p>information on the population’s attitude, concerns, suggestions, etc. and promoting/facilitating attitude changes (if needed).</p> <p>The SGBs together with the respective staff of district administrations are in charge of gathering local statistics, including data on vulnerable social groups, within the Project affected area.</p> <p>If additional social surveys or other social studies within the Project coverage area are envisioned, the engagement of SGBs will be crucial.</p>
Non-governmental stakeholders	
<p>Council of farms, dekhkan farms and personal land-plot owners in Uzbekistan (Farmers’ Council)</p> <p>Council of farms, dekhkan farms and personal land-plot owners in the Republic of Karakalpakstan</p> <p>Council of farms, dekhkan farms and personal land-plot owners in the provinces and districts</p>	<p>The Farmers’ Councils are non-governmental and non-profit organizations established on the national, provincial and district levels to ensure interactions between the public institutions and the farmers. The membership in the Farmers’ Councils is obligatory for all farms and dekhkan farms.</p> <p>The engagement of the Farmers’ Councils in discussions on the Project’s PIP or its provincial/local components is important.</p>
<p>Women’s Committee of Uzbekistan</p>	<p>The Women’s Committee of Uzbekistan is the primary institution that coordinates the affairs of females nationally, regionally and locally. While the Women’s Committee is registered as an NGO, it operates as a quasi-government agency; it is funded from the state budget and is headed by a chairwoman who is also the deputy Prime Minister responsible for female and family issues (an appointed post reserved for a female). The chairwomen of the Women’s Committees at the provincial and district levels likewise hold the post of deputy <i>hakim</i>.</p> <p>While there is still no state policy dedicated to issues affecting rural females specifically, under the recent reforms, the Women’s Committee of Uzbekistan will oversee targeted support that will cover rural females in two key spheres: employment and improved working conditions, and reproductive health. Engaging the national and provincial Women’s Committees in designing rural women support mechanisms to be elaborated within the Project is vital.</p>
<p>National, regional and local environmental and social NGOs, other civil society institutions, e.g.: NGO “Ecosphere”, NGO “Yuksalish” Regional Environmental Centre for Central Asia (CAREC), and many others</p> <p>NB. The list of the national and local environmental and social NGOs and other civil society institutions (including those representing the ethnic minorities and potentially vulnerable social groups) will be defined at the later stages of the Project implementation.</p>	<p>According to the EU-funded project UzWaterAware led by CAREC¹⁶, there are some 22 NGOs in the RoU concerned about the topics of water resources and efficient water use. These NGOs would be interested in being informed about the Project components, the potential environmental and social risks/impacts, the Project implementation progress alongside the actual outcomes/benefits that it will deliver, or use of the disclosure Project materials for awareness trainings on water issues, etc.</p>
<p>Academic institutions:</p> <ul style="list-style-type: none"> › Tashkent Institute of Irrigation and Agricultural Mechanization Engineers (TIAME) and its branches; 	<p>Water specialists of the RoU are mainly trained at the Tashkent Institute of Irrigation and Agricultural Mechanization Engineers (TIAME). Training has begun in the Bukhara and Karshi branches of the institute. Specialists in water management are also partially trained at the Karshi Engineering and Economic Institute as well as</p>

¹⁶ <https://carececo.org/en/main/news/razvitie-kommunikatsionnogo-potentsiala-u-predstaviteley-nno-uzbekistana/>,
<http://carececo.org/en/main/news/news/UzWaterAware-training/>, etc.

STAKEHOLDER groups and categories	INTEREST/RELATION
<ul style="list-style-type: none"> › Karshi Engineering and Economic Institute; › Tashkent State Agrarian University and its branches; › Scientific Research Institute of Water Problems and Irrigation; › State Enterprise of Hydrogeology and Engineering Geology; etc. 	<p>at the Karakalpak and Andijan branches of the Tashkent State Agrarian University.</p> <p>Research studies related to irrigation water supply are conducted at the TIIAME, the Scientific Research Institute of Water Problems and Irrigation, the State Enterprise of Hydrogeology and Engineering Geology (SE “Hydroengeo”), the National University of Uzbekistan, the Tashkent State Technical University, the Tashkent State Agriculture University, “UzGIP” LLC, the Scientific Research Institute of Hydrometeorology, etc.</p> <p>The Academic institutions could be interested in being engaged in the Project consultations/discussions, especially at the PIP components detailed design stage.</p>
National, regional and district media	The media could be interested in receiving information about the Project and its potential E&S impacts, so the regular sharing of the Project related information/news/progress updates with the media is crucial.
Potentially affected parties	
The residents of the settlements in close proximity to the PSs included in the modernization program	<ul style="list-style-type: none"> › Affected by transportation of building materials, equipment and large-sized pumping and auxiliary equipment; › Affected by the impacts of the construction activities including noise and vibration, air pollution with dust and construction vehicles/equipment emissions, pollution of the waterways due to dismantling and installation works, etc.; › Affected by accommodating operating and engineering personnel involved in the modernization/reconstruction of PSs; › Interested in employment opportunities; and › Interested in the Project details, impacts and progress.
The users/owners of the lands that will be temporary or permanently used for the Project (the land plots within and around the PSs territory)	<ul style="list-style-type: none"> › Affected by the land acquisition process; › Interested in benefiting from the Project activities; › Interested in employment opportunities; and › Interested in the Project details, impacts and progress.
Service establishments (catering, accommodation) and retail business located near the PSs to be modernized/rehabilitated	<ul style="list-style-type: none"> › Affected by the construction activities; › Interested in the procurement opportunities related to the Project; and › Might expand the provision of the sales and services provided.
Small and medium enterprises located near the construction sites and their employees (local building materials producers, distributors, local construction companies, rent of construction vehicles and equipment, etc.)	<ul style="list-style-type: none"> › Interested in raising revenues due to the Project activities; › Interested in the procurement opportunities related to the Project; and › Might increase the number of workers due to higher workload.
Farms within the pumping irrigation coverage area to be improved/restored as result of the modernization of the PSs	<ul style="list-style-type: none"> › Expect to enjoy better services following the pumping irrigation improvement/restoration; and › Interested in the Project details, impacts and progress.
Potentially vulnerable Groups	
Women headed families/rural women in general	<ul style="list-style-type: none"> › Interested in seasonal employment opportunities related to the Project operations / restored pumping irrigation area¹⁷.

¹⁷ As per the assessment given in the socio-economic impact section of the ESAA report, the Project implementation may lead to a seasonal employment of around 50,000 rural women.

STAKEHOLDER groups and categories	INTEREST/RELATION
Children living in the settlements which will be crossed by the Project transport	› Risks related to vehicles/machinery traffic to/from the Project’s construction sites

4.5 Stakeholder engagement programme

The Stakeholder Engagement Programme (**Table 3**) has been prepared in order to ensure the successful information disclosure, communication and interaction process with the various stakeholder groups during the design, pre-construction and construction phases. The Program should be updated at the Project’s detailed design stage, when the Project’s technical measures and the list of pumping irrigation facilities to be modernized/rehabilitated (and respectively the affected settlements, social groups and population) will be fully defined.

Then, provisionally, the SEP is to be evaluated and updated prior to the construction, then prior to operations (in particular, the operations’ related engagement program should be developed), within two years of commissioning, and any time in case of a material change to the Project causing changes in the risks/impacts to stakeholders, engagement mechanisms, or the scope or groups of the stakeholders.

Table 3 Stakeholder Engagement Programme for the Project

No.	Activity	Target Group	Information Materials	Timeframe	Responsible party	Location
1	PROJECT DESIGN STAGE					
1.1	Adoption and disclosure of the E&S Audit and Assessment package: ESAP, SEP, and NTS.	All identified public stakeholders, NGOs, Academia	Final Draft PIP, SEP, NTS (in English, Uzbek, and Russian)	Upon approval of the PIP (disclosed and kept accessible onwards)	The MoWR, The Regional Water Basin Irrigation Departments (RWBI) Departments and PS&E Departments in close cooperation with the Provincial <i>Hakimats</i>	The MoWR website; Hard copies at: The MoWR; The offices of RWBI Departments and PS&E Departments; Provincial/District <i>Hakimat</i> Administrations.
1.2	Consultations with the Public Authorities	All identified public stakeholders, Associations,	PIP, SEP, NTS	Upon approval of the PIP and disclosure of the E&S package	The MoWR, RWBI Departments and PS&E Departments in close cooperation with the Provincial <i>Hakimats</i>	The MoWR, Provincial <i>Hakimats</i> .
1.3	Establishment of a grievance mechanism and notification of the public on the established grievance mechanism	All stakeholders	SEP, notification, information bulletins	Established upon signing of the Loan Agreement between the MoWR and the EBRD and maintained onwards	The MoWR, the RWBI and PS&E Departments in close cooperation with the Provincial and District <i>Hakimats</i> , SGBs, and Farmer's Committees.	The MoWR website; The MoWR HQ, the offices of RWBI Departments and PS&E Departments, the Provincial and District <i>Hakimat</i> Administrations, offices of the respective SGBs, and Farmers' Committees.
1.4	Media coverage	All stakeholders	Announcements in the newspapers, news channels, magazines about the Project's scope and technical measures envisioned, E&S risks/ impacts, press releases as news appear, announcement about public hearings / consultations	Upon signing of the Loan Agreement between the MoWR and the EBRD and then regularly or when the Project news are available	The MoWR, the RWBI and PS&E Departments in close cooperation with the Provincial and District <i>Hakimats</i> , SGBs, and Farmer's Committees.	Respective media channels / means

No.	Activity	Target Group	Information Materials	Timeframe	Responsible party	Location
1.5	During the design process discussions with the potentially affected and vulnerable social groups (or their representatives) at least at the district level.	Affected social groups (population of the Project covered PSs surrounding settlements, , representatives of vulnerable social groups)	Draft Detailed Design Documentation, Notification, Information bulletins, ESAP, NTS, SEP	At the detailed design of PIP measures	The RWBI and PS&E Departments in close cooperation with the Provincial and District <i>Hakimats</i> .	Provincial and/or District <i>Hakimats</i> , where needed locally – based on the local needs, interest / concerns expressed
2	PRE-CONSTRUCTION STAGE					
2.1	Notification on the start of construction works	Potentially affected and other stakeholders	Notification, Information bulletins	Prior to the commencement of construction works	The RWBI and PS&E Departments	The MoWR website; The MoWR HQ, the offices of RWBI Departments and PS&E Departments, the Provincial and District <i>Hakimat</i> Administrations, offices of the respective SGBs, Special Service Units under District Irrigation Departments and Farmers’ Committees.
2.2	Discussion with the public about: <ul style="list-style-type: none"> › scheme of construction traffic during the construction period, › routes of large-scale vehicles and heavy equipment movement. 	Land owners / users, local residents, other interested stakeholders	Informational leaflets, maps	Prior to the commencement of construction works	The RWBI and PS&E Departments in close cooperation with the District <i>Hakimats</i> and SGBs	Settlements crossed by the Project construction transport
2.3	Informing the public on the traffic safety measures during the construction period (including safety lessons at schools in the Project-affected settlements)	Land users, local residents and schoolchildren	Presentation materials	Prior to the construction works	The RWBI and PS&E Departments in close cooperation with the District <i>Hakimats</i> and SGBs	Settlements crossed by the Project construction transport

No.	Activity	Target Group	Information Materials	Timeframe	Responsible party	Location
2.4	Installation of information boards with contact details of the personnel of the MoWR and the RWBI / PS&E Departments responsible for public communications in the affected settlements	Local residents	Information bulletins	Prior to the construction works	The RWBI and PS&E Departments in close cooperation with the District <i>Hakimats</i> and SGBs	Settlements located in close proximity to the construction sites.
3	CONSTRUCTION STAGE					
3.1	Installation of the boxes with the Public Grievance forms for suggestions and complaints	All stakeholders	Grievance forms	Simultaneously with the start of the site preparation works; boxes to be checked twice a week	The RWBI and PS&E Departments and Contractors in close cooperation with the District <i>Hakimats</i> and SGBs	Each construction site, SGBs offices and District <i>Hakimats</i> within the Project coverage area.
3.2	Keeping a record of the received grievances (suggestions and inquiries) in the specific logbook(s)	All stakeholders	Grievance (Suggestion and Inquiry) Logbook	Throughout the Project cycle	Records kept by the RWBI and PS&E Departments and summarized by the MoWR	The MoWR Grievance (Suggestion and Inquiry) Logbook
3.3	Provision of updates on the Project's status / progress	All stakeholders	Project's progress publications, radio and TV announcements	Throughout the construction stage, at least quarterly	The MoWR, the RWBI and PS&E Departments	The MoWR website. The MoWR HQ, the offices of RWBI Departments and PS&E Departments, the Provincial and District <i>Hakimat</i> Administrations, offices of the respective SGBs, and Farmers' Committees.
3.4	Organization of meetings and consultations with the stakeholders on the topics raised by the stakeholders, whenever necessary	All stakeholders	Specific information depending on the topics of interest	Throughout the Project	The RWBI and PS&E Departments and Contractors in close cooperation with the District <i>Hakimats</i> and SGBs	Various locations depending on the originator and types of questions

5 Grievance mechanism

In order to enable the potentially affected or any other interested stakeholders to submit their grievances and/or suggestions about the Project's activities the Grievance Mechanism will be established by the MoWR. This Grievance Mechanism will allow the MoWR to respond and resolve the received grievances in a timely and effective manner.

Since the Project owner (MoWR) is a public authority, submission and acknowledgment of grievances should be arranged in line with the RoU Law “*On appeals of individuals and legal entities*” (2017) and the Decree of the RoU's Cabinet of Ministers “*On approval of the Standard Regulation on the procedure for handling appeals from individuals and legal entities in state bodies, state institutions, and organizations with state participation*” No 341 dated 7 May March 2018.

A template for Grievance Form has been developed (**Annex 1**). Such forms, translated in Uzbek and Russian, will be made available in the electronic format on the MoWR website and as hard copies in the District *Hakimats*, SGB offices, construction sites, etc. According to the national requirements, the maximum period of grievance handling is 15 days (when deemed necessary this period can be prolonged to one month)¹⁸.

As stipulated by the Law No. 445 “*On appeals of individuals and legal entities*”, anonymous grievances are not currently considered by the MoWR. However, EBRD PR 10 requires that the grievance mechanism would allow for anonymous complaints to be raised and addressed. To address this gap, the MoWR accepts that grievances can also be submitted anonymously in relation to the Project. If a complainant prefers to submit a grievance anonymously or through a third-party, this will be accepted, and responded to the extent feasible (e.g., via posts on its website or notice boards of the Hokimiyat or Mahalla administration buildings).

All the grievances addressed to the MoWR or to its regional divisions will continue to be registered as required by the national requirements¹⁹ with an addition for handling anonymous grievances. Moreover, the grievances and inquiries related to the Project will be separated by the responsible person at the MoWR and/or the respective RWBI Departments and will be recorded in the Project Grievance (and Inquiry) Logbook that should be maintained throughout the Project life-cycle.

Stakeholder complaints / suggestions in relation to the Project planning and implementation can be made in writing, by email or by telephone to the following Contact Person:

Sevar Astanov,

Acting Director, Center for Implementation of Foreign Investment Projects in Water Sector

agency@minwater.uz

+998 55 520 1019

<https://gov.uz/oz/suvchi/departments/subordinate?active=1242>

1a Labzak street, Tashkent City, 100000, Uzbekistan

When updating the SEP, the additional contact details of the personnel designated for grievance handling in the MoWR and/or RWBIs will be indicated in the SEP and made available to the stakeholders.

¹⁸ RoU Law “*On appeals of individuals and legal entities*”, Article 28. <https://www.lex.uz/en/docs/3336171>

¹⁹ Decree of RoU's Cabinet of Ministers “*On approval of the Standard Regulation on the procedure for handling appeals from individuals and legal entities in state bodies, state institutions, and organizations with state participation*” No 341 dated 7 May 2018, Annex 1. <https://www.lex.uz/en/docs/3730233>

6 Monitoring, evaluation and reporting

Successful stakeholder engagement depends on continuous effort, performance monitoring and evaluation, and adapting to changed conditions and stakeholder information needs. In order to successfully organise, implement, evaluate, and report on the stakeholder engagement activities, the MoWR is to appoint designated personnel who will be responsible for these processes.

The following indicators will be used for monitoring and improving stakeholder engagement performance in support of the Project implementation:

- › The SEP is developed, up to date, and available to the public for review/commenting;
- › Actions listed in the SEP are completed in full and as scheduled;
- › The topics that were discussed and the questions that were raised during the public consultations;
- › Number of stakeholders' comments and suggestions received by the MoWR (and its contractors) through various feedback channels;
- › Number of stakeholders' grievances and claims received by the MoWR (disaggregated by gender of complainants);
- › Number of publications on the Project implementation process in local, regional, and national media;
- › Key categories of grievances received by the Company or its contractors (employment, permanent or temporary land use, environmental issues, labor relations, etc.);
- › Number of grievances resolved within the maximum established timeline;
- › Number of grievances remaining unresolved.

The SEP should be periodically evaluated by the MoWR in order to identify activities that might need any corrective and/or preventative measures with the purpose to improve the efficiency of its performance. In such cases the SEP should be updated and shared with the public with the amendments made.

The MoWR will also prepare annual reports on the Project's E&S performance, including the SEP implementation, and make them publicly available.

Annex 1 Public Grievance Form

Reference No. (for internal purpose)

Full name: First name _____
Last name _____

- I request not to disclose my identity and contact details without my consent
- I wish to raise an anonymous complaint (Note: if you select this box, no personal response can be provided)

Contact information
Please mark how you wish to be contacted (mail, telephone, e-mail)

By Post: Please provide mailing address:

By telephone: _____

By e-mail: _____

Preferred Language for communication

- Uzbek
- Russian
- Other, please specify _____

Description of Grievance

Date of Incident/Grievance

- One-time incident/grievance (date _____)
- Happened more than once (how many times? _____)
- On-going (currently experiencing problem)

What would you like to see to resolve the problem?

Signature:

Date:
